

Review of the Implementation of ISPM13

Cataloguing Challenges and Opportunities

**International Plant Protection Convention (IPPC)
Food and Agriculture Organization of the United Nations
Via delle Terme di Caracalla 00153
Rome, Italy**

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NOTE: The annex to this report has been prepared on oversized paper format.

Implementation Review and Support System (IRSS)

Report on Activity carried out for ISPM No. 13 (2001): Guidelines for the notification of non-compliance and emergency action

Background

ISPM 13 was first adopted by the Interim Commission on Phytosanitary Measures (ICPM) in April of 2001. The standard describes the actions to be taken by countries regarding the notification of (i) a significant instance of failure of an imported consignment to comply with specified phytosanitary requirements, including the detection of specified regulated pests, (ii) a significant instance of failure of an imported consignment to comply with documentary requirements for phytosanitary certification, (iii) an emergency action taken on the detection in an imported consignment of a regulated pest not listed as being associated with the commodity from the exporting country, (iv) an emergency action taken on the detection in an imported consignment of organisms posing a potential phytosanitary threat.

As requested by the Subsidiary Body on Dispute Settlement (SBDS) in response to issues raised at CPM-6, the IRSS study of ISPM13 will contribute to the overall review by the SBDS of its roles and functions. Together with members of the SBDS and the IPPC community at large, the IPPC Secretariat developed a 6 part questionnaire that was administered to 177 IPPC contact points in the seven FAO regions.

The questionnaire was also sent to the 9 Regional Plant Protection Organizations and shared with staff of the FAO.

Scope of the Questionnaire

The questionnaire was derived primarily from sections of the text of ISPM13 on the provisions of the IPPC relating to notifications, considerations of significant instances of non-compliance, emergency actions, timing of notifications, information included in notifications and other details related to notifications of significant instances of non-compliance as envisaged by the standard. The questionnaire also provided for the respondents to present any perceived constraints and factors affecting countries' reactions, actions and investigations in regard to notifications, as well as the way countries determine significant instances of non-compliance, actions taken to resume trade, and formal mechanisms employed for contentious issues that have not been solved bilaterally.

Feedback was received from the following 50 contracting parties in the different regions as follows:

- *Africa*: Malawi, Uganda, Togo, Kenya, South Africa, Ghana, Guinea-Bissau, Namibia
- *Asia*: Indonesia, Malaysia, Thailand, Singapore, Philippines, Japan
- *The Caribbean*: St. Vincent and the Grenadines, Belize, St. Kitts and Nevis, Guyana
- *Eastern Europe and Central Asia*: Bosnia and Herzegovina, Turkey, Azerbaijan, Belarus
- *EU member states*: Poland, Estonia, Bulgaria, United Kingdom, Austria, Czech Republic, The Netherlands, Malta
- *Europe*: Switzerland
- *Latin America*: Argentina, Chile, Uruguay, Costa Rica, Dominican Republic, Peru, Mexico, Panama
- *Near East*: Morocco, Iraq, Lebanon
- *North America*: United States, Canada
- *South West Pacific*: Tonga, New Caledonia, Niue, Australia, Cook Islands, New Zealand

This report presents global information from the data captured by the IRSS study on ISPM6 under the same sections as in the IRSS questionnaire. These sections include (i) General Procedures, (ii) Use of Notification, (iii) Bilateral Exchanges, (iv) Phytosanitary Measures, (v) Documented Procedures, and (vi) Open-Ended Feedback. Responses to the final section of the report have been categorized

based on frequency of response and have been summarized in Section F. Annex I presents the raw data received from the 50 countries.

A. General Procedures

For the countries that participated in this IRSS activity, National Plant Protection Organizations (NPPOs) have clear legal authority and take necessary actions to address any significant instances of non-compliance. In instances of non-compliance, however, some ten percent of the respondents indicated that importing countries' notifications received by their NPPO do not indicate the channel of communication or the authority to whom any response should be addressed. Furthermore, in those instances of non-compliance, channels of communication and the authority listed in the notification received by the importing country, are not the same as the official Contact Point in the IPP. For those cases where the communication and acting authority is not the official IPPC Contact Point, NPPOs are not provided with alternative contact points or alternative arrangements for responding to notifications.

Outstanding general features of procedures presented in figures 1-3. In addition some other notable conclusions include:

- Importing countries phytosanitary requirements are not easily accessible nor clearly communicated to exporting countries' NPPOs when requested
- In those cases where importing countries phytosanitary requirements are easily communicated to the exporting countries, 27% of respondents indicated that they are not clearly explained to the exporters prior to production/commercialization of the concerned commodities/regulated articles
- Notifications received by NPPOs do not allow sufficient time for exporting countries to respond in order to avoid loss of products/markets (for 31% of survey respondents).

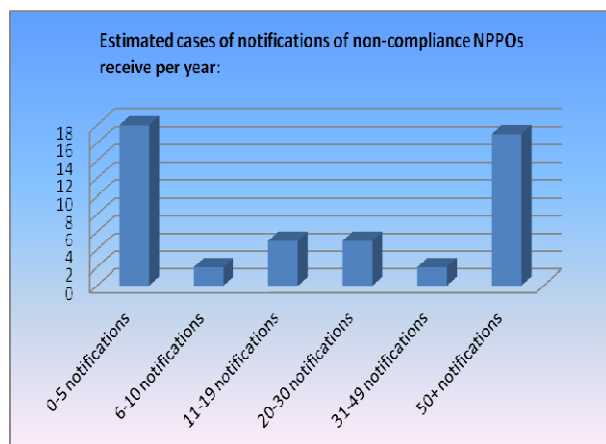


Fig. 1

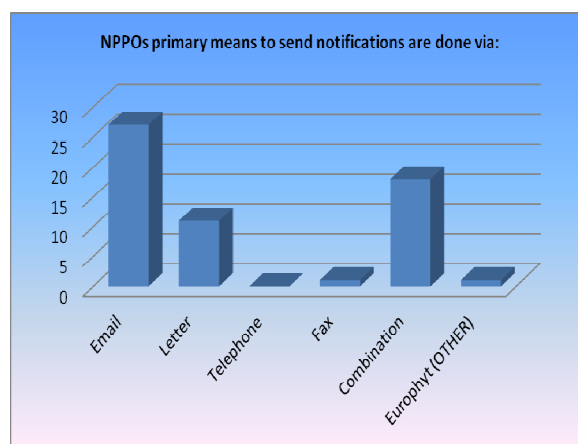


Fig. 2

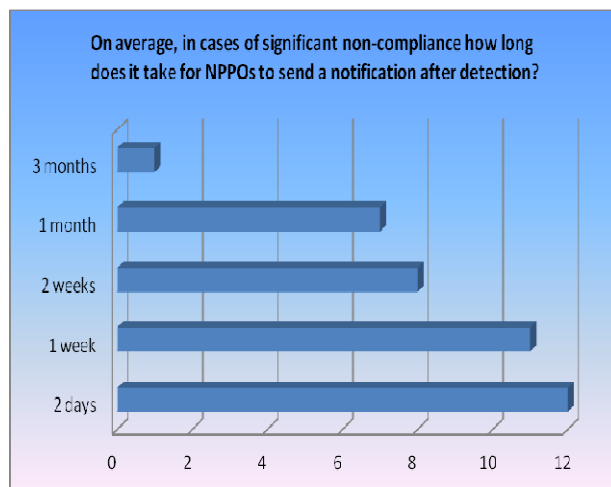


Fig. 3

B. Use of Notification

Respondents overwhelmingly noted that in cases of non-compliance, their NPPOs notify the IPPC Contact Points and to a lesser degree the Certifying Authority in the exporting country. In cases of new phytosanitary measures resulting from recurrent instances of non-compliance, respondents indicated that they notify the IPPC Contact Points and to a lesser degree the Certifying Authority in the exporting country.

