



## Plant Health Management Standard - Version 1.3 - Auditor checklist - (requirements section only)

	Standard wording	Audit	How is this assessed	Complies N/A Yes /No	Level	Observations	Detail of non conformance
	<b>1. Regulatory Requirements</b>						
	<b>PURPOSE:</b> To ensure the business/organisation complies with all relevant (or applicable) plant health regulations						
1.1	<b>Registration as a Professional Operator:</b> Professional operators that deal with plants must be registered with the UK Plant Health Service (or equivalent) as required <b>CRITICAL</b>	<ul style="list-style-type: none"> <li>The required registration with the UK Plant Health Service (or equivalent) is complete, based on the operations of the business or organisation</li> <li>If needed, authorisation with the UK Plant Health Service (or equivalent) to issue plant passports is complete</li> </ul>	<ul style="list-style-type: none"> <li>All registration and authorisation documentation are in place and current for the responsible personnel and/ or the business or organisation</li> </ul>		Major/Minor		
1.2	<b>Plant Passports:</b> Plant Passport legislative requirements must be followed according to the rules applicable to the relevant country or countries <b>CRITICAL</b>	<ul style="list-style-type: none"> <li>UK Plant Passports are required when plant material is traded between Professional Operators</li> <li>UK Plant Passports are required when plant material is sold via distance contract to final users</li> <li>Movements from GB to NI must be covered under the Northern Ireland Plant Health Label (NIPHL) scheme or be accompanied by a Phytosanitary Certificate (see 1.3)</li> <li>EU Plant Passports are required when plant material is traded between businesses in the EU</li> </ul>	<ul style="list-style-type: none"> <li>Plant Passports kept for three years</li> </ul>		Major/Minor		
1.3	<b>Phytosanitary Certificates:</b> Legislation with respect to Phytosanitary Certificates must be followed <b>CRITICAL</b>	<ul style="list-style-type: none"> <li>Phytosanitary certificates are required if plant material is imported from or exported to third countries</li> <li>Phytosanitary certificates are required when sending traded plant material to Northern Ireland from GB if not covered by the Northern Ireland Plant Health Label (NIPHL) scheme; and for moving plants from NI to GB</li> </ul>	<ul style="list-style-type: none"> <li>Phytosanitary Certificates kept for three years</li> </ul>		Major/Minor		
1.4	<b>Forest Reproductive Material (FRM):</b> FRM legislation must be complied with for the marketing of seed and planting material for forestry purposes <b>CRITICAL</b>	<ul style="list-style-type: none"> <li>Supplier is registered with the Forestry Commission</li> <li>Master certificates are available for all FRM collections</li> <li>Suppliers' documentation accompanies all material marketed for forestry purposes</li> <li>OECD certificates are required if plant material is imported from or exported to OECD countries</li> </ul>	<ul style="list-style-type: none"> <li>Inclusion on the online supplier list (FRM Supplier Search (arcgis.com))</li> <li>Master certificates</li> <li>Suppliers' documentation</li> <li>OECD certificates</li> </ul>		Major/Minor		
1.5	<b>Notifiable Pest Interceptions or Outbreaks:</b> There must be a procedure in place to identify and manage any suspected notifiable pest interceptions, incursions or outbreaks <b>CRITICAL</b>	<ul style="list-style-type: none"> <li>The procedure includes (as a minimum): <ul style="list-style-type: none"> <li>Informing the relevant authority immediately if a notifiable pest is suspected</li> <li>Isolating and containing the affected plants and suspected pests</li> <li>Clearly marking the affected product to ensure that it is not inadvertently moved or sold</li> <li>Acting on the instructions of the relevant authority; no treatment or disposal actions to take place without the authorisation of the relevant authority</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Notifiable Pest Interceptions or Outbreaks Procedure</li> </ul>		Major/Minor		

