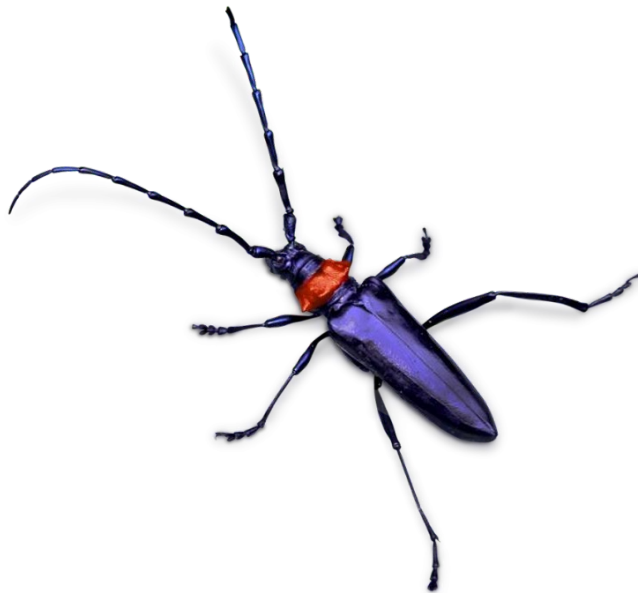# Plant Healthy

Certification Scheme Manual

Plant Health Management Standard

Version 1.3

1st July 2025

Dear valued Members and Applicants,

Thank you for your commitment to improving plant biosecurity and for growing our community of Plant Healthy certified businesses and organisations. By adhering to the Plant Health Management Standard and becoming certified, you are effectively part of a sector-wide Environmental and Social Governance system, with the specific aim of helping protect the health of our cultivated and native flora. The threat from plant pests and diseases is increasing. So too is our knowledge, although it is clear we still have much to learn.

Statutory measures deal with inspections and enforcement, whilst the Plant Healthy Certification Scheme provides a systematic, proactive approach to the prevention of costly and damaging problems and uses the eyes and expertise of those who grow, sell and plant on a daily basis.

The Plant Health Management Standard and the Plant Healthy Certification Scheme (based on this Standard) are administered by the registered charity Plant Healthy Limited. The requirements in this Standard were originally developed by an array of plant health and biosecurity specialists, representing government agencies, trade and environmental NGOs. The Standard is now periodically reviewed by a Technical Advisory Group to incorporate feedback from our valued members, auditors and certification bodies. Any changes recommended by the Group are subject to approval by the Plant Health Alliance, which is comprised of a wide range of trade associations, professional bodies and NGOs, as well as Defra and the devolved governments of Great Britain.

In this version, refinements have been made to several requirements. Of note is the addition of a new requirement - 8.4 - Detection of Notifiable Pests. This has been added to demonstrate that in the event of a plant pest incursion or outbreak, a clear corrective mechanism is in place to help prevent further breaches in biosecurity processes within an enterprise. Careful consideration has also been given to the question of scopes of certification. It is important that the various scopes of a business (relating to growing, selling, planting etc.) are appropriately audited and recorded on the certificate and in the directory. One new scope has been added: that of traders, as distinct from growers or retailers, where different requirements may apply in terms of Plant Passporting.

A commitment to continual improvement is a central tenet of the Plant Health Management Standard. This must be a shared commitment from all involved in the Standard and the Scheme's development, the Certification Bodies and Assessors, through to our certified members.

The ultimate aim is for the Standard to be adopted by all stakeholders in the supply chain, from initial places of production, where plants are propagated and grown, to professionals that sell, handle and manage plants at the other end of the supply chain. This coverage is essential if we are to minimise the risk of plant pests being introduced and spread by professional plantspeople.

I thank you for your proactive and responsible approach to plant biosecurity. By working together across sectors and organisational types, we can help ensure our cherished plant life thrives.

Yours faithfully,

Sir Nicholas Bacon

Chair, Plant Health Alliance and Plant Healthy Limited Trustees

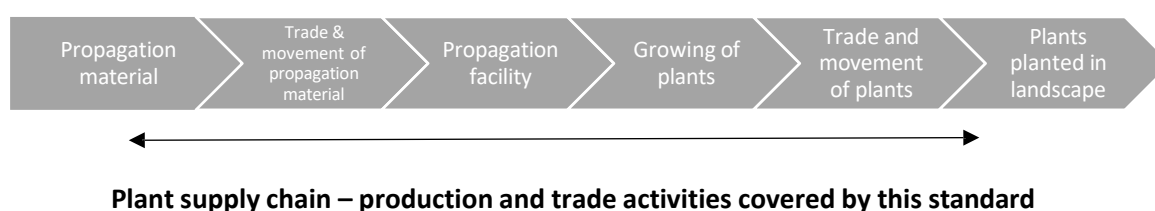# Contents

What is the Plant Health Management Standard?

The Plant Health Management Standard has been developed by industry and government with input from third sector organisations. The Standard was developed in response to an increasing awareness that the movement and management of live plant material can spread new and potentially ecologically damaging plant pests.

The Standard sets out key requirements for plant health and biosecurity management and is relevant to a range of horticultural businesses and organisations that make up the live plant supply chain.

Figure 1: Generalised elements of the supply chain

Propagation material	Trade & movement of propagation material	Propagation facility	Growing of plants	Trade and movement of plants	Plants planted in landscape

Plant supply chain – production and trade activities covered by this standard

What is the Plant Healthy Certification Scheme?

The Plant Healthy Certification Scheme enables businesses and organisations to be independently audited as a means of formally demonstrating that they comply with the Plant Health Management Standard.

The ultimate aim is for the Scheme to be adopted across the ornamental and amenity horticulture supply chain to make it easy to identify businesses and organisations that handle plant material in a manner that promotes plant health and biosecurity.

Scopes of Certification

The scheme is open to:

- Plant Nurseries
- Traders
- Garden Centres
- Retailers of plants for planting
- Landscapers
- Arborists
- Gardens (Public and Private)

When applying for an audit or re-audit, an enterprise must declare all applicable scopes for certification. This is to ensure that the auditor is able to review all processes and procedures, and the certificate indicates the scopes that have been certified. If an enterprise has multiple sites that cover different scopes or activities, then these should be considered with the Certification Body to distinguish the sites and scopes to be covered by an audit. However, the normal expectation is that all applicable scopes and all relevant sites are covered by an audit.

This Standard and its requirements were developed for UK businesses and organisations but also can relate to international markets. Therefore, this standard has the potential to be used internationally, subject to adherence with the statutory requirements for each country.

Application of the Standard to the scopes

Each of the scopes will have unique aspects to their sites and operations. However, the unifying factor is that they are all stakeholders in the live plant supply chain, where live plants are grown, handled and managed.

Some requirements of the Standard may not apply to some sites and operations, and if this is considered to be the case then these specific requirements will not need to be assessed. Or some requirements may not require as much analysis as the other scopes. This can be the case within the same scope, for example the Site and Operations Pest Risk Analysis for a specialist nursery that grows and sells a few plant species will be shorter than a generalist nursery that grows and sells many different plant species.

For this reason, the Standard has been designed to be applied in a proportionate manner. This will enable the type, complexity and size of site and associated operations, to be considered as part of the assessment process.

How to become Plant Healthy Certified

1. Application

Choose from the two independent Certification Bodies below to audit and certify your business or organisation against the Plant Health Management Standard. They will send you an application pack asking for you provide details of the business or organisation that you represent. The Certification Body will then provide you with a quote based on the information in your application. Your initial audit will take place within 60 days of your application being accepted.

Grown in Britain is a not-for-profit independent Certification Body that runs a number of assurance schemes to improve the stewardship, health and resilience of trees and woodlands in the UK. They certify the whole supply chain from nurseries, to forests, through to timber processors. They currently provide Plant Healthy auditing services for nurseries, garden centres, landscapers and public gardens. **Contact Grown in Britain: growninbritain.org/plant-healthy/ Tel. 07584169094**	NSF is a not-for-profit, non-governmental public health and safety organisation that is trusted by thousands of organisations worldwide. They have been helping businesses in the agriculture, food processing, equipment, restaurant, and retail industries to navigate the food safety and regulatory environment for over 75 years. NSF are the sole Certification Body for the Ornamental Horticulture Assurance Scheme (OHAS), auditing and certifying to the OHAS Grower Standard **Contact NSF at: agriculture@nsf.org with the subject line 'Plant Healthy Application' or call the dedicated memberships team on 01993 885739 with any queries.**

2. Audit

An auditor from your chosen Certification Body will contact you to arrange an audit. They will need to walk around the site (or sites) with you and look at your paperwork to check that the site and related operations meets the requirements of the Plant Health Management Standard. They may also wish to speak to relevant personnel at the site to check their understanding of the PHMS requirements. Any areas which do not meet the requirements will be highlighted to you as 'non-conformances'. At the end of the audit the auditor will go through the non-conformance report with you and ask you to sign it to confirm you understand the non-conformances raised. Where non-conformances are raised at first audits, you will generally have 60 days to rectify them. The auditor cannot advise you on how best to rectify the non-conformances but guidance is contained within this Plant Healthy Certification Scheme Manual.