Outstanding notification features are presented in figures 4-7. In addition some other notable conclusions include:

- 35% of NPPOs noted that they do not follow-up on any notifications with the notifying NPPO in cases where there are significant deviations on how the notification is prepared (with respect to the provisions in ISPM13)
- 27% of respondents indicated that the notifications received by their NPPOs are not detailed enough to enable any investigative action or to take corrective measures/actions
- For the most part, NPPOs provide notifications to NPPOs of exporting countries primarily concerning:
 1. Interception of pests (39%);
 2. Cases of non-compliance (34%);and
 3. Interceptions of consignments (27%).

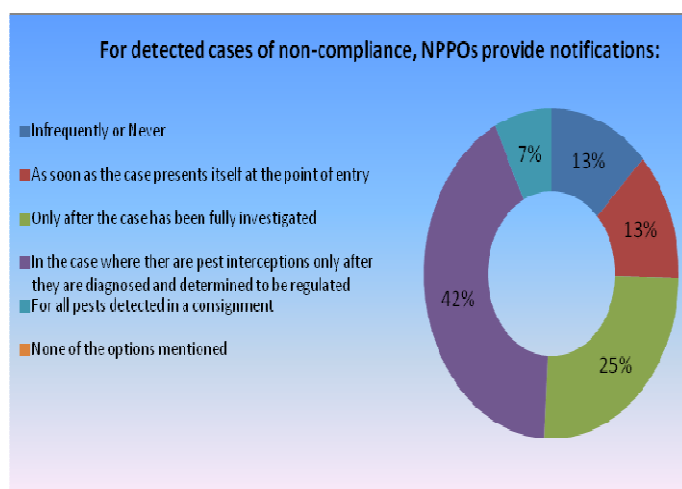


Fig. 4

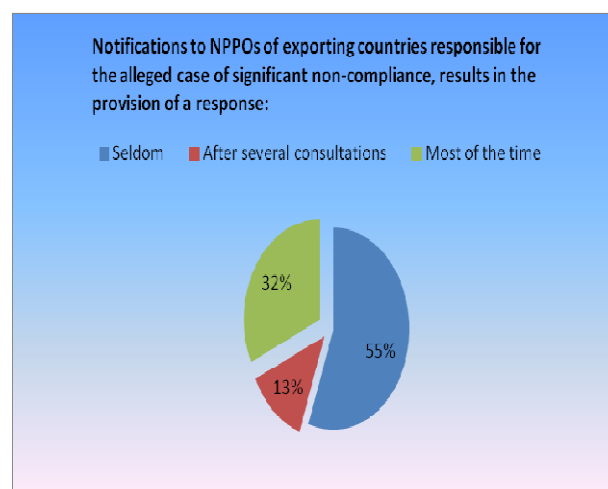


Fig. 5

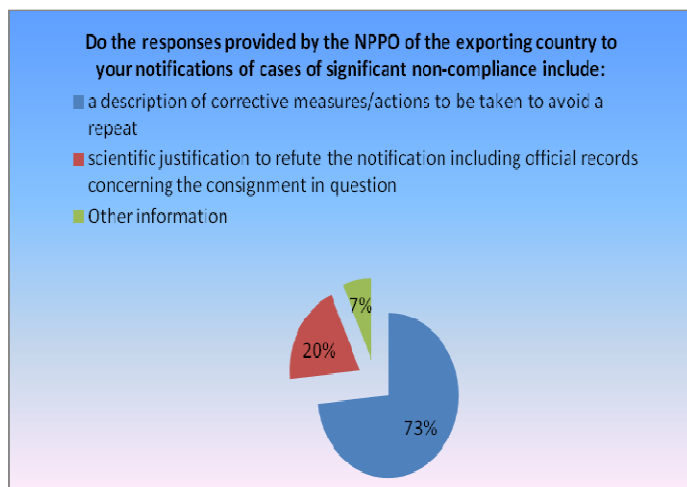


Fig. 6

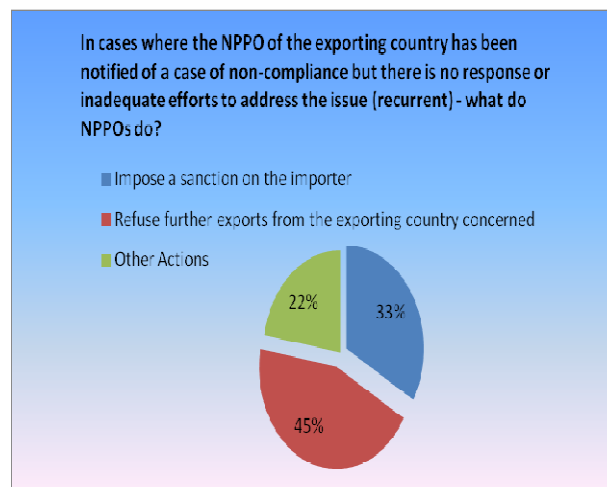


Fig. 7

C. Bilateral Exchanges

According to country responses, only 61% noted that bilateral agreements are in place for reporting and responding to instances of significant non-compliance. Some 31% of respondents indicated that their NPPOs have received notifications of non-compliance caused by a pest that was known to be present in the importing country/territory but not subjected to official control. Of significance, 45% of respondents indicated that their NPPOs have received notifications in the past of non-compliance caused by the presence in consignments of a pest that is not present in their own territory.

In regard to specific non-compliance issues, the top three issues that were reported as most frequent by the respondents were:

1. The detection of regulated pests,
2. Failure to comply with documentary procedures, and
3. The absence of phytosanitary certificates.

Issues of non-compliance that were reported to have been detected least frequently were:

1. Fraudulent phytosanitary certificates, and
2. Uncertified changes to phytosanitary certificates.

In addition some other notable conclusions are highlighted in figures 8-11.