1.6	<p><b>Other Statutory Requirements:</b> All Statutory Plant Health Notices and Special Conditions must be complied with</p> <p><b>CRITICAL</b></p>	<ul style="list-style-type: none"> <li>When importing trees and plants from third countries to GB, The Plant Health (Phytosanitary Conditions) (Amendment) (EU Exit) Regulations 2020 are reviewed to assess if special conditions are required to be met</li> <li>All Statutory Plant Health Notices are complied with</li> </ul>	<ul style="list-style-type: none"> <li>Evidence that imported plant material has been assessed against Schedule 7 of The Plant Health (Phytosanitary Conditions) (Amendment) (EU Exit) Regulations 2020</li> <li><i>Records of compliance with any statutory plant health notices</i></li> </ul>			Major/Minor		
1.7	<p><b>Wood Packaging Material (WPM):</b> The import or export of any goods using WPM or supply of WPM to businesses must follow the rules to meet ISPM15 international standards. This applies to the movement of WPM between Great Britain (GB) – England, Scotland and Wales – and other countries, including EU member states and Switzerland</p> <p><b>CRITICAL</b></p>	<ul style="list-style-type: none"> <li>Pallets and other WPM imported from or exported to third countries comply with ISPM15</li> <li>Pallets and other WPM comply with ISPM15 when sending traded plant material and other products to Northern Ireland from GB</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of imports supplied with ISPM15 pallets</li> <li>Evidence of exports supplied with ISPM15 pallets</li> <li><i>Personnel awareness and implementation of the management processes</i></li> </ul>			Major/Minor		
<b>2. Plant Biosecurity Policy</b>								
<b>PURPOSE:</b> Demonstrating the business or organisation's awareness of the threat posed by notifiable pests and their commitment to plant biosecurity								
2.1	<p><b>Plant Biosecurity Policy:</b> A plant biosecurity policy must be in place and communicated to all relevant personnel</p> <p><b>CRITICAL</b></p>	<ul style="list-style-type: none"> <li>The plant biosecurity policy includes: <ul style="list-style-type: none"> <li>a statement recognising the threat from notifiable pests to the business/organisation and the wider environment</li> <li>The business/organisation's approach to plant health and biosecurity</li> <li>a commitment to conducting and maintaining an up-to-date Site and Operations Pest Risk Analysis to minimise the plant biosecurity risks to an appropriate level</li> <li>a commitment to keep up to date with plant health legislation and best practice guidance</li> <li>a commitment to training personnel in plant biosecurity procedures</li> <li>the designated person(s) for plant health and their responsibilities</li> </ul> </li> <li>The plant biosecurity policy is communicated internally to all relevant personnel</li> <li>The plant biosecurity policy and relevant procedures are communicated to all relevant external parties</li> <li>The plant biosecurity policy is signed and dated by the most senior person within the business or organisation</li> </ul>	<ul style="list-style-type: none"> <li>Plant Biosecurity Policy in place</li> <li>Personnel awareness of the rules and implementation of the management processes</li> <li><i>The policy is signed by the most senior person in the business or organisation</i></li> </ul>			Major/Minor		
2.2	<p><b>Plant Biosecurity Policy Review:</b> The Plant Biosecurity Policy must be reviewed at least annually as part of a continuous improvement process</p>	<ul style="list-style-type: none"> <li>The review is signed and dated by a senior manager within the business as part of the process of continuous improvement</li> </ul>				Minor		
<b>3. Plant Health Responsibility</b>								
<b>PURPOSE:</b> There is a clear understanding within the business/organisation of where plant health responsibilities lie								
3.1	<p><b>Plant Health Responsibility:</b> Plant health responsibility within the business must be clearly defined and designated to named personnel</p> <p><b>CRITICAL</b></p>	<ul style="list-style-type: none"> <li>The roles of personnel with plant health management responsibilities are clearly defined, including delivering the requirements of this Standard throughout the business/organisation</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of plant health management responsibilities outlined in job descriptions/organisational structure charts/detailed responsibility in the plant health policy</li> </ul>			Major/Minor		