3. Non-conformances

If any non-conformances were raised, you will need to send evidence to your Certification Body to show that these have been addressed within 60 days of the first audit, or 28 days of subsequent audits. This could be copies of paperwork or photos of physical aspects of the site(s). On occasion, the Certification Body may decide that a revisit of the site is required to ensure the requirements are being met and there will be an additional charge for this.

4. Certificate of Conformity

Once all non-conformances are addressed to the satisfaction of your Certification Body you will be sent a Certificate of Conformity, along with the Plant Healthy Certification Mark for you to use in accordance with the Rules at the back of this manual.

5. Renewal and recertification

You will be invited to renew your certification and membership every 12 months. This will require a new audit against the Plant Health Management Standard to ensure that the requirements continue to be met. Where non-conformances are raised at these audits, you will generally have 28 days to rectify them before your certificate is suspended. If the non-conformances raised are considered 'major' then the business' certificate may be suspended immediately until the non-conformance has been corrected. If your certificate is suspended, you have 60 days to provide corrective evidence to your Certification Body before the certificate is withdrawn.

How the Plant Health Management Standard works

The Standard is broken down into sections. At the top of each section you will find the 'purpose' of that section. The requirements are then detailed into two columns, followed by an outline on how the requirement will be assessed. You will find more guidance after some requirements regarding their specific purpose and where to find more help in meeting them.

Some requirements are outlined as 'Critical'. This means that a non-conformance can be raised as either 'major' or 'minor'. If a requirement is not marked as 'Critical' any non-conformance will be considered 'minor'. A non-conformance will be considered major against a critical requirement if no or little effort has been made to meet the requirement e.g. if there is no Site and Operations Pest Risk Analysis completed for the site. A minor non-conformance against the same requirement would be where efforts had been made to meet the requirement but there are still minor elements outstanding, e.g. key pest pathways are missing from the analysis.

Plant Health Management Standard – the Requirements

Note: In the following requirements and guidance, and in line with definitions from the International Plant Protection Convention's (IPPC) and retained European Union Regulations:

*• The term **pest** includes **pathogens** (i.e. **plant diseases**) and the term **infest** includes **infect**.*

*• The term **notifiable** pest includes: **quarantine pests, pest-free area quarantine pests (protected zone quarantine pests** in EU) and **regulated non-quarantine pests**.*

*• An **outbreak** is defined as a recently detected notifiable pest population, including an **incursion**, or a sudden significant increase of an established pest population in an area.*

*• An **incursion** is defined as an isolated individual or population of a notifiable pest recently detected in an area, not known to be established, but expected to survive for the immediate future.*

*•The term **interception (of a pest)** includes: The **detection** of a pest during an inspection or testing of an imported consignment or plants and relevant plant products moved within a country.*

1. Regulatory Requirements

REQUIREMENTS		HOW THIS IS ASSESSED
PURPOSE: To ensure the business/organisation complies with all relevant (or applicable) plant health regulations		
1.1 Registration as a Professional Operator Professional operators that deal with plants must be registered with the UK Plant Health Service (or equivalent) as required **CRITICAL**	• The required registration with the UK Plant Health Service (or equivalent) is complete, based on the operations of the business or organisation	▪ All registration and authorisation documentation are in place and current for the responsible personnel and/ or the business or organisation.
	• If needed, authorisation with the UK Plant Health Service (or equivalent) to issue plant passports is complete	
GUIDANCE Registration as an operator - If you deal with plants professionally you need to be registered with the UK plant health service: https://planthealthportal.defra.gov.uk/trade/plant-passports/registration-and-plant-passports/#		

1.2 Plant Passports Plant Passport legislative requirements must be followed according to the rules applicable to the relevant country or countries **CRITICAL**	• UK Plant Passports are required when plant material is traded between Professional Operators	▪ Plant Passports kept for three years
	• UK Plant Passports are required when plant material is sold via distance selling to final users	
	• 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).	
	• EU Plant Passports are required when plant material is traded between businesses in the EU	

GUIDANCE

UK Plant Passports - https://planthealthportal.defra.gov.uk/trade/plant-passports/

See: Movements to GB from Northern Ireland - UK Plant Health Information Portal

EU Plant Passports requirements must be followed – seek guidance for the relevant areas where plants are being moved.

1.3 Phytosanitary Certificates Legislation with respect to Phytosanitary Certificates must be followed **CRITICAL**	• Phytosanitary certificates are required if plant material is imported from or exported to third countries	▪ Phytosanitary Certificates kept for three years
	• 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	

GUIDANCE

Imports into GB: https://planthealthportal.defra.gov.uk/trade/imports/

Exports from GB: https://planthealthportal.defra.gov.uk/trade/exports/

For all other countries follow the Phytosanitary Certificates legislation for importing and exporting plants.

1.4 Forest Reproductive Material (FRM) FRM legislation must be complied with for the marketing of seed and planting material for forestry purposes **CRITICAL**	• Supplier is registered with the Forestry Commission	▪ Inclusion on the online supplier list (FRM Supplier Search (arcgis.com))
	• Master certificates are available for all FRM collections	▪ Master certificates
	• Suppliers' documentation accompanies all material marketed for forestry purposes	▪ Suppliers' documentation
	• OECD certificates are required if plant material is imported from or exported to OECD countries	▪ OECD certificates

GUIDANCE

The Forest Reproductive Material (Great Britain) Regulations 2002 apply in Great Britain. Outside of GB, where similar legislation or regulation exists this should be followed.

For the species covered by FRM legislation, the rules relating to OECD Forest Seed and Plant Scheme are complied with for the marketing of seed and planting material for forestry purposes.

1.5 Notifiable Pest Interceptions or Outbreaks There must be a procedure in place to identify and manage any suspected notifiable pest interceptions, incursions or outbreaks **CRITICAL**	• The procedure includes (as a minimum)	▪ Notifiable Pest Interceptions or Outbreaks Procedure
	o Informing the relevant authority immediately if a notifiable pest is suspected	
	o Isolating and containing the affected plants and suspected pests	
	o Clearly marking the affected product to ensure that it is not inadvertently moved or sold	
	o Acting on the instructions of the relevant authority; no treatment or disposal actions to take place without the authorisation of the relevant authority	

GUIDANCE
Contact the appropriate authority in your region as determined by the relevant National Plant Protection Organisation or plant health service authorities

1.6 Other Statutory Requirements All Statutory Plant Health Notices and Special Conditions must be complied with **CRITICAL**	• 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	▪ Evidence that imported plant material has been assessed against Schedule 7 of The Plant Health (Phytosanitary Conditions) (Amendment) (EU Exit) Regulations 2020
	• All Statutory Plant Health Notices are complied with	▪ Records of compliance with any statutory plant health notices

GUIDANCE
Special requirements (additional declaration) guide tool, plants for planting:
https://planthealthportal.defra.gov.uk/trade/imports/imports-from-the-eu/import-requirements/import-special-requirements/imports-special-requirements-tool-and-user-guide-for-plants-for-planting/

Great Britain - special requirements regulations:
https://www.legislation.gov.uk/uksi/2020/1527/schedule/7/made

Outside of GB, where similar requirements exist, these should be followed.

1.7 Wood Packaging Material (WPM) 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 **CRITICAL**	• Pallets and other WPM imported from or exported to third countries comply with ISPM15 • Pallets and other WPM comply with ISPM15 when sending traded plant material and other products to Northern Ireland from GB	▪ Evidence of imports supplied with ISPM15 pallets ▪ Evidence of exports supplied with ISPM15 pallets ▪ Personnel awareness and implementation of the management processes

GUIDANCE

ISPM15 applies to imports into GB as to goods exported from GB. Ensure ISPM15 marking is present, clear and not damaged. If unsure, do not use the pallet or WPM for export, just use for internal GB movement.