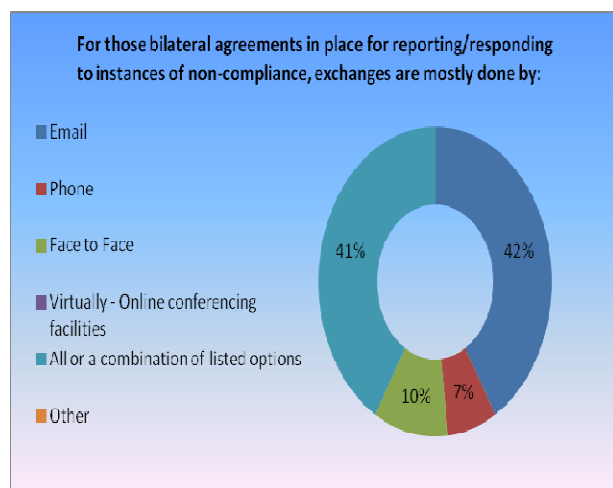


Fig. 8

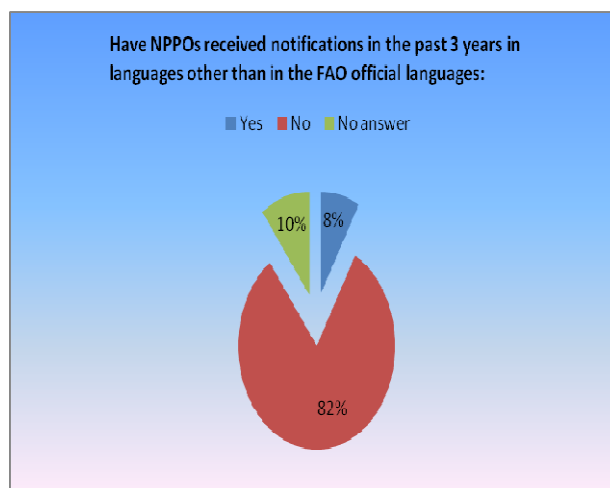


Fig. 9

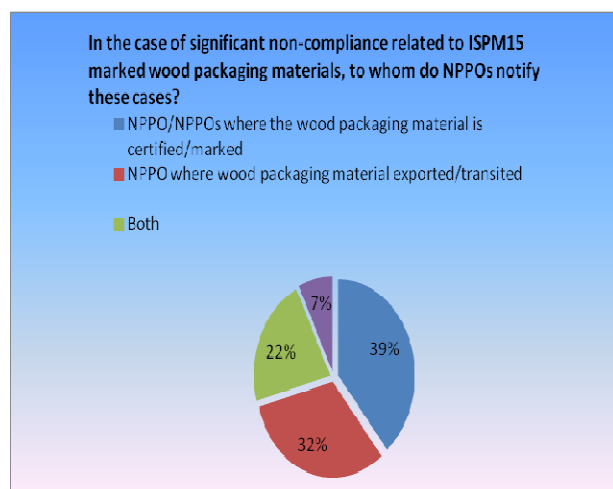


Fig. 10

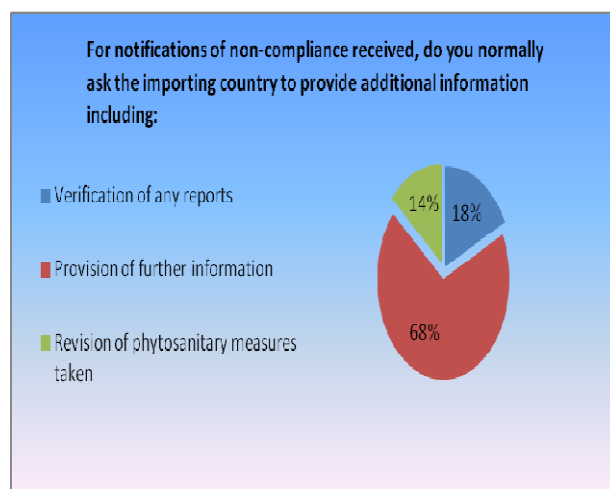


Fig. 11

D. Phytosanitary Measures

Globally, it is a common feature that NPPOs have well developed notification systems in regard to communicating changes in phytosanitary import requirements. NPPOs indicate that changes are notified formally to exporting countries' IPPC Contact Points for the most part (74%). Other bodies that NPPOs notify, beside the exporting countries NPPOs, include:

1. The national contact point of the SPS Committee,
2. National phytosanitary requirements database of the country (ie. publicly released for all countries to access),
3. Certifying agencies,
4. WTO,
5. EPPO,
6. Officials in the exporting country who are responsible for the certification of plants, plant products and regulated articles
7. Exporting countries embassies.

Table 1 below shows the common responses of NPPOs (compiled based on frequency of responses) when asked which actions they would normally take for specific examples of non compliance.

Table 1.

Examples of non compliance	Actions
Failure to comply with phytosanitary import requirements	Reject Consignment
Detection of Regulated Pests	Reject Consignment
Prohibited Consignments	Reject Consignment
Prohibited Articles in consignments ie. soil	Reject Consignment
Evidence of failure of specified treatments	Treat
Repeated instances of prohibited articles carried by passengers or sent by mail	Destroy

In addition some other notable conclusions to questions posed are presented in Figures 12-15 .