	<b>4. Site and Operations Pest Risk Analysis (SOPRA)</b>						
	<b>PURPOSE:</b> To ensure an Appropriate Level of Protection for a business/organisation's site(s) and related operations is in place by analysing and identifying the relevant notifiable plant pest pathways and implementing control measures.						
4.1	<b>Site and Operations Pest Risk Analysis:</b> Areas of plant health risk must be identified and assessed, and specific plans in place to minimise these risks to an Appropriate Level of Protection (ALOP) <b>CRITICAL</b>	<ul style="list-style-type: none"> <li>The plans shall detail: <ul style="list-style-type: none"> <li>Site and operations - the site(s) boundaries and relevant operations are defined</li> <li>Susceptible host plants - A list of host plants that are grown or managed and susceptible materials</li> <li>Notifiable pests – A framework that details the relevant notifiable pests</li> <li>Pest Pathways - An assessment of relevant pathways for pests to potentially arrive, move around or leave the site(s)</li> <li>Establishment of risk levels - A systematic risk assessment method for the plants and other relevant materials handled that commences with the highest risk notifiable pests</li> <li>Controls - Measures are implemented that aim to mitigate the specific pest risks identified</li> <li>Managed risk – How the controls minimise the levels of risk</li> <li>Appropriate Level of Protection (ALOP) - Justification of how ALOP is comprehensively achieved and maintained for all aspects of the site(s) and operations</li> <li>Monitoring of the site - A monitoring regime is in place that is linked to the SOPRA</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>A current site and operational pest risk analysis framework (spreadsheet or document)</li> </ul>			Major/Minor	
4.2	<b>Site and Operations Pest Risk Analysis Review:</b> Reviews of the Site and Operations Pest Risk Analysis must be conducted annually as a minimum or more frequently as required, e.g., when new plant species are grown / stocked, or a new notifiable pest risk becomes evident.	<ul style="list-style-type: none"> <li>Reviews are recorded, dated and signed by the person responsible for plant health</li> </ul>	<ul style="list-style-type: none"> <li>A record of the versions with additions and adjustments to the notifiable pest framework (spreadsheet or document)</li> </ul>			Minor	
	<b>5. Supply Chain Management</b>						
	<b>PURPOSE:</b> To reduce the risk of new plant pests being introduced onto a site by checking that all suppliers' plant biosecurity systems minimise risk to an appropriate level						
5.1	<b>Supply Chain Management:</b> The business/organisation must risk-assess all their suppliers and approve only those that meet their plant health requirements <b>CRITICAL</b>	<ul style="list-style-type: none"> <li>There is a supplier risk assessment checklist that is completed by all new suppliers and details any specific compliance requirements and any control measures that are applicable</li> <li>A list of all approved suppliers is in place <i>and is accessible by relevant staff</i></li> </ul>	<ul style="list-style-type: none"> <li>Supplier risk assessment checklist</li> <li>A list of all approved suppliers (<i>that are reviewed on an annual basis</i>)</li> </ul>			Major/Minor	
	<b>6. Plant health hygiene and housekeeping</b>						
	<b>PURPOSE:</b> To reduce the risk of plant pests spreading by implementing effective housekeeping and hygiene practices						
6.1	<b>Plant health hygiene and housekeeping:</b> Plant hygiene and housekeeping rules and practices, that have been assessed and developed through the Site and Operations Pest Risk Analysis processes, must be in place and communicated to all relevant personnel	<ul style="list-style-type: none"> <li>There are plant hygiene and housekeeping rules in place that are informed by the Site and Operations Pest Risk Analysis</li> <li>The rules are communicated to relevant personnel</li> </ul>	<ul style="list-style-type: none"> <li>Fit-for-purpose plant hygiene and housekeeping rules</li> <li>Personnel awareness of the rules and implementation of the management processes.</li> </ul>			Minor	