ISPM15 applies to international movements, although the EU is treated as a single country for these purposes. See: ISPM 15. Regulation of wood packaging material in international trade

2. Plant Biosecurity Policy

REQUIREMENTS		HOW THIS IS ASSESSED
PURPOSE: Demonstrating the business or organisation's awareness of the threat posed by notifiable pests and their commitment to plant biosecurity		
2.1 Plant Biosecurity Policy A plant biosecurity policy must be in place and communicated to all relevant personnel **CRITICAL**	• The plant biosecurity policy includes: o a statement recognising the threat from notifiable pests to the business/organisation and the wider environment o The business/organisation's approach to plant health and biosecurity o 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 o a commitment to keep up to date with plant health legislation and best practice guidance o a commitment to training personnel in plant biosecurity procedures o the designated person(s) for plant health and their responsibilities • The plant biosecurity policy is communicated internally to all relevant personnel • The plant biosecurity policy and relevant procedures are communicated to all relevant external parties • The plant biosecurity policy is signed and dated by the most senior person within the business or organisation	▪ Plant Biosecurity Policy in place ▪ Personnel awareness of the rules and implementation of the management processes ▪ The policy is signed by the most senior person in the business or organisation

2.2 Plant Biosecurity Policy Review The Plant Biosecurity Policy must be reviewed at least annually as part of a continuous improvement process	• The review is signed and dated by a senior manager within the business as part of the process of continuous improvement	▪ Evidence that the Plant Biosecurity Policy is reviewed at least annually

GUIDANCE

'Relevant personnel' are, as a minimum, those people engaged with the growing, husbandry, treatment, packing and dispatch of plants including administration of issuing and attaching plant passports. One way of demonstrating that relevant personnel are aware of the Plant Biosecurity Policy is for the Policy to be signed and dated e.g. as part of an induction process.

'Designated person(s)' are those who have specific responsibilities within the business/organisation for plant health and biosecurity (see Section 3).

One of the most common pathways for notifiable pests to be introduced into a new area is by the movement of live plant material. In recent years there have been numerous examples from around the world of exotic pests being introduced into new areas and causing considerable damage to industry, communities and the natural environment.

Most live plants are moved through supply chains which can include an array of businesses and organisations that grow, handle and / or manage live plant material. A policy statement is a document that enables a business or organisation to demonstrate that they are aware of the threats from notifiable pests and that they acknowledge their responsibility for the plants they source, grow, manage and supply.

The structure and content of the document will depend on the type of business/organisation, however the requirements above provide the key aspects that must be covered.

An example of other items that a Plant Biosecurity Policy could include can be found on page 44 of the Arboricultural Association's Application of Biosecurity in Arboriculture. A few of the bullet points covered relate to arboriculture, however the majority are generic and can apply to any business or organisation within the supply chain.

3. Plant Health Responsibility

REQUIREMENTS		HOW THIS IS ASSESSED
PURPOSE: There is a clear understanding within the business/organisation of where plant health responsibilities lie		
3.1 Plant Health Responsibility Plant health responsibility within the business/organisation must be clearly defined and designated to named personnel **CRITICAL**	• The roles of personnel with plant health management responsibilities are clearly defined, including delivering the requirements of this Standard throughout the business/organisation	▪ Evidence of plant health management responsibilities outlined in job descriptions/organisational structure charts/detailed responsibility in the plant health policy
GUIDANCE The roles and responsibilities of any personnel designated with plant health management are clearly defined and include delivering the requirements of this standard throughout the business. This could be a single person, or more than one, designated with the responsibility to manage the plant biosecurity systems within the business or organisation. In small businesses or organisations, the plant health manager duties can be an additional responsibility of existing personnel. A contractor/consultant may be used to assist/advise on keeping up to date with changes associated to plant health e.g., recent threats, treatments, etc. In larger or group businesses or organisations, it may be appropriate to have a senior member of staff with overall responsibility, who may designate specific responsibilities to site managers and/or other personnel. In the event of personnel absence, there should be provision for a trained deputy to be in place to ensure all responsibilities are met.		

4. Site and Operations Pest Risk Analysis (SOPRA)

REQUIREMENTS		HOW THIS IS ASSESSED
PURPOSE: 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 Site and Operations Pest Risk Analysis 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) **CRITICAL**	• The plans shall detail: o Site and operations - the site(s) boundaries and relevant operations are defined o Susceptible host plants - A list of host plants that are grown or managed and susceptible materials o Notifiable pests – A framework that details the relevant notifiable pests o Pest Pathways - An assessment of relevant pathways for pests to potentially arrive, move around or leave the site(s) o 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 o Controls - Measures are implemented that aim to mitigate the specific pest risks identified o Managed risk – How the controls minimise the levels of risk o Appropriate Level of Protection (ALOP) - Justification of how ALOP is comprehensively achieved and maintained for all aspects of the site(s) and operations o Monitoring of the site - A monitoring regime is in place that is linked to the SOPRA	▪ A current site and operational pest risk analysis framework (spreadsheet or document)
GUIDANCE See Appendix for information on how to produce a Site and Operations Pest Risk Analysis (SOPRA)		

	REQUIREMENTS	HOW THIS IS ASSESSED
4.2 Site and Operations Pest Risk Analysis Review 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.	• Reviews are recorded, dated and signed by the person responsible for plant health	▪ A record of the versions with additions and adjustments to the notifiable pest framework (spreadsheet or document)

5. Supply Chain Management

REQUIREMENTS		HOW THIS IS ASSESSED
PURPOSE: 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 Supply Chain Management The business/organisation must risk-assess all their suppliers and approve only those that meet their plant health requirements **CRITICAL**	• 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 • A list of all approved suppliers is in place and is accessible by relevant staff	▪ Supplier risk assessment checklist ▪ A list of all approved suppliers (that are reviewed on an annual basis)
GUIDANCE The supply chain can include any plant material (living or dead), growing media and other items that may harbour pests such as wood packaging material, reusable packaging or boxes; timber boxes; plastic trays and transport containers. Details of businesses and organisations that are certified members of the Plant Healthy Certification Scheme can be found on the Plant Healthy web-based directory: https://planthealthy.org.uk/directory		

6. Plant Health Hygiene and Housekeeping

REQUIREMENTS		HOW THIS IS ASSESSED
PURPOSE: To reduce the risk of plant pests spreading by implementing effective housekeeping and hygiene practices		
6.1 Plant health hygiene and housekeeping 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	• There are plant hygiene and housekeeping rules in place that are informed by the Site and Operations Pest Risk Analysis • The rules are communicated to relevant personnel	▪ Fit-for-purpose plant hygiene and housekeeping rules ▪ Personnel awareness of the rules and implementation of the management processes
GUIDANCE Site cleaning, maintenance and disinfection regimes, such as steam cleaning, brushing, wash down and end of season or post crop cleaning can be recorded to demonstrate housekeeping rules are in place and being implemented		

6.2 Growing media, soil, manures and mulches In the production or procurement of plants, the use of growing media, soil, manures and mulches must be assessed for the potential to harbour and transmit plant pests	• There are systems in place to reduce the risk of plant pests being transmitted via brought in bagged and bulk batches of growing media, soils manures and mulches • There are management processes in place to minimise the risk of plant pests being harboured or spread on the site via growing media, soils manures and mulches	▪ Product specifications and list of all approved suppliers of growing media, soils, manures and mulches ▪ Personnel awareness and implementation of the management processes
GUIDANCE Supplied growing media has the potential to contain plant pests. The aim of an assessment is to minimise this risk to an appropriate level. This can be by means of various treatments in the production process by the growing media supplier. Ask the supplier to provide evidence that the growing media ingredients (e.g. coir, bark, wood fibre), soil, manures and mulches (including pot toppers) have been produced and handled in a biosecure manner. On-site management procedures must be in place to ensure that growing media, soil and organic manures are stored and handled in a biosecure manner. This can include the use of designated storage areas for holding substrates and organics manures. Segregating areas where new substrate is used from waste areas will help ensure cross-contamination does not occur.		

6.3 Weed management Weeds and volunteer plants must be assessed for their potential to harbour and transmit plant pests	• 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	▪ Personnel awareness and implementation of the management processes

GUIDANCE

Weed species or volunteer crops (plants that persist beyond the crop lifecycle) can harbour pests and diseases. These plants should be managed so as to minimise the risk of spreading plant pests and diseases on and from the site.

6.4 Water usage 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	• The management processes in place minimise the risk of plant pests being harboured or transmitted from water sources	▪ Evidence that an assessment has been conducted and where necessary controls have been implemented.
	• The management processes in place minimise the risk of plant pests being harboured or transmitted via irrigation systems	
	• The management processes in place minimise the risk of plant pests being spread on the site and off the site via drainage systems	

GUIDANCE

Water is an effective carrier of many pathogens. Mains or borehole water supplies tend to be low risk. Sourcing water from open reservoirs, ponds, rainfall butts or extracting from rivers can carry a higher risk, unless the water is treated using a method proven to kill damaging microorganisms.

Puddles and excess run-off can spread waterborne pathogens. Containerised plants should be grown on a free-draining surface, preferably raised above ground. Persistent puddles in areas where plants are grown, sold or stored can assist the spread of some damaging microorganisms.

6.5 Cleaning and sterilisation Plant cultivation and management processes must be assessed, and safe cleaning and sterilisation practices are implemented.	• Cleaning and sterilisation procedures are in place where assessed to be required • Any effluent or debris that is produced as part of cleaning and sterilisation procedures is suitably managed	▪ Personnel awareness and implementation of the management processes

GUIDANCE

Plant pests can be spread from one plant to another via personnel, tools and equipment. This can be directly, e.g. on pruning equipment, or indirectly, e.g. on water or soil carried on machinery. Routine cleaning and sterilisation of footwear, tools, machinery and other items used in the production or management of plants will reduce the spread of pests.