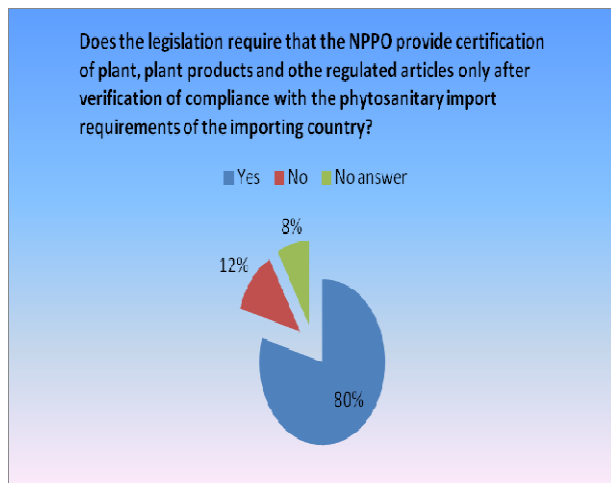


Fig. 12

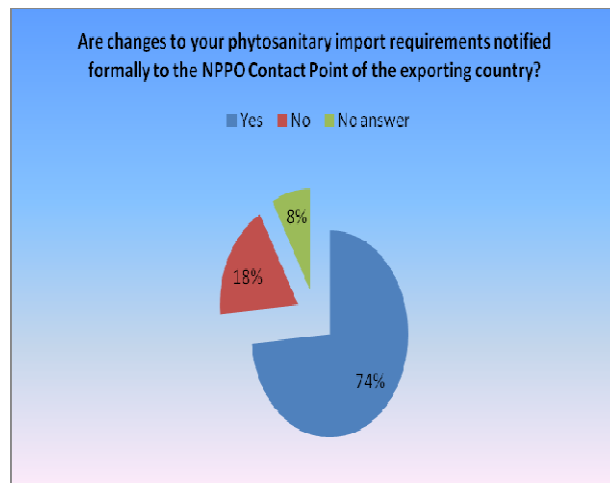


Fig. 13

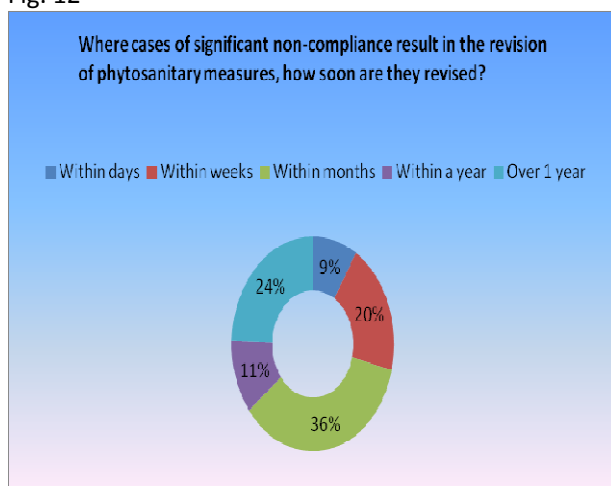


Fig. 14

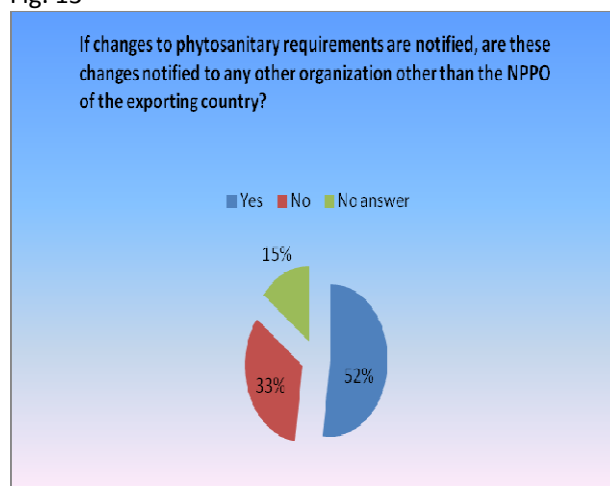


Fig. 15

E. Documented Procedures

In only 71 percent of countries do NPPOs have written procedures for internally reporting interceptions, instances of non-compliance and emergency actions. Figure 16 shows the breakdown based on responses received. Likewise, 78 percent of NPPOs indicated that they have in place comprehensive record keeping and information retrieval systems concerning exports. 50% indicate that they all the requisite documented procedures and work instructions for compliance checks for imports (Figure 17 shows a general breakdown based on all country responses). Only 50 percent of countries have written procedures to periodically review the cases of non-compliance and emergency actions taken in the past. Sixty-nine per cent of respondents indicated that their NPPOs have procedures to ensure the confidentiality of information between the parties involved.

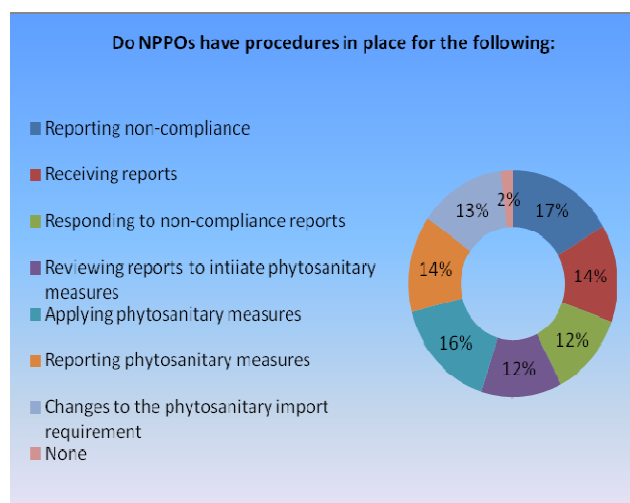


Fig. 16

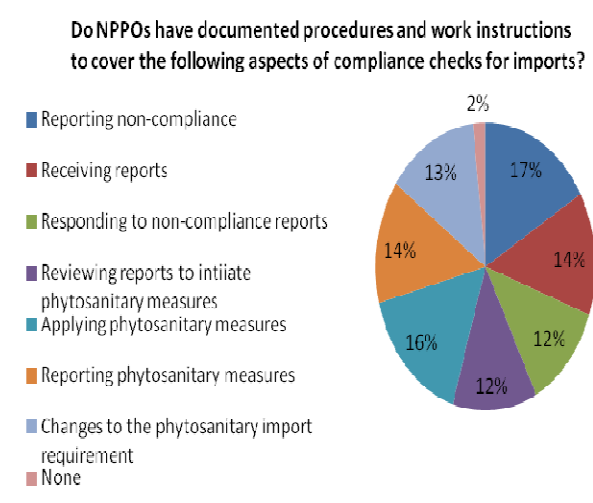


Fig. 17

F. Open-Ended Questions

Table 2. Below summarizes the responses received on a number of open-ended questions. In general there seems to be a trend that most cases of non-compliance are resolved bilaterally without a need to take it further for resolution. There is however a distinct need for improvement in terms of:

1. communicating notifications through the IPPC established channels;
2. infrastructure, equipment and technical gaps (expertise and human resources) for handling instances of non compliance; and
3. coordination among various stakeholders involved.

TABLE 2

1. What criteria does your NPPO use to determine cases of significant non compliance for notification?	The principal criteria indicated by the responders include: detection of regulated pests and/or articles in consignments; recurrent cases of infringement e.g. pest detection or document error. However, a number of countries indicated that they have no clear criteria for determining cases of significant non compliance!
2. After a case of significant non compliance is determined to have occurred and affected trade, please list a few actions your NPPO has taken to resume normal trade between your country and the other trading partner country?	Principally the NPPO seeks resolution through bilateral negotiations that aim to agree on the phytosanitary measures, how these are to be applied and monitoring of their efficacy. Within the exporting country, stakeholder engagements are initiated to define appropriate corrective actions and mechanism for trace back of the problems to the sources.
3. What are the three most important factors that constrain the ability of your NPPO to notify cases of significant non compliance?	Items listed by countries among the three most important factors constraining ability of NPPOs to notify include: lack of / inadequate communication infrastructure; poor / inadequate diagnostic capacity; slow exchange of pest information; lack of contact details of notifying authorities; unclear / inadequacy of notifying language / information respectively.
4. List the three most important factors that affect the ability of your NPPO to react to notifications?	Items listed among the three most important factors affecting ability of NPPOs to react to notifications include: non timeliness in receiving notifications, inadequate information in notifications, unclear language of notifications, poor infrastructure for communication; poor / inadequate capacity for diagnostics, inadequate expertise for handling notifications, low stakeholder awareness about phytosanitary