6.2	<b>Growing media, soil, manure and mulches:</b> In the production or procurement of plants, the use of growing media, soil, <i>manures and mulches</i> must be assessed for the potential to harbour and transmit plant pests	<ul style="list-style-type: none"> <li>• There are systems in place to reduce the risk of plant pests being transmitted via brought in bagged and bulk <i>batches of</i> growing media, soils, <i>manures and mulches</i></li> <li>• There are management processes in place to minimise the risk of plant pests being harboured or spread on the site via growing media, soils, <i>manures and mulches</i></li> </ul>	<ul style="list-style-type: none"> <li>• Product specifications and list of all approved suppliers of growing media, soils, <i>manures and mulches</i></li> <li>• Personnel awareness and implementation of the management processes</li> </ul>			Minor		
6.3	<b>Weed management:</b> Weeds and volunteer plants must be assessed for their potential to harbour and transmit plant pests	<ul style="list-style-type: none"> <li>• There are management processes in place to minimise the risk of plant pests being harboured or spread on the site via weeds and volunteer crops</li> </ul>	<ul style="list-style-type: none"> <li>• Personnel awareness and implementation of the management processes</li> </ul>			Minor		
6.4	<b>Water usage:</b> Water sources, irrigation and drainage systems used in the cultivation and management of plants must be assessed for the potential to harbour and transmit plant pests	<ul style="list-style-type: none"> <li>• The management processes in place minimise the risk of plant pests being harboured or transmitted from water sources</li> <li>• The management processes in place minimise the risk of plant pests being harboured or transmitted via irrigation systems</li> <li>• The management processes in place minimise the risk of plant pests being spread on the site and off the site via drainage systems</li> </ul>	<ul style="list-style-type: none"> <li>• Evidence that an assessment has been conducted and where necessary controls have been implemented.</li> </ul>			Minor		
6.5	<b>Cleaning and sterilisation:</b> Plant cultivation and management processes must be assessed, and safe cleaning and sterilisation practices are implemented.	<ul style="list-style-type: none"> <li>• Cleaning and sterilisation procedures are in place where assessed to be required</li> <li>• Any effluent or debris that is produced as part of cleaning and sterilisation procedures is suitably managed</li> </ul>	<ul style="list-style-type: none"> <li>• Personnel awareness and implementation of the management processes</li> </ul>			Minor		
6.6	<b>Waste treatment and disposal:</b> All residues or waste materials must be assessed for the potential to host, harbour and transmit pests <i>and treated accordingly</i> .	<ul style="list-style-type: none"> <li>• There are management processes in place to minimise the risk of plant pests being harboured or spread from the site via residues and waste material</li> <li>• There are management processes in place to minimise the risk of plant pests being spread via onsite composting systems</li> </ul>	<ul style="list-style-type: none"> <li>• Personnel awareness and implementation of the management processes.</li> </ul>			Minor		
6.7	<b>Wider environment (including landscape plantings within the site):</b> The wider environment and its potential impact on the health of plants on the site must be assessed.	<ul style="list-style-type: none"> <li>• An assessment of plant species planted on (non-cropped vegetation) and surrounding the site's boundary (including new and transient sites) is conducted periodically for pests and diseases</li> </ul>	<ul style="list-style-type: none"> <li>• Record of assessments</li> </ul>			Minor		
6.8	<b>Visitors:</b> The relevant rules related to plant health hygiene and housekeeping must be communicated to and complied with by visitors.	<ul style="list-style-type: none"> <li>• Proportionate measures, based on the level of risk, are in place to minimise the risk of spreading pests on, around and off the site by visitors</li> <li>• Areas that are restricted for plant health reasons are clearly delineated and signposted</li> </ul>	<ul style="list-style-type: none"> <li>• Appropriate measures such as signage, disinfection footbaths (where practicable) or prior information to visitors about the site rules are communicated in advance (e.g. website, contracts etc.)</li> </ul>			Minor		