6.6 Waste treatment and disposal All residues or waste materials must be assessed for the potential to host, harbour and transmit pests and treated accordingly	• 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 • There are management processes in place to minimise the risk of plant pests being spread via onsite composting systems	▪ Personnel awareness and implementation of the management processes

GUIDANCE

Plant pests and diseases can be transmitted onto, around or from a site on live plant material and other media that have come into contact with plant pests. Many of these pests (e.g. microorganisms) are not visible to the naked eye.

All plant residues (e.g. clippings and prunings) and other waste materials (e.g. spent substrates, used pots and packaging material) should be assessed and managed accordingly.

There is increasing evidence that waste heaps (e.g. growing media and plant material) can spread plant pests if not well designed and managed. Reusing or spreading residues such as spent growing media that has not been appropriately treated is a high-risk practice as it can spread pests on the site and the into wider environment.

There are several viable options for plant waste disposal, with the cost, ease of use and efficacy of pest-kill differing between them. Some can be employed on-site e.g. composting or incineration (with relevant permits and/or exemptions in place). Others involve collection by a registered waste carrier followed by landfilling or treatment by waste management companies. While incineration on the nursery can be effective in killing pathogens, it can also be difficult with relatively wet wastes and can create smoke which is unacceptable to nursery workers and those living and working in surrounding areas.

On-site composting is only effective where the process is well understood, well managed and results in all parts of the waste pile being subjected to high temperatures, at an appropriate moisture content for a sufficient length of time. Records (e.g. duration and temperatures reached) will help ensure and demonstrate that composting processes are effective.

Collection and treatment of horticultural wastes by a registered waste carrier followed by appropriate treatment by specialist waste management companies (through PAS100 accredited composting or incineration) is likely to prove the most effective way of removing disease threats

6.7 Wider environment (including landscape plantings within the site) The wider environment and its potential impact on the health of plants on the site must be assessed.	• 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	▪ Record of assessments
GUIDANCE Plant pests can be transmitted to or from nearby vegetation. Plant pests can inadvertently be transmitted from plant material that has been cultivated on or is moved onto a site for growing on or planting. Knowing the pest threats to plants and trees growing on or in the immediate proximity to a site provides an opportunity to identify notifiable pests quickly and potentially control them before they spread further.		

6.8 Visitors The relevant rules related to plant health hygiene and housekeeping must be communicated to and complied with by visitors	• 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 • Areas that are restricted for plant health reasons are clearly delineated and signposted	▪ 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.)
GUIDANCE It is well known that visitors can bring plant pests onto a site. This can occur, for example, by visitors bringing plant material onto the site, on their footwear or on the vehicles they arrive in. The plant health rules for the site, where practicable, must be communicated to visitors before they reach the site, or when they arrive on site. Other proportionate measures must be implemented as required.		

7. Plant Health Controls

REQUIREMENTS		HOW THIS IS ASSESSED
PURPOSE: 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 Goods in There must be a procedure in place to ensure that incoming goods that have the potential to be infested or harbour pests are checked upon receipt **CRITICAL**	• There is a procedure that details how a consignment or consignment in transit is checked upon receipt (on a main site or satellite sites) • If a sampling system is used, the rationale and methodology is documented • A procedure is in place to ensure that, where deemed necessary, plant material is quarantined in an isolated area and monitored	▪ Personnel awareness and implementation of the procedure ▪ Sampling system methodology
GUIDANCE Where it is not practical or feasible to check every plant/product then a sampling system must outline and ensure the method is fit-for-purpose as to which plants/products are checked. Quarantine areas can be used (where deemed necessary) to ensure externally sourced plant material is well separated from other plants and monitored for a suitable time. The monitoring period will be determined by plant pest lifecycles, i.e. the time required for either tests to be conducted or for symptoms to emerge.		

| **7.2 Traceability (chain of custody)**
Traceability must be provided for all plant material sourced, grown and handled
CRITICAL | • The traceability system provides details and sources of all plant material

• 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

• 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 | ▪ Records available to identify where plant material has originated
▪ Records available to identify the commercial party the plant material has been supplied to |

GUIDANCE The traceability system in place should enable the business/organisation to identify key data in a timely manner in the event that infested plant material has been identified within the supply chain. The system should identify where plant material is sourced from (e.g. seed or mother plants) and if and when batches of live plants have been split for either the purposes of production or dispatch. In Great Britain there is a GB Plant Passporting E-learning modules that provides traceability		

7.3 Plant Protection Treatments Records of all plant protection treatments, whether routine or following an interception or outbreak, must be kept	• Records outline all treatments that may either suppress or kill a notifiable pest	▪ Plant protection treatment records
GUIDANCE Ensure records of all plant protection treatments are available to assist with any investigation regarding potential detections and spread of notifiable pests on a site. Records of all treatments, such as pesticides, bio controls for native pests & diseases are useful as they help Defra Outbreak advisors understand what's been used – e.g. methods of application, frequency, concentration, if Extension of Authorisation for Minor Use (EMAUs) products are used, physical control methods. This information can help delimiting the area of statutory control.		

7.4 Dispatch Plant material must be checked prior to dispatch for plant health issues **CRITICAL**	• There is a procedure that details how a consignment is checked prior to dispatch • If a sampling system is used, the rationale and methodology is documented	▪ Personnel awareness and implementation of the procedure ▪ Sampling system methodology (if used)

7.5 Complaints, issues and returns There must be a complaints management procedure for plant health issues.	• There is a record of complaints related to plant health issues and if it relates to a notifiable pest • The complaints record details any withdrawal/recall/disposal procedures • Records of any complaints and actions taken are reviewed at least annually	▪ Complaints Management Procedure ▪ Complaints record

8. Monitoring and Ongoing Plant Health Assessment

REQUIREMENTS		HOW THIS IS ASSESSED
PURPOSE: To identify and assist with the timely control and containment of notifiable pests		
8.1 Monitoring Plant material must be regularly monitored for plant health issues	• Monitoring records are kept	▪ Monitoring records
GUIDANCE The monitoring regime and recording should be informed by the Site and Operations Pest Risk Analysis. This will help personnel understand what notifiable plant pest symptoms are being monitored for on individual species.		

PURPOSE: To internally assess the business/organisation's plant health and biosecurity		
8.2 Self-assessment A self-assessment against the Plant Health Management Standard must be completed at least annually	• A record of the self-assessment is kept and details any non-conformances and corrective actions	▪ Self-assessment report
GUIDANCE There is a self-assessment tool available at: www.planthealthy.org.uk. This system can be used to conduct a self-assessment or assist in an internal audit of an enterprise against the Plant Health Management Standard.		

8.3 Continual Improvement Areas for continual improvement must be identified and acted upon	• Details of identified improvements are recorded and implemented	▪ Evidence of implementation of improvements
GUIDANCE A commitment to continual improvement (procedural and/or practical) is part of the Site and Operations Pest Risk Analysis. As the threat posed by plant pests and diseases evolves, awareness and pro-action are necessary to help keep the risk of introducing or spreading infested plant material to a low and appropriate level.		

8.4 Detection of Notifiable Pests All notifiable pest interceptions and outbreaks (including incursions) must be recorded and a Root Cause Analysis conducted **CRITICAL**	• A record of all notifiable pest detections and responsive actions is kept • A root cause analysis with details of corrective actions	▪ Records of all detected notifiable pests and evidence of implementation of corrective actions ▪ Details of all statutory notices and outcomes in regard to plant health regulations

GUIDANCE
In the event that a notifiable pest is detected it is necessary to record: the plant pest species, the host plant(s) or plant material, where and when the pest was identified and who detected the pest. In addition, detail when and how Government inspectors were informed and record all steps taken in response to each notifiable pest detection.
Perform a Root Cause Analysis to determine how the interception or outbreak (including incursions) occurred. Log the process to demonstrate the analytical steps to identify the root cause of each pest issue and the changes made to the business or organisation to prevent the incursion occurring again.

9. Training and Recognition

REQUIREMENTS		HOW THIS IS ASSESSED
PURPOSE: To ensure suitably informed personnel are in place to manage the business/organisation's plant biosecurity systems		
9.1 Plant health competencies Training records of internal and external training must be maintained	• In the absence of formal qualifications, training is carried out to ensure all relevant personnel understand the principles of the Plant Health Management Standard	▪ Training records ▪ Certificates of relevant courses
	• Continuing professional development (CPD) to maintain awareness of current plant health issues is undertaken and recorded for relevant personnel	
GUIDANCE https://planthealthy.org.uk/resources/plant-healthy-e-learning-modules Plant Passporting e-learning module - UK Plant Health Information Portal (defra.gov.uk) Royal Society of Biology plant health professionals Plant health register (rsb.org.uk)		

9.2 Legislation and keeping up to date The relevant person(s) responsible for plant health must demonstrate how they keep up to date with legislation and the latest plant health risks	• The relevant person stays up to date through National Plant Protection Organisation (NPPO) updates or similar	▪ Evidence that new plant pest information is accessed and acted upon
GUIDANCE If available, register for phytosanitary updates from the NPPO or access their website on a regular basis to ensure all new legislation is understood and implemented.		