	requirements for notification, difficulty in tracing back the origin of notified problems, internal bureaucracy in governmental systems for handling notifications.
5. What are the three most important factors that hinder your NPPOs ability to investigate notifications of instances of non compliance?	Items listed by countries among the three most important factors hindering ability of NPPOs to investigate notifications include: inadequate / inaccurate information in notifications, non timely receipt of notifications, unclear language of notifications, bureaucracy in internal NPPO / governmental systems of handling notifications, inadequate human resource capacity (numbers and expertise) for handling notifications, inadequate diagnostic and communication infrastructure and lack of legal mandate to investigate non compliance.
6. What are the three most important factors that hinder your NPPOs ability to take corrective actions on non compliance if needed?	Items listed by countries among the three most important factors that hinder NPPO ability to take corrective actions include: unclear notification language, late receipt of notifications, delay in response to follow up correspondence seeking additional information from notifying NPPOs, inadequate information in notifications, poor diagnostic capacity, difficulty in implementing corrective actions, poor coordination with other agencies, lack of treatment facilities, cost of phytosanitary treatments, non cooperative stakeholders, inadequate stakeholder understanding of the relevance and purpose of phytosanitary measures.
7. If after applying all the provisions established in ISPM13 you still have contentious issues that have not been solved bilaterally, what formal mechanisms have you employed to address them?	Bilateral negotiations at NPPO level tends to solve the problem in the majority of cases. In exceptional circumstances, higher level bilateral negotiations are sought. Where these fail, the issues end up as disputes under the WTO. Overall, such situations where bilateral negotiations completely fail to work seem to arise rarely.

SECTION A – GENERAL PROCEDURES

Country	1. Does your NPPO have clear legal authority to notify or to take actions necessary to address cases of significant non-compliance	2. For instances of non compliance, does the importing countries notification received by your NPPO indicate the channel of communication/the authority to whom your response should be addressed?	3. For instances of non-compliance, is the channel of communication/authority listed in the notification, received by your NPPO the same as the official IPPC contact point in the IPP?	4. In general, if the communication/authority is not the official IPPC contact point, has your NPPO provided an alternative contact point or made an alternative arrangement?	5. In general, are importing countries phytosanitary import requirements easily accessible and clearly communicated to your NPPO when you request them?	6. In general, are those phytosanitary import requirements clearly explained to your exporters prior to production or commercialization of the concerned commodities/regulated articles?	7a. Do you have generic processes in place for reporting or responding to notifications of instances of non compliance?	On, average, in cases of significant non-compliance how long does it take to send a notification after detection?	In general, do the notifications received by your NPPO allow sufficient time for you to respond in order to avoid loss of product or markets?	Other comments
Poland		Y	Y	Y	N	N	Y	2 days	N	- It depends on a third country. In case of 1 third country the answer is no
Morocco	Y	Y	Y	N	Y	N	N	between one and two weeks	N	Sometimes notifications are received too late (1-3 months after interception)
Indonesia	Y	Y	Y	N	Y	Y	Y	Seven days	Y	
Estonia	Y	Y	Y	N	N	Y	Y	2 - 3 days	Y	
Malawi	Y	Y	Y	N	Y	Y	Y	2 days	Y	The company is advised on a range of issues that need to be followed before the commodity could be accepted
Malaysia	Y	Y	Y	Y	N	N	Y	2 weeks to 1 month	Y	
Tonga	Y	Y	Y	N	N	N	Y	7 days maximum	Y	
Thailand	Y	Y	N	N	N	Y	Y	1 - 3 month		
Iraq	Y	N	N	N	Y	Y	N	1 to 2 weeks	Y	
Switzerland	Y	Y	Y	N	N	Y	Y	3 - 5 days	Y	
Bulgaria	Y	Y	N	Y	N	N	Y	5 - 7 days	N	From some countries like Russia and US the notifications came very late with more than 2 months delay and it is difficult to perform a process for trace back of the related consignment
Uganda	Y	Y	N	Y	N	Y	Y	1 month	N	
New Caledonia	Y	Y	Y	N	Y	N	N	1 week	Y	
Niue	Y	Y	Y	N	N	Y	Y	1 week	Y	
Bosnia and Herzegovina	Y	Y	Y	N	Y	Y	N	5 days	N	Sometimes late notification from other country sometimes it is difficult to trace back because in sufficient implementation on the notification in that we have to contact NPPO of the country who sent the notification
Togo	Y	Y	Y	N	Y	N	N	1 week	Y	
Australia	Y	N	N	Y	N	Y	Y	Varies - depends on the issue or pest detected and the time it takes to identify some pests. Once pest identity is confirmed and advice provided, notification can be sent in 1 - 2 days, but non-urgent may be processed in batches	N	notifications often received weeks to months after the incident occurred
Cook Islands	Y	Y	Y	Y	Y	Y	Y	48 hours to 14 days	Y	
Kenya	Y	Y	Y		Y	Y	Y	2 weeks	Y	
Singapore	Y	Y	Y	N	Y	Y	Y	1 month	Y	
Philippines	Y	Y	Y	N	Y	Y	Y	1 month	Y	
St Vincent and the Grenadines	N	Y	N	Y	Y	Y	Y	1 week	N	the notification may arrive on time but the necessary scientific justification may not have been presented to us. As such, the delay in clarifying this issue may cause time lapse, hence loss of products
Azerbaijan	Y	Y	Y	N	Y	Y	Y	5 days	Y	The notification urgently investigate, analyze and prepare a letter of reply
United Kingdom	Y	Y	Y	N	N	N	Y	1 week	Y	It is difficult to think of cases where this has been a factor, but the timing