	<b>7. Plant health controls</b>						
	<b>PURPOSE:</b> To prevent or identify and control quickly the spread of pests on a site or within supply chains with the aim of eradication						
7.1	<b>Goods in:</b> There must be a procedure in place to ensure that incoming goods that have the potential to be infected or harbour pests are checked upon receipt <b>CRITICAL</b>	<ul style="list-style-type: none"> <li>• There is a procedure that details how a consignment or consignment in transit is checked upon receipt (on a main site or satellite sites)</li> <li>• If a sampling system is used, the rationale and methodology is documented</li> <li>• A procedure is in place to ensure that, where deemed necessary, plant material is quarantined in an isolated area and monitored</li> </ul>	<ul style="list-style-type: none"> <li>• Personnel awareness and implementation of the procedure</li> <li>• Sampling system methodology</li> </ul>			Major/Minor	
7.2	<b>Traceability (chain of custody):</b> Traceability must be provided for all plant material sourced, grown and handled <b>CRITICAL</b>	<ul style="list-style-type: none"> <li>• The traceability system provides details and sources of all plant material</li> <li>• The traceability system allows a consignment or consignment in transit to be traced back to the original source to identify all commercial parties that have handled the plant material</li> <li>• The traceability system allows a consignment or consignment in transit to be traced forward to identify all commercial parties to which the plant material has been supplied</li> </ul>	<ul style="list-style-type: none"> <li>• Records available to identify where plant material has originated</li> <li>• Records available to identify the commercial party the plant material has been supplied to</li> </ul>			Major/Minor	
7.3	<b>Plant Protection Treatments:</b> Records of all plant protection treatments, whether routine or following an interception or outbreak, must be kept.	<ul style="list-style-type: none"> <li>• Records outline all treatments that may either suppress or kill a notifiable pest</li> </ul>	<ul style="list-style-type: none"> <li>• Plant protection treatment records</li> </ul>			Minor	
7.4	<b>Dispatch:</b> Plant material must be checked prior to dispatch for plant health issues. <b>CRITICAL</b>	<ul style="list-style-type: none"> <li>• There is a procedure that details how a consignment is checked prior to dispatch</li> <li>• If a sampling system is used, the rationale and methodology is documented</li> </ul>	<ul style="list-style-type: none"> <li>• Personnel awareness and implementation of the procedure</li> <li>• Sampling system methodology (if used)</li> </ul>			Major/Minor	
7.5	<b>Complaints, issues and returns:</b> There must be a complaints management procedure for plant health issues.	<ul style="list-style-type: none"> <li>• There is a record of complaints related to plant health issues and if it relates to a notifiable pest</li> <li>• The complaints record details any withdrawal/recall/disposal procedures</li> <li>• Records of any complaints and actions taken are reviewed at least annually</li> </ul>	<ul style="list-style-type: none"> <li>• Complaints Management Procedure</li> <li>• Complaints record</li> </ul>			Minor	
	<b>8. Monitoring and Ongoing Plant Health Assessment</b>						
	<b>PURPOSE:</b> To identify and assist with the timely control and containment of notifiable pests						
8.1	<b>Monitoring:</b> Plant material must be regularly monitored for plant health issues.	<ul style="list-style-type: none"> <li>• Monitoring records are kept</li> </ul>	<ul style="list-style-type: none"> <li>• Monitoring records</li> </ul>			Minor	
8.2	<b>Self-assessment:</b> A self-assessment against the Plant Health Management Standard must be completed at least annually	<ul style="list-style-type: none"> <li>• A record of the self-assessment is kept and details any non-conformances and corrective actions</li> </ul>	<ul style="list-style-type: none"> <li>• Self-assessment report</li> </ul>			Minor	
8.3	<b>Continual Improvement:</b> Areas for continual improvement must be identified and acted upon	<ul style="list-style-type: none"> <li>• Details of identified improvements are recorded and implemented</li> </ul>	<ul style="list-style-type: none"> <li>• Evidence of implementation of improvements</li> </ul>			Minor	