9.3 Information sharing Information and knowledge must be shared within the business to ensure all relevant personnel are aware of plant health issues and their management	• The person(s) responsible for plant health are responsible for disseminating key information on plant health throughout the business/organisation	▪ Personnel awareness of plant health and how to report suspected issues
	• There are processes in place for any suspected plant health issues to be reported to the appropriate member of personnel	

GUIDANCE
Information sharing may include use of reference material or information systems from the Plant Health Portal, induction checklist, personnel handbook, noticeboards, shared drives, team meetings, training workshops, end of season review.

Appendix - Guidance for conducting a SOPRA – PHMS 4.1

Site and Operations Pest Risk Analysis (SOPRA)

This guidance supports a business or organisation to proactively and systematically analyse the risk of introducing and/or spreading notifiable plant pests and diseases. The aim is to protect the business's or organisation's site(s) and operations, the businesses and organisations they trade with and to prevent the spread of pests and diseases into the wider environment. The goal is to reduce the risk to an appropriate level, where the risk of introducing and spreading notifiable plant pests and diseases is minimised by implementing effective controls.

The term 'pests' includes plant diseases and the term 'infest' includes infect. Notifiable pests are:

Quarantine pests (including pest-free area quarantine pests (UK) and protected zone quarantine pests (EU)): A pest of potential economic importance to the area endangered thereby and not yet present there, or present but not widely distributed and being officially controlled [FAO, 1990; revised FAO, 1995; IPPC 1997]

Regulated non-quarantine pests' (RNQPs): A non-quarantine pest whose presence in plants for planting affects the intended use of those plants with an economically unacceptable impact and which is therefore regulated within the territory of the importing contracting party [IPPC, 1997]

The SOPRA process is based on two key risk management concepts that are applied to plant health and biosecurity:

Appropriate Level of Protection (ALOP) – World Trade Organisation.

Pest Risk Analysis (PRA) – International Plant Protection Convention.

These concepts are normally applied nationally, and in the case of PRA to a specific plant pest. The Plant Health Management Standard has adapted the principles of ALOP and PRA and applied these concepts to a business or organisation's site or sites and its operations. A site can be permanent or temporary, e.g. in the case of a rented field or in the immediate area where landscaping or arboricultural operations are being carried out on a client's site.

The aim of a SOPRA is to primarily identify the notifiable pests that could potentially be introduced onto, spread within, or moved from a business or organisations site(s). Potential pathways for plant pests to move on include, for example, the movement of: live plants, people, machinery, vehicles, packaging material. These pathways are common to the operations a variety of businesses and organisations that grow, handle or manage plant material.

Significant pests are considered, as a minimum, to be (i) all notifiable pests and (ii) other pests specific to your business. The Plant Health Management Standard is primarily focused on notifiable pests and it is that category of pests that will be assessed in the audit. If there are 'other pests' present then this will be covered by the plant health hygiene and housekeeping requirements as the presence of such pests may indicate that requirements are not being met. However, this analysis is can be used as a basis for understanding and preventing the occurrence all categories of plant pest.

A SOPRA should take an evidence-based, proactive approach and thereby reduce the risk to an Appropriate Level of Protection of moving notifiable plant pests through plant supply chains. See the UK Plant Health Risk Register for up-to-date plant pest and host information. The National Plant Protection Organisations (NPPOs) in other regions may have similar databases of plant pests and associated risks and these should assist with a SOPRA.

Implementation of a Site and Operational Pest Risk Assessment (SOPRA)

The SOPRA can be applied to any size of site where live plants are moved onto, grown on or dispatched from. In terms of the existing scopes of the Plant Healthy Certification Scheme this includes: plant nurseries, retail businesses that sell live plants, landscaper's yards and client sites, arborist's yards and client sites and gardens. Some of the principles may also apply to other situations such as plant shows where many plants from different sources are brought together onto a single site for a period of time and then dispersed. Once the SOPRA has been produced, reviewing and maintaining it should be a quick process.

Analysis process

Step 1: Define the boundaries of the site(s) concerned and related operations. This may be a permanent site, for example, the perimeter of a nursery or a transient site e.g. a rented field of a client's garden. In terms of operations, this will include people, substances, materials and equipment moving on and between sites. Maps showing the infrastructure and boundaries of the site(s) are useful as are operational process flow charts. This will assist in the identification of critical points where pests can be introduced and spread.

Step 2: A list of host plants should be compiled with, as a minimum, the riskiest candidate of a species selected to represent each genus. The riskiest candidate is likely to be the largest specimen that a plant is grown or traded as, and /or based on the rooting format (e.g. bare root is generally less risky than roots with growing media or soil attached, although there are exceptions). In certain cases, it may require more than one species from a genus, for example where a notifiable pest is unique to a single or subset of species within a genus. Materials that pests can travel on should also be listed and analysed.

The primary focus should be on plants, equipment and materials that are moved onto and off the site. For example, in terms of conducting a SOPRA on an established garden, it is the plants that are brought onto the site or moved from the site that should be considered for this analysis. Plants and trees that are already growing on a site, e.g. within the garden or as part of a nursery or garden centre's landscaping scheme will be considered in section 6.7 - Wider environment (including landscape plantings within the site).

Step 3: Based on the list of plants and materials compiled in step 2, use either the UK Plant Health Risk Register (UKPHRR) or the Pest and Disease Index (PDI) to identify the notifiable pests with the highest mitigated risk ratings relevant to the business or organisation. By using the UKPHRR this can be done by sorting in descending order the highest mitigated risk of the relevant notifiable pests. By taking this approach the riskiest, and therefore potentially the most damaging pests, are likely to be analysed early on.

Step 4: Coupled with the identification of notifiable pests are the pathways on which plant pests can potentially arrive, be spread around or from a site. These pathways can include, for example: the movement of water, growing medium and soil, wood packaging material or footwear as well as on infested plants (this list not exhaustive). This step requires a systematic mapping process and analysis of all potential pathways to transmit plant pests.

Step 5: Informed by the risk ratings, a framework (which may include risk matrices) should be set out that cross-relates the plant species / materials handled and the pathways with the highest-risk pests to the site(s) and operations. If the risk ratings from the UKPHRR or PDI have been used then these

should be adjusted to consider the business or organisations unique situation. That is, if a particular host plant is grown in large quantities then the risk rating for a pest may be increased as the impact on the site(s) and operations would be relatively higher. This step is key as it enables each pest risk to be understood and establishes the basis for what systems can effectively be implemented to protect the site(s) and operations.

Step 6: The pests and pathways are understood and associated risks categorised. The pest risk management phase involves identifying existing or putting additional control measures in place to minimise the risk to an appropriate level. The controls can be, for example, as simple as not sourcing high-risk plants from regions where a pest is present or quarantine areas and periods, depending on the life-cycle of the types of plant pests that have been identified.

Step 7: Assess and demonstrate (quantify and/or qualify) the effectiveness of the implemented control measures in minimising the risk of introducing or spreading plants pests.

Step 8: Based on the above steps, establish that an Appropriate Level of Protection for the site and related operations has been reached. The use of mitigated risk ratings (adjusted to the specific site and operations – see step 5) can be used to demonstrate that all risks have been minimised. This demonstrates that all of the controls implemented when combined lead to an Appropriate Level of Protection (ALOP) for the business or organisation's site(s) and related operations. Step 8 aims to ensure that with all factors and measures considered, a comprehensive approach is taken to reach ALOP.

Step 9: Check that the monitoring regime (PHMS section 8) is linked to the SOPRA. I.e. So that relevant staff know the symptoms of the notifiable pests that are in the analysis.