										of the notification is unlikely to affect a country's decision to act against another on the basis of a pest finding
Austria	Y	Y	Y	Y	Y	Y	Y	15 days	Y	in case of WPM: the transported goods can be delivered if WPM is separated
Japan	Y	Y	Y	Y	Y	Y	Y	Within one month	Y	
Argentina	Y	Y	Y	N	Y	Y	Y	1 - 2 months	Y	In general when the notification is received by our NPPO, the problem was already detected due to communications previously received by stakeholders
South Africa	Y	Y	Y	N	N	N	Y	48 hours	N	some NPPOs take time to notify us of the NONC
Chile	Y	Y	Y		Y	Y	Y	3 weeks	N	
Czech Republic	Y	Y	N	Y	N	N	Y	2 - 4 days	Y	
Uruguay	Y	Y	N	N	N	Y	Y	Depends on the non compliance detected. In case of detection of quarantine pests, notification is sent after corresponding increasing in sampling to evaluate the situation and request of the Official Laboratory report. On average 3 months. In case of detection of regulated non quarantine pests the process can be longer because notifications are processed after the end of the import season	N	All notifications are received after the conclusion of the import process, except in the case of bilateral agreements, therefore action has been taken with the NPPO of the importing country only when the exporter has provided information regarding the refusal of a consignment
New Zealand	Y			Y	Y	Y	Y	1 week	Y	
Ghana	Y	Y	Y	N	Y	Y	Y		N	Notifications are received after phytosanitary decisions (usually destruction of the contaminated consignment) have been taken by importing country
Costa Rica	Y	Y	N	N	N	Y	Y	22 days	Y	
Lebanon	N	Y	Y	N	N	N	Y		N	
The Netherlands	Y	Y	N	Y	N	Y	Y	10 days	N	
Guinea-Bissau	N	N	Y	Y	N	N	N	3 days	Y	
Dominican Republic	Y	Y	Y	N	Y	Y	Y	after 1 week	N	
Belize	Y	N	N	N	N	Y	Y	5 days	N	generally the notifications come too late to be able to do anything. Mostly consignments are destroyed or sent back to origin even before the notifications are sent
United States	Y	Y	N	N	Y	Y	Y	1 month	N	they must be bundled so we receive several months at one time. OR, we may receive individual FNNCs several months after the issuance
Canada	Y	Y	Y	Y	Y	Y	Y	It takes approximately one to two weeks to complete a notification after the detection of the non compliance	Y	The vast majority of notices of non compliance received by Canada do not result in loss of product or export market. Many notices that are received do not require a response or follow-up on our part. When possible, risk mitigation measures are applied at destination and are sufficient. Sufficient time is normally granted by the importing country to implement corrective measures to avoid a loss in market
St. Kitts and Nevis	Y	Y	Y	Y	N	Y	Y	7 days	Y	
Turkey	Y	Y	Y	N	Y	Y	Y	2 days	Y	
Malta	Y	N	Y	N	Y	Y	Y	As soon as possible	Y	
Peru	Y	Y	Y	N	Y	Y	Y	3 days	N	
Namibia	Y	Y	Y	Y	Y	Y	Y	immediately after detection	N	it depends on the level of the

										problem and the danger it can cause or introduce
Mexico	Y	Y	Y	Y	N	N	Y	at least one day	N	
Panama	Y	Y	Y	N	N	Y	Y	15 - 20 days	Y	
Guyana	Y	Y	Y		Y	Y	Y	72 hours	Y	
TOTAL										
Yes	45	43	36	17	27	36	43		25	
No	3	5	12	29	22	13	6		12	
No response	1	1	1	3	0	0	0		1	

Country	On, average, in cases of significant non-compliance how long does it take to send a notification after detection?
Poland	2 days
Morocco	between one and two weeks
Indonesia	Seven days
Estonia	2 - 3 days
Malawi	2 days
Malaysia	2 weeks to 1 month
Tonga	7 days maximum
Thailand	1 - 3 month
Iraq	1 to 2 weeks
Switzerland	3 - 5 days
Bulgaria	5 - 7 days
Uganda	1 month
New Caledonia	1 week
Niue	1 week
Bosnia and Herzegovina	5 days
Togo	1 week
Australia	Varies - depends on the issue or pest detected and the time it takes to identify some pests. Once pest identity is confirmed and advice provided, notification can be sent in 1 - 2 days, but non-urgent may be processed in batches
Cook Islands	48 hours to 14 days
Kenya	2 weeks
Singapore	1 month
Philippines	1 month
St Vincent and the Grenadines	1 week
Azerbaijan	5 days
United Kingdom	1 week
Austria	15 days
Japan	Within one month
Argentina	1 - 2 months
South Africa	48 hours
Chile	3 weeks
Czech Republic	2 - 4 days
Uruguay	Depends on the non compliance detected. In case of detection of quarantine pests, notification is sent after corresponding increasing in sampling to evaluate the siutation and rquest of the Official Laboratory report. On average 3 months. In case of detection of regulated non quarantine pests the process can be longer because notifcations are processed after the end of the import season
New Zealand	1 week
Ghana	
Costa Rica	22 days
Lebanon	
The Netherlands	10 days
Guinea- Bissau	3 days
Dominican Republic	after 1 week
Belize	5 days
United States	1 month
Canada	It takes approximately one to two weeks to complete a notification after the detection of the non compliance
St. Kitts and Nevis	7 days
Turkey	2 days
Malta	As soon as possible
Peru	3 days
Namibia	immediately after detection
Mexico	at least one day
Panama	15 - 20 days
Guyana	72 hours
TOTAL	Number of Countries
Within 2 days	12
Within 1 week	11
Within 2 weeks	8

Within 1 month	7
Within 3 months	1

Country	7b. If YES to question 7a, are these			8. On average estimate how many cases of notifications of non-compliance your NPPO receives per year						9. On average, estimate how many cases of notifications of non compliance your NPPO investigates per year						10a. On average, how many cases of notifications of non compliance does your NPPO issue per year?						10b. What is the primary means to send them?					
	Standardised	Ad Hoc	Other	0- 5	six -ten	eleven-19	20- 30	31-49	50+	0- 5	six -ten	eleven-19	20- 30	31-49	50+	0-49	50-199	200-499	500-999	1000-2999	3000+	Email	Letter	Telephone	Fax	Combination of several previously mentioned	Other
Poland	X					X						X					X					X					
Morocco						X						X										X	X				
Indonesia	X						X						X			X						X	X				
Estonia		X		X						X							X					X	X				
Malawi		X		X						X						X										X	
Malaysia		X				X						X				X										X	
Tonga		X		X						X						X						X				X	
Thailand	X								X		X					X						X					
Iraq	X			X						X						X						X					
Switzerland		X				X						X						X				X					
Bulgaria	X						X						X				X										*EUROPHYT SYSTEM
Uganda		X						X					X			X						X					
New Caledonia				X						X						X						X					
Niue		Y			X						X					X						X	X		X		
Bosnia and Herzegovina				X						X						X									X		
Togo	X			X						X						X						X					
Australia	X								X					X			X					X					
Cook Islands	X			X						X						X									X		
Kenya	X								X						X	X						X					
Singapore		X							X						X		X					X	X				
Philippines		X		X						X						X										X	
St Vincent and the Grenadines	X			X							X					X							X				
Azerbaijan	X			X						X						X						X	X				
United Kingdom	X						X					X								X		X					
Austria	X								X						X			X				X					
Japan	X								X						X			X				X	X				
Argentina	X								X						X			X				X					
South Africa	X								X	X						X	X					X					
Chile			X				X						X					X						X			
Czech Republic	X					X						X					X									X	
Uruguay			Y	X						X						X						X					
New Zealand	Y								X						X				X							X	
Ghana		X							X						X	X						X	X				
Costa Rica	X								X	X						X										X	
Lebanon	X								X						X						X						
The Netherlands	X								X						X				X			X					
Guinea- Bissau		X		X							X					X						X					
Dominican Republic	X								X						X		X					X					
Belize		X		X						X						X						X					
United States	X								X						X						X					X	
Canada	X								X				X					X								X	
St. Kitts and Nevis		X		X						X						X										X	
Turkey	X							X							X		X									X	
Malta	X			X						X						X										X	
Peru			X						X						X	X							X				
Namibia		X		X						X						X										X	
Mexico	X						X						X						X							X	
Panama	X				X						X					X										X	
Guyana	X			X						X																X	
TOTAL	28	13	1	18	2	5	5	2	17	18	5	6	6	1	13	27	9	6	3	1	2	27	11	0	1	18	