8.4	<b>Detection of Notifiable Pests:</b> All notifiable pest interceptions and outbreaks (including incursions) must be recorded and a Root Cause Analysis conducted. <b>CRITICAL</b>	<ul style="list-style-type: none"> <li>• A record of all notifiable pest detections and responsive actions is kept</li> <li>• A root cause analysis with details of corrective actions</li> </ul>	<ul style="list-style-type: none"> <li>• Records of all detected notifiable pests and evidence of implementation of corrective actions</li> <li>• Details of all statutory notices and outcomes in regard to plant health regulations</li> </ul>			Major/Minor		
<b>9. Training and Recognition</b>								
<b>PURPOSE:</b> To ensure suitably informed personnel are in place to manage the business/organisation's plant biosecurity systems								
9.1	<b>Plant health competencies:</b> Training records of internal and external training must be maintained.	<ul style="list-style-type: none"> <li>• In the absence of formal qualifications, training is carried out to ensure all relevant personnel understand the principles of the Plant Health Management Standard</li> <li>• Continuing professional development (CPD) to maintain awareness of current plant health issues is undertaken and recorded for relevant personnel</li> </ul>	<ul style="list-style-type: none"> <li>• Training records</li> <li>• Certificates of relevant courses</li> </ul>			Minor		
9.2	<b>Legislation and keeping up to date:</b> The relevant person(s) responsible for plant health must demonstrate how they keep up-to-date with legislation and the latest plant health risks.	<ul style="list-style-type: none"> <li>• The relevant person stays up to date through National Plant Protection Organisation (NPPO) updates or similar</li> </ul>	<ul style="list-style-type: none"> <li>• Evidence that new plant pest information is accessed and acted upon</li> </ul>			Minor		
9.3	<b>Information sharing:</b> Information and knowledge must be shared within the business to ensure all relevant personnel are aware of plant health issues and their management.	<ul style="list-style-type: none"> <li>• The person(s) responsible for plant health are responsible for disseminating key information on plant health throughout the business/organisation</li> <li>• There are processes in place for any suspected plant health issues to be reported to the appropriate member of personnel</li> </ul>	<ul style="list-style-type: none"> <li>• Personnel awareness of plant health and how to report suspected issues</li> </ul>			Minor		

## Useful References

IPPC International Standards for Phytosanitary Measures (ISPMs)  
<https://www.ippc.int/en/core-activities/standards-setting/ispms/>

European and Mediterranean Plant Protection Organisation  
<https://www.eppo.int>

Plant biosecurity strategy for Great Britain (2023 to 2028)  
<https://www.gov.uk/government/publications/plant-biosecurity-strategy-for-great-britain-2023-to-2028/plant-biosecurity-strategy-for-great-britain-2023-to-2028>

The Scottish Plant Health Strategy 2024-2029  
[https://www.sasa.gov.uk/sites/default/files/Scottish%20Plant%20Health%20Strategy%202024-2029\\_.pdf](https://www.sasa.gov.uk/sites/default/files/Scottish%20Plant%20Health%20Strategy%202024-2029_.pdf)

Tree Health Resilience Strategy: Building the resilience of our trees, woods and forests to pests and diseases; Department for Environment Food and Rural Affairs; May 2018[3]  
[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/710719/tree-health-resilience-strategy.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/710719/tree-health-resilience-strategy.pdf)

In the UK the Plant Health Information Portal provides the latest guidance produced by Government regarding plant passporting and phytosanitary certificates.  
The portal provides up-to-date information on pest and diseases together with changes in risk and statutory requirements for the movement of plant material.  
<https://planthealthportal.defra.gov.uk/>

Commission Implementing Regulation (EU) 2019/2072 of 28 November 2019 establishing uniform conditions for the implementation of Regulation (EU) 2016/2031 of the European Parliament and the Council, as regards protective measures against pests of plants, and repealing Commission Regulation (EC) No 690/2008 and amending Commission Implementing Regulation (EU) 2018/2019  
<https://www.legislation.gov.uk/eur/2019/2072/contents>

Forest Reproductive Material - Regulations controlling seed, cuttings and planting stock for forestry in Great Britain, Forestry Commission  
<https://www.legislation.gov.uk/eur/2019/2072/contents>

Plant Health Centre / Plant Healthy Factsheets on pests already populated on the SOPRA template  
[https://www.planthealthcentre.scot/sites/www.planthealthcentre.scot/files/2025-05/39%20Priority%20Pest%](https://www.planthealthcentre.scot/sites/www.planthealthcentre.scot/files/2025-05/39%20Priority%20Pest%20Factsheets.pdf)

Plant Health Risk Register  
<https://planthealthportal.defra.gov.uk/pests-and-diseases/uk-plant-health-risk-register/>

Plant Health Portal alert list  
<https://planthealthportal.defra.gov.uk/trade/imports/alert-list/>

Plant Health Information Service  
<https://check-plant-health-information.service.gov.uk>

Plant Passporting bulletins  
<https://planthealthportal.defra.gov.uk/resources/plant-passport-updates/>