SOPRA – Diagram of process flow
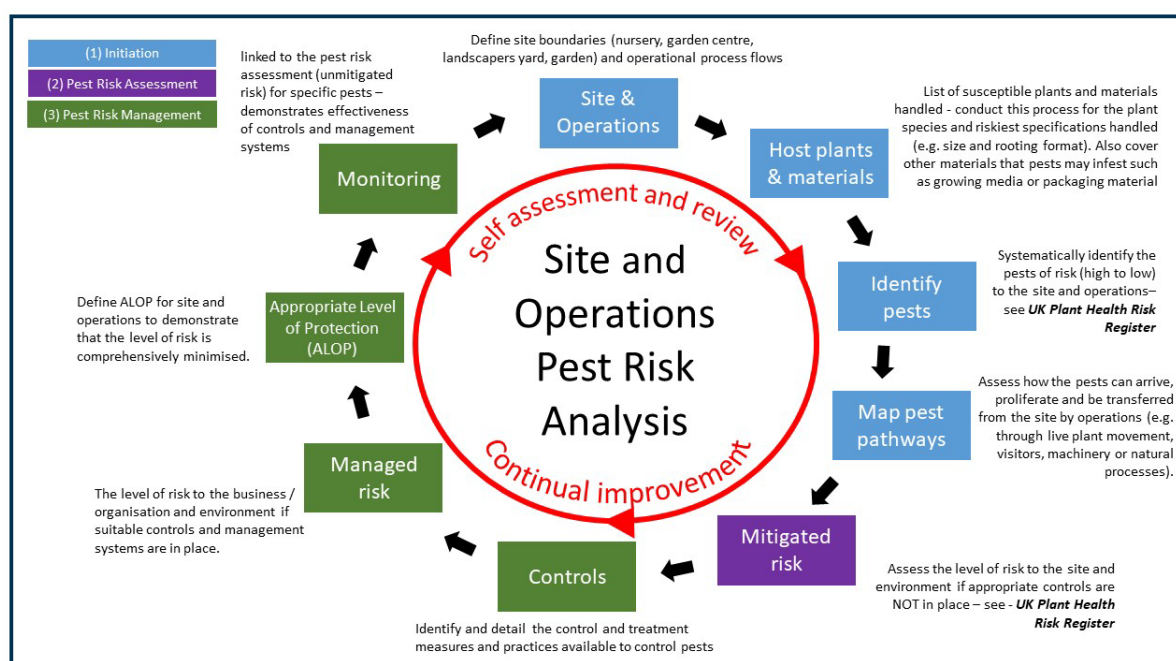
The use of risk assessment matrices in a SOPRA

The process of a risk assessment is to examine the level of risk based on the data collection and the consequence of a biosecurity failure related to the specific pest pathway. One way of making this assessment is to use risk management matrices.

Examples of risk matrices are demonstrated below in Table 1 and Table 2.

Table 1: Risk matrix - likelihood and consequences

Likelihood		Highly Likely	Likely	Unlikely	Highly Unlikely
Consequences/impacts of pest entry establishment and spread	High	High	High	High	Medium
	Medium	High	High	Medium	Low
	Low	Medium	Medium	Low	Low

Table 2: Risk matrix - risk situation and level of risk

Risk situation	Level of Risk		
	Low	Medium	High
Potential of a pest being introduced from geographical areas (national and international). Awareness of location of suppliers and the pests present in their locality.			
Links in the supply chain – understanding the stages of involved in plant production, e.g. and the trade and movement of material and the number of businesses involved in their production.			
Have the plant health management procedures of your suppliers been assessed? Low = all suppliers can demonstrate an appropriate level of protection Medium = some suppliers can demonstrate an appropriate level of protection High = No suppliers can demonstrate an appropriate level of protection			

The matrices are based on two criteria:

1. Likelihood: the probability of a risk
2. Consequences: the severity of the impact or the extent of damage caused by the risk

Using the first matrix as an example, based on the likelihood of the occurrence of the risk, the risk could be classified under one of four categories – highly likely, likely, unlikely, or highly unlikely. The consequences of a risk can again be ranked and classified into one of three categories, based on how severe the consequences could be.

Once the risks have been evaluated using the matrix, in cells corresponding to the appropriate likelihood and consequences, it becomes visibly clear as to which risks are high. Each of the risks placed in the table will fall under one of the categories, for which different colours have been used in the example above. Those in red are the most critical they are the most likely to occur and have the most severe consequences, and as such should receive higher priority, orange are medium and yellow lowest priority. This provides the basis for implementing controls that minimise all risks to an appropriate level.

Following the risk assessment, the next step in the SOPRA is to detail how the identified risks have been mitigated through controls.

The information produced can then be used to produce a full suite of risk assessments. The way in which they are integrated to demonstrate that ALOP has been comprehensively established for the site(s) and operations is based on adapting these matrices to individual situations.

Useful links

Pest & Disease Index

The PDI is 'host-driven' rather than 'pest-driven' so you can easily look at the commodities you trade in and the pests applicable to them, along with whether that pest is present in the UK, the most likely pathways of entry if it is not present, what special requirements in legislation are relevant to that pest, and what the mitigated and unmitigated risk rating of the pest is.

https://planthealthportal.defra.gov.uk/latest-news/pest-and-disease-index/

UK Plant Health Risk Register

The UK Plant Health Risk Register is a major step in implementing the recommendations of the independent Task Force on Tree Health and Plant Biosecurity. It is a tool for government, industry and stakeholders to prioritise action against pests and diseases which threaten our crops, trees, gardens and countryside. The Register is publicly available.

Plant pests not yet on the Risk Register may still be subject to plant health controls. The Plant Health Risk Register does not represent a comprehensive record of all pests of plant health concern, it is an evolving document to which more pests are being added every month.

UK Plant Health Risk Register (defra.gov.uk)

Pest and disease resources – Forest Research

Information covering specific tree and woodland problems

https://www.forestresearch.gov.uk/tools-and-resources/fthr/pest-and-disease-resources/

ISPM 5: Glossary of phytosanitary terms: International Standards for phytosanitary measures, FAO, International Plant Protection Convention, 2022

https://assets.ippc.int/static/media/files/publication/en/2022/05/ISPM_05_2022_En_Glossary_2 022-04-22_PostCPM-16InkAmdts_5fyy114.pdf

Plant Healthy Certification Scheme Membership Rules

1. Introduction

   The Plant Healthy Certification Scheme has been designed by members of the horticulture and forestry sectors under the umbrella of the Plant Health Alliance [Alliance].

   The Alliance is comprised of a wide range of trade associations, professional bodies and NGOs, as well as Defra and the devolved governments of Great Britain. It meets biannually and is supported by a Working Group which meets monthly.

   The Scheme aims to set high standards of professionalism in the way in which certified businesses and organisations operate and through unbiased and effective evaluation by Certification Bodies to ensure that these standards are maintained.

   The ultimate objective is to ensure that professional and amateur buyers of plants for planting have confidence in the biosecurity and health of the products and services procured from certified businesses and organisations.

2. Management of the Plant Healthy Certification Scheme

   2.1.   The Scheme is owned by the registered charity Plant Healthy Limited, managed by its Project Director and overseen by a board of trustees.
   2.2.   The Scheme is based on the Plant Health Management Standard and is subject to Scheme Rules. These are reviewed as set out in 3.4 below. Promotion of the Scheme is managed by Plant Healthy Limited.
   2.3.   Plant Healthy Limited   is responsible for appointing suitable Certification Bodies and reserves the right to sanction the Certification Bodies in evidence of non-compliant procedures.
   2.4.   Plant Healthy Limited engages the services of an independent compliance specialist to provide oversight of the certification process.

3. The Plant Health Management Standard

   3.1.   There is one Standard – the Plant Health Management Standard - covering a variety of sectors that grow, buy, sell and manage plants. There is a list of scopes of certification covering the activities which may be certified and these are set out in 5.1 below.
   3.2.   Audits are carried out by Plant Healthy Certification Scheme appointed Certification Bodies.
   3.3.   Certification against this Standard will give Plant Healthy Certification to a business or organisation.
   3.4.   The Technical Advisory Group of the Alliance will review the Plant Health Management Standard and the Plant Healthy Certification Scheme Membership Rules every three years as a minimum. Recommend changes and updates will be presented to the Plant Healthy Limited Trustees and to the Plant Health Alliance for approval. Revisions of the Standard and/or the Rules will be communicated to members and Certification Bodies with a minimum of three months' notice to allow for implementation of the changes. Extraordinary reviews may be carried out if a particular issue is brought to the attention of the Alliance.

4. Certification Options for businesses and organisations:

Option A: A business/organisation on a single site or across multiple sites where policies and/or procedures may differ across the sites. Every site under the scope for which certification is being sought will be audited by the CB.

Option B: A business/organisation across multiple sites, with central management where policies and/or procedures are replicated across the sites and all sites are audited/evaluated annually against the Plant Health Management Standard by an Internal Auditor. The square root of sites, including HQ and a review of all of the Internal Auditor's reports will be audited by the CB. These sites do not operate as separate legal entities.

Option C: A group of multiple organisations/businesses where all sites are audited annually against the Plant Health Management Standard by an Internal Auditor or Group Leader and the square root of sites, to include a representative sample of the sites, including a review of all of the Internal Auditor/Group Leader's reports are audited by the CB. These sites operate as separate entities.

Separate procedures are available on request for the Option B and Option C group schemes.

5. General Membership Information

   5.1.   The Scheme is open to:
   - Plant Nurseries
   - Traders
   - Garden centres
   - Retailers of plants for planting
   - Landscapers
   - Arborists
   - Gardens (public and private)

   Other sectors can be added to this list on approval by the Alliance

   5.2.   All sites under the scope for which certification is being sought must meet the Plant Health Management Standard and be audited as such.