SECTION B – Use of Notification

Country	1. Who does your NPPO notify in the exporting country in cases of non compliance						2. Who does your NPPO notify in the exporting country in the case of new phytosanitary measures resulting from recurrent instances of non compliance					
	Diplomats in the importing country	The IPPC Contact Points	Exporter	Importer	Certifying Authority	Other	Diplomats in the importing country	The IPPC Contact Points	Exporter	Importer	Certifying Authority	Other
Poland		X						X				
Morocco		X						X				
Indonesia		X						x			x	
Estonia					X		X	X				
Malawi		X	X					X		X		
Malaysia		X						X				
Tonga			X		X			X			X	
Thailand					X						X	
Iraq		X						X				
Switzerland		X						X				
Bulgaria		X						X				
Uganda		X						X				
New Caledonia					X						X	
Niue		X		X	X			X	X	X	X	
Bosnia and Herzegovina		X			X			X			X	
Togo		X						X				
Australia		X						X				
Cook Islands		X	X		X			X	X	X	X	
Kenya		X						X		X		
Singapore		X						X				
Philippines	X	X					X	X				
St Vincent and the Grenadines			X		X						X	
Azerbaijan	X	X	X				X				X	
United Kingdom		X										For EU member states this is done by the European Commission
Austria		X			X			X			X	
Japan												
Argentina												
South Africa		X						X				
Chile		X						X			x	
Czech Republic		X		X				X		X		
Uruguay		X						X				
New Zealand	X				X		X				X	
Ghana			X	X	X				X	X	X	
Costa Rica		x			X						X	
Lebanon	X						X					
The Netherlands			X		X				X		X	
Guinea- Bissau		X						X				
Dominican Republic					X						X	
Belize		X						X				
United States	X	X					X	X			X	
Canada		X				For certain trading partners, the notice of non compliance is addressed to other government officials in the exporting country		X				For certain trading partners, the notice of non-compliance is addressed to other government officials in the exporting country. In certain circumstances, the notification may be routed through diplomatic channels to confirm the reception of the notification by the exporting country
St. Kitts and Nevis			X								X	
Turkey		X						X				
Malta		X	X	X				X				
Peru		X			X			X			X	
Namibia		X						X				
Mexico		X						X				
Panama	X	X						X				
Guyana		X						X				
TOTAL	6	36	9	4	15	1	6	35	4	6	19	2

Country	3. In general, does your NPPO provide notification to the NPPO of the exporting country concerning:			4. For detected cases of non-compliance, does your NPPO provide notifications						5. How often do notifications to the NPPOs of exporting countries, that are responsible for the alleged case of significant non compliance result in the provision of a response			6. What does your NPPO do in cases where the NPPO of the exporting country has been notified of a case of significant non compliance but there is no response or inadequate efforts to address the issue (eg. recurrent non-compliance)		
	Interceptions of pests	Cases of non compliance	Interceptions of consignments	Infrequently or never	As soon as the case presents itself at the point of entry	Only after the case has been fully investigated	In the case where there are pest interceptions only after they are diagnosed and determined to be regulated	For all pests detected in a consignment	None of the previously mentioned	Seldom	After several consultations	Most of the time	Impose a sanction on the importer	Refuse further exports from the exporting country concerned	Other actions - please describe
Poland	X	X	X				X			X					Contact European Commission
Morocco	X	X	X			X	X					X		X	
Indonesia	x	x	x				x					X			Communicate to the exporting country through the importer to fulfill the import
Estonia	X	X	X			X				X					The question is brought to EC Commission
Malawi	X		X					X		X				X	
Malaysia	X	X	X				X				X		X		
Tonga	X	X	X				X			X				X	
Thailand	X			X						X			X		
Iraq		X			X						X			X	
Switzerland	X	X	X				X			X					X - see direct contact with the NPPO of the exporting country in cases of recurrent non-compliance
Bulgaria	X	X	X				X			X				X	
Uganda	X	X	X			X				X			X		
New Caledonia	X			X								X			X
Niue	X	X	X		X			X				X	X	X	
Bosnia and Herzegovina	X	X	X		X							X			X
Togo	X			X						X			X		
Australia	X	X					X			X					Can be any of several actions including the above, but may also include repeated notifications and/or amended remedial action eg. increased inspection, treatment, etc.
Cook Islands	X	X	X		X		X					X		X	
Kenya	X	X	X			X	X					X	X		
Singapore	X	X	X			X				X					Continue to monitor the imports and try to resolve through bilateral discussion
Philippines		X		X						X					Notify again
St Vincent and the Grenadines	X	X			X						X			X	
Azerbaijan	X	X				X	X			X					X
United Kingdom	X	X	X				X			X					Other Actions - Inform the European Commission and discuss action as appropriate
Austria	X	X	X			X						X	X		
Japan															
Argentina															
South Africa	X		X			X				X					X
Chile	x	X	X			X	X			X					X
Czech Republic	X	X	X		X					X					X - letter
Uruguay	X	X					X			X					X - considering that in these cases there are commercial losses, the possibility of a bilateral agreement is proposed through exporters and or importers
New Zealand	X	X			X							X			X - follow up through diplomatic channels or bilateral channels
Ghana	X	X	X	X						X			X		
Costa Rica	X	X	X				X			X					X 1. PRA, 2. increase in the size and frequency shown by the analysis
Lebanon	X	X		X						X	X		X		
The Netherlands	X	X	X			X				X					X - we do not expect a reply on all notifications. If we expect a reply we will explicitly ask for it
Guinea-Bissau	X			X						X					Negotiation with importers
Dominican Republic	X	X	X				X			X				X	
Belize	X	X	X				X			X					Continue trying to contact the NPPO for further

															discussions before drastic sanctions are applied
United States	X	X	X				X				X				X - continue to request action
Canada	X	X	X			X						X			Action taken can differ greatly based on the risk posed by the noncompliance. Actions could include the suspension of trade, involvement of diplomatic channels to address the issue with the exporting country, a technical visit to discuss the issues at play or the development of the new phytosanitary requirements to address the issue
St. Kitts and Nevis	X					X						X		X	
Turkey	X	X	X				X					X			
Malta		X				X						X			Refuse the consignment
Peru	X	X						X				X			X - review and adjustment of phytosanitary requirements for those products
Namibia	X	X	X			X	X					X		X	
Mexico	X	X					X			X					X
Panama	X						X				X			X	
Guyana	X	X	X				X	X							
TOTAL	44	39	30	7	7	14	23	4	0	26	6	15	9	12	6