   5.3.   Those who wish to join the Plant Healthy Certification Scheme must: -

   5.3.1.   Agree to meet the requirements set out in the Plant Health Management Standard.

   5.3.2.   Agree to abide by these Scheme Membership Rules.

   5.3.3. Prepare appropriate documentation, operating procedures and records as required by the Standard.

   5.3.4. Allow the auditors access to the nursery / field / packhouse / factory / retail area / garden / operational sites (as appropriate) and relevant documentation.

   5.3.5. Agree to pay audit and certification costs, where appropriate, and travel expenses to the appointed Certification Body. An initial and subsequent annual membership fee to the Alliance will be collected by the CBs on the Alliance's behalf. These fees will be passed to the Alliance.

   5.3.6. Agree only to use the Plant Healthy Individual Certification Mark on their advertising material or stationery (including websites and email templates), only when they are fully certified against the Standard. Use of the Individual Certification Mark must be in accordance with section 7.0. below and the Plant Healthy Visual

Guidelines.

5.4. The membership fee is due for payment each year on renewal. If payment has not been received within 60 days of the application/renewal date, the Alliance reserves the right to terminate membership and the Certification Body will withdraw certification.

5.5. Certification procedures for new members will not commence until the initial membership fee is paid, and for existing members new certificates will not be issued until the annual membership fee is received.

5.6. If a member's certified business goes into liquidation, membership is immediately void.

5.7. If a member's certified business is amalgamated or a major re-structuring occurs a new certified audit in order to retain Plant Healthy Certification may be needed.

5.8. The Certification Body must be notified as soon as possible of any new permanent or rented sites taken on by a certified business or organisation that fall under the same scope as the certified sites. Dependent on the nature of these sites, a spot check audit will be required to certify the sites.

5.9. Where a new site is acquired by an existing member, or members, and is to be operated as a business or company, which is separate from businesses already certified, then this must be clearly stated. Such separate businesses must apply for membership in their own right.

5.10. A list of certified members will be continually updated and available on the Plant Healthy [website](#).

5.11. To maintain Certification, a member must undertake an audit within the annual audit window (6.14). The Certification Body will advise a member in which month their next audit is due.

5.12. On becoming certified, a member will be issued with a unique Plant Healthy Certification Scheme certificate number. This number will be allocated by the Alliance and issued to the member by the Certification Body.

5.13. The Certification Body will issue the Plant Healthy Certification Scheme certificates.

6. Audit Procedures

6.1. The Scheme requirements will be as set out in the Plant Health Management Standard and will be maintained at the same level, unless specific changes are agreed by the Alliance and communicated to all members before any such changes are implemented.

6.2. Audits will be undertaken by Plant Healthy Certification Scheme appointed Certification Bodies.

6.3. A minor non-conformance occurs when a Standard requirement is not met, but without any major consequences. It is a deficiency that will not result in the failure of, nor seriously weaken, the Plant Healthy certification. The plant health / biosecurity system is not impacted to the extent that it reduces its ability to assure controlled processes and therefore the business or organisation meet the requirements of the Plant Healthy Certification Scheme.

6.4. A major non-conformance is when there is an absence or total breakdown in the system to meet the Plant Health Management Standard requirements. Essentially, it is a deficiency that will seriously impair the effectiveness of the plant health / biosecurity management system.

6.5. If any minor non-conformances are found during an audit the auditor sets out a reasonable deadline for corrective measures of no more than 60 days for the initial audit and 28 days for subsequent audits.

6.6. When major non-conformances have occurred the certification body will review the non-

conformance details with the assessor and may suspend the certificate and may order a completely new audit to be conducted after the defects have been corrected. If the major non-conformances are of a severe nature that risks the purpose of the Certification Scheme, then the CB has the right to refuse to award a certificate or to re-audit a business or organisation. This will be with the agreement of the Governing Body.

6.6.1. Once suspended, members have 60 days to rectify major non-conformances before certification is withdrawn.

6.7. For initial audits only, rectification of all non-conformances must be completed within 60 days.

6.8. If the auditor assesses that an additional visit is required to close out any non-conformance(s) then this will be outlined by the Certification Body. The CB, on verifying evidence of non-conformance rectification, can also request an additional verification visit, if deemed necessary. An additional re-audit fee will be charged.

6.9. All corrections and corrective actions will be assessed; with clarification provided to show whether the action(s) taken and evidence provided is sufficient to close the non-conformance. Evidence of the resolution of non-conformances can be provided in the form of documentary evidence and / or photographic evidence and / or video or live video conference call as appropriate. This evidence will be sent directly to the auditor or directly to the CB as determined by the CB.

6.10. Current members failing to adequately correct non-conformances within 28 days will have their certificates suspended and their certification status updated to 'suspended' on the membership directory. Following suspension of the certificate, non-conformances must be rectified within 60 days or certification will be withdrawn. The Scheme management will be informed who will withdraw membership to the Scheme and remove the member from the membership directory. The member will need to re-join the Scheme and have a new audit to re-gain certification.

6.11. Where a certified business takes on a new site, a spot check may be necessary to ensure the Plant Health Management Standard is being adhered to. The same requirements will apply to rented sites, with the exception of specific factors beyond the control of the certified grower e.g. weed control in areas adjacent to the glasshouses.

6.12. Short term rented sites (including transient sites), defined as rented for periods shorter than 6 months, will be audited by the auditors but only if the site is in use on the date of the audit. The business or organisation being audited is required to provide auditors and the Certification Body with details of any rented sites and spot checks may be required to ensure the Plant Health Management Standard is being adhered to.

6.13. The Certificate issued by the Certification Body will clearly state the scope(s) that have been audited as part of the Plant Healthy Certification Scheme. All sites under the certified scope must have been audited by the CB (or in the case of Option B or C, a sample thereof).

6.14. The Certificate issued by the Certification Body will be valid for twelve months, from the date of the certification decision, which will be stated on the Certificate. The "valid from" date for subsequent certificates issued will always revert to the "valid from" date in the original certificate, except when the certification decision is made after the expiration of the previous certificate. The subsequent audit should be carried out a minimum of once per audit window every 12 months. The audit window is defined as plus/minus 4 months from the certification renewal date and the annual audit can be carried out at any time from 8 months from the previous audit without affecting renewal for certification If the audit is required to be carried out more than 1 month (and up to 4 months) after the

original expiry date of the certificate, an extension of the certificate must first be approved by the CB in accordance with clause 6.15 below. There must be a minimum period of 6 months between 2 audits for recertification.

6.15. The validity of the certificate may be extended by more than 1 month beyond the 12 months (for a maximum period of 4 months) only under the conditions detailed below and must be recorded in the audit report. The member must apply in writing to the Certification Body for an extension. The Certification Body may refer the decision to the Alliance. The only reasons that are considered to be valid are:

- The Certification Body wants to schedule the audit after the certificate has expired in order to observe a certain part of the production process, because it has not been seen in the previous audit, because it is considered to be a high-risk process in terms of product safety or to be able to see a newly added product or process.

- The Certification Body needs to be able to extend the validity of some certificates because of unforeseen resource restraints.

- The Certification Body was not able to conduct the audit, and / or the member was not able to receive the Certification Body audit due to circumstances beyond its control (force majeure) e.g.: natural disaster, political instability in the region, epidemic or unavailability of the member due to medical reasons.

   In all cases, the date of expiry of the new certificate will remain as the anniversary date of the original certificate

6.16. The granting of a Certificate is conditional on compliance by the Plant Healthy Certification Scheme member with all applicable requirements set out in the Plant Health Management Standard and these Scheme Membership Rules.

6.17. The Certification Body must be informed of product withdrawals or recalls that relate to notifiable plant pests and diseases, which may result in re-inspection or suspension of certification. In the case of suspension of certification, the Alliance will be informed.

6.18. Unannounced audits or spot checks may be carried out by the Certification Body at any time. The Certification Body will inform the certificate holder in advance of the intended visit. This notification will not normally exceed 48 hours. If in an exceptional case where it is impossible for the certificate holder to accept the proposed date (due to medical or other justifiable reasons), the certificate holder will receive one more chance to be informed of an unannounced audit or spot checks. The certificate holder shall receive a written warning if the first proposed date has not been accepted. The producer will receive another 48-hour notification of a visit. If the visit cannot take place because of non-justifiable reasons, a suspension of the certificate will be issued. Any non-conformances raised during the audit will need to be corrected as per the requirements in 7.3-7.10. A certificate will not be re-issued following an unannounced audit.

6.19. Legislation overrides the Plant Health Management Standard requirements where relevant legislation is more demanding. Where there is no legislation (or legislation is not so strict), Plant Health Management Standard requirements provides a minimum acceptable level of compliance. The audit carried out by the Plant Healthy Certification Scheme's appointed Certification Body is not replacing the responsibilities of public compliance agencies to enforce legislation.

7. Use of the Plant Healthy Logo and Certification Mark

7.1. The Plant Healthy logo owned by Plant Healthy Ltd is protected by trademark and registered with the Intellectual Property Office. Its use is strictly limited to preserve the

integrity of the Plant Healthy brand and the values it enshrines.

7.2. The logo can only be used by Alliance members, certified businesses and certification bodies to promote the Plant Healthy Certification Scheme in accordance with the Plant Healthy Visual Guidelines.

7.3. Any Asset toolkit(s) provided from time to time by the Plant Health Alliance may only be used by members of the Alliance and/or certified businesses/organisations. Assets provided as part of the Asset Toolkit must only be used to promote the Plant Healthy Certification Scheme and must not be used to imply a business/organisation is certified.

7.4. The Individual Certification Mark is made up of the Plant Healthy logo combined with the certification number of the business. The Plant Healthy Individual Certification Mark can only be used by certified businesses/organisations to promote the certified nature of their business once the certificate has been issued by the Certification Body.

7.5. Certificate holders have the right to use the Plant Healthy Individual Certification Mark upon and for the duration of their certificate. Certificate holders obtain no property in the Plant Healthy Certification Mark.

7.6. If a certificate is withdrawn, the Individual Certification Mark and any references to the Plant Healthy Certification Scheme must be removed from all association with the business until such time as the business regains certification.

7.7. The Individual Certification Mark can only be used in association with the scope(s) of the business/organisation that are certified.

7.8. The Individual Certification Mark can only be used on point-of-sale material (posters, banners etc.), marketing and communications paraphernalia e.g. websites, letterhead or email footers, identifying that that business/organisation meets the Plant Health Management Standard.

7.9. No variation of the Plant Healthy logo or Certification Mark can be used on product or on its packaging or appear to imply that a product meets the Plant Health Management Standard.

8. Complaints

8.1. The responsibility for complying with the requirements of the Plant Healthy Certification Scheme as defined in the Scheme Rules and in the Plant Health Management Standard and for complying with statutory requirements rests with the certificate holder and, therefore, any complaint about a product or system arising from possible infringements of the law shall be dealt with by the certificate holder concerned. Complaints of this nature coming directly to the Alliance will be referred to the certificate holder for appropriate corrective action to be taken. The Certification Body shall be informed of the complaint and will take appropriate action.

8.2. Where objective evidence indicates that a certified business/organisation has misused (fraudulently or otherwise) the Plant Healthy Certification Mark or Plant Healthy logo, certification will be withdrawn and the member will not be considered for recertification for a period of 12 months. In such cases a new audit will be required to re-gain certification.

8.3. Any complaints or appeals against the Certification Body will follow the Certification Body's own complaints and appeals procedure. Information of these procedures is available from the Certification Body. The resulting action may affect the certification status of the member. In case the Certification Body does not respond adequately, the complaint can be addressed to the Alliance.

8.4. Any complaint about the operation of the Plant Healthy Certification Scheme or the audit process should be made in the first instance to the Plant Healthy Limited Project Director, in writing, for resolution. If this is not achieved, or if there is a complaint against the Plant Healthy Certification Scheme management, or associate of the Plant Health Alliance, full written details of the complaint and any accompanying documents should be sent in confidence to the Chair of the Alliance.

    8.4.1. The Chair shall carry out such investigation as they deem necessary to obtain as much relevant information as possible about the complaint. This investigation may require discussing the contents of the complaints with all parties involved to determine all required information.

    8.4.2. If the Chair is of the opinion that they can reach a settlement between the parties, then reasonable endeavours shall be used to deal with the complaint as soon as reasonably practicable after the complaint has been received by the Chair of the Alliance.

    8.4.3. If the complaint is one of substance, or it is not possible for the Chair of the Alliance to reach settlement between the parties, they shall report the complaint to members of the Plant Health Alliance, who may in their discretion either refer the matter to a disciplinary sub-committee for their recommendations or deal with the matter themselves.

    8.4.4. The person or persons to whom the complaint relates shall in every case be called upon for an explanation and shall have the opportunity for their defence to be heard, which may be verbal or written, or both.

    8.4.5. In the event that:

        8.4.5.1. The person or persons to whom the complaint relates fail to attend a meeting to allow them to be heard in their defence; or

        8.4.5.2. The person or persons to whom the complaint relates gives no explanation about the complaint; or

        8.4.5.3. The Alliance are of the opinion that the complaint is established and that it be expedient to impose a sanction, the person or persons may be removed from their post as part of the Plant Healthy Certification Scheme or in their post as a member or associate of the Alliance until such time as the Alliance consider that they may be reinstated.

        8.4.5.4. Alternatively, in an appropriate case, the Alliance may decide to refuse to accept any further subscriptions from the Alliance member concerned and therefore their Alliance membership will thereupon lapse.

9. Privacy Policy

9.1. Plant Healthy Limited (hereinafter referred to as 'We', "Our" and "Us") is committed to protecting and respecting Plant Healthy Certification Scheme members' privacy. This policy sets out the basis on which any
personal data that Plant Healthy Certification Scheme collects from Scheme members, or that Scheme members provide to Plant Healthy Certification Scheme, will be processed by Plant Health Certification Scheme. For the purpose of the Data Protection Act 1998 ("the Act"), and for the purpose of the General Data Protection Regulations ("GDPR") the Alliance or designated Alliance member are the data controller. The Plant Health Alliance Privacy Policy can be found at: www.planthealthy.org.uk/privacy-policy

9.2. Plant Healthy Certification Scheme may collect and process the following data about you either directly or via the CBs:

- Information that you provide on the Plant Healthy website

www.planthealthy.org.uk. This includes information provided at the time of registering to use our site or requesting further services. We may also ask you for information if you report a problem to us.

- If you contact us (including but not limited to contact by telephone, letter or email) we may keep a record of that correspondence.
- We may also ask you to complete surveys that we use for research purposes, although you do not have to respond to them.
- Details of your visits to our website and the resources that you access.
- A list of certified businesses and organisations will be detailed on the Plant Healthy website.

9.3.   Unfortunately, the transmission of information via the internet is not completely secure. Although we will do our best to protect your personal data, we cannot guarantee the security of your data; any transmission is at your own risk. Once we have received your information, we will use strict procedures and security features to try to prevent unauthorised access.

9.4.   When you supply any personal information to Plant Healthy Certification Scheme (e.g. for competitions or registering for membership access) we have legal obligations towards you in the way we deal with that data. We must collect the information fairly (see the notices on particular webpages or other materials supplied that let you know why we are requesting the information); we must let you know how we will use it; and we must tell you in advance if we decide to pass the information on to anyone else. We will hold your personal information on our systems for as long as you use the service you have requested and remove it in the event that the purpose has been met, or, in the case of membership access, you no longer wish to continue your registration as a member or registered user.

9.5.   We use information held about you in the following ways:

9.5.1. To provide you with information, products or services that you request from us or which we feel may interest you, where you have consented to be contacted for such purposes.

9.5.2. To allow you to participate in interactive features of our services, when you choose to do so.

9.5.3. To notify you about changes to our service.

9.6.   From time to time we may send you details of other services and products that may be of interest to you and offer you the opportunity to subscribe to them. We will keep a record of information provided by you. Please note that any information you provide to us will never be supplied to third parties without first obtaining your consent unless we are obliged to disclose such information by law.

9.7.   If you do not want us to use your data in accordance with this clause, or to pass your details on to third parties for marketing purposes, please tick the relevant box situated on the page or form on which we collect your data. Please note that if you choose not to be contacted by us, we may not be able to provide you with any products or services, which you have subscribed to.

9.8.   We may disclose your personal information to any member of the Alliance.

9.9.   We may disclose your personal information to third parties:

9.9.1. If we or substantially all of our assets are acquired by a third party, in which case personal data held by us about our members will be one of the transferred assets

9.9.2. If we are under a duty to disclose or share your personal data in order to comply with any legal obligation, or in order to enforce or apply our terms of business and other

agreements; or to protect our rights, property, or safety of our personnel, members, or others. This includes exchanging information with other companies and organisations for the purposes of fraud protection and credit risk reduction.

9.10. You have the right to ask us not to process your personal data for marketing purposes. We will inform you (before collecting your data) if we intend to use your data for such purposes or if we intend to disclose your information to any third party for such purposes. You can exercise your right to prevent such processing by checking certain boxes on the pages or forms we use to collect your data. You can also exercise the right at any time by contacting us at www.planthealthy.org.uk/contact-us

9.11. The Data Protection Act 1998 gives you the right to access information held about you. Your right of access can be exercised in accordance with the Act. Any access request may be subject to a fee of £10 to meet our costs in providing you with details of the information we hold about you.

9.12. Any changes we may make to our privacy policy in the future will be posted on the Plant Healthy website and, where appropriate, notified to you by email.