Country	7. Do the responses provided by the NPPO of the exporting country to your notifications of cases of significant non compliance include			8. In general, does your NPPO follow-up on any notifications with the notifying NPPO in cases where there are significant deviations on how the notification is prepared with respect to the provisions in ISPM13?	Comment	9. In general, are the notifications received by your NPPO detailed enough to enable you to investigate or take corrective actions/measures?	Comment
	a description of corrective measures/actions to be taken to avoid a repeat	scientific justification to refute the notification including official records concerning the consignment in question	Other information				
Poland	X			Y		Y	It depends. Yes in case when a PC or exporter was clearly mentioned
Morocco	X			Y	in case where the information related to the notification are insufficient to conduct a proper investigation	Y	
Indonesia		x		Y		Y	
Estonia	x			N		Y	
Malawi		X		N	It is always left in the hands of the exporter to fulfill the requirements notified by the phytosanitary requirements	N	
Malaysia	X			N		N	Most Yes but sometimes No
Tonga	X	X		N		Y	
Thailand				N	We follow the national regulation	Y	
Iraq	X			Y		Y	
Switzerland	X			Y		Y	
Bulgaria	X			Y		Y	
Uganda	X			N		Y	
New Caledonia	X			N		Y	
Niue	X	X		Y		Y	
Bosnia and Herzegovina	X			Y		Y	
Togo	X			N		Y	
Australia	X			Y	follow up as necessary to get relevant information	N	depends on countries sending notices and information provided
Cook Islands	X	X		Y	in such situation as may rise that investigating of non-compliance is intended to facilitate steps to avoid recurrence	Y	notifications should address all necessary information required as stipulated in ISPM13 and 8
Kenya	X			Y	the aim is to clarify issues and also to ensure application of the SPS agreement requirements is respected by the NPPO responsible inspection, certification and clearance of the export consignments	Y	the notifications provide Phytosanitary certificate numbers date issued (in case the consignment was accompanied by the certificate). Also action taken is normally described. These informations assist KEPHIS work on corrective action with concerned producers/growers
Singapore	X			Y		Y	however at times, the stages of pest, dead or alive is not indicated
Philippines			No much information is provided since our NPPO seldom sends out notification if there is any compliance. If ever there is a non compliance encountered, it is notified to the other country's NPPO through letter.	N	There are follow-up but it does not necessarily invoke the provisions of ISPM 13.	Y	It is detailed enough but the notifications necessitate follow up communication to the exporting country's NPPO

St Vincent and the Grenadines	X			Y		Y	
Azerbaijan			X	Y	we blieve that the NPPO of all countries in cases of non-compliance should be based on ISPM13	Y	we prepare a response letter to the NPPO of importing country about measures taken
United Kingdom			Given we seldom get a response it is hard to respond	N	It is the information that is important, not the way it is prepared	N	this would have been "sometimes" if that was an option
Austria	X			Y		Y	
Japan							
Argentina							
South Africa			X - hardly get any responses	Y	communication is made to seek clarification from the notifying NPPO on the quantity (Mass in kilograms) and actions taken and also on NONC	N	production unit codes (PUCs) not given thus making traceability difficult
Chile			X - establish more drastic phytosanitary measures depending on each case, and the close of the trading may be included among these measures	Y		Y	
Czech Republic			x - assurance of consideration	N		N	bad identification of consignments, unclear reason, unspecified measures
Uruguay			x	N		N	
New Zealand	x			N		OTHER	Depends, if unclear we will request clarification
Ghana			X	N	we have not had a situation of significant deviations of notifications from ISPM13	Y	
Costa Rica	X			N		Y	Por lo general si se detalla informacion del envio para dar la trazabilidad, sin embargo, en los casos de incumplimientos por presencia de una plaga la documentacion del diagnostico no es remitida o se da la informacion a nivel de orden o familia
Lebanon	X	X				N	
The Netherlands			X - responses are very diverse ranging from acknowledgement of receipt to description of action taken	Y		N	Often, information such as number of phytosanitary certificate is missing or it is a non regulated article where no certificate is required
Guinea- Bissau	X			N		N	
Dominican Republic	X			Y		Y	
Belize	X			Y		Y	
United States	X			Y	occasionally, not enough information is provided by the importing country. The form itself is compliant with ISPM13, but many fields are empty. If interception appears to be significant, we will contact the importing NPPO	Y	Generally enough information is provided on the FNNC (phto certificate number, exporter, importer, reason for non compliance) to facilitate traceback and action
Canada	X			N	mostly deviations from the provisions set forth in ISPM13 are normally not significant and do not warrant following up with notifying NPPO	Y	In most circumstances notifications are sufficiently detailed to enable us to investigate or to take corrective actions/mesures. There are however certain situations where certain information is not included which prevents us from investigating
St. Kitts and Nevis	X			Y		Y	
Turkey	X	X		Y		Y	
Malta	X			Y		Y	
Peru	X			Y	all notifications are reviewed	N	some countries do not send the complete data for research
Namibia	X	X		Y	The NPPO constantly inspects and checks whether the notification is prepared according to the format of ISPM13	Y	Because it includes the required and scientific supporting information
Mexico		X		Y	when the NPPO of the exporting country do not prepare the notification according with ISPM13 the NPPO of Mexico sends a letter requesting an explanation of the situation	N	
Panama	X			Y	it includes all the elements that are considered in ISPM13 so the NPPO of the exporting country could have all the necessary elements to investigate	N	in some cases the notifications that we receive do not have enough information to enable use to investigate a specific non compliance
Guyana						Y	
TOTAL	33	9	3				

SECTION C – Bilateral Exchanges

Country	1a. Do you have any bilateral agreements in place for reporting or responding to instances of non compliance	2. Has your NPPO received nay notifications of non-compliance caused by the presence in your consignment of a pest that is not present in your territory	Comment
Poland	N	Y	
Morocco	Y	N	
Indonesia	Y	Y	
Estonia	N	N	
Malawi	Y	Y	In some years some companies trying to export groundnuts were notified of non presence of aflatoxins
Malaysia	Y	Y	
Tonga	Y	Y	
Thailand	N	Y	We have notified the interception of Trichoderma granurium that isn' t present in our country
Iraq	Y	N	
Switzerland	Y	N	
Bulgaria	N	N	
Uganda	Y	N	
New Caledonia	N	N	
Niue	Y	Y	
Bosnia and Herzegovina	Y	N	
Togo	N	N	
Australia	Y	Y	have received a few notices where the pest claimed to have been detected is known not to occur in Australia - primarily in relation to grain exports
Cook Islands	Y	Y	
Kenya	Y	Y	we have received notifications on presence of THRips Palmi, Karny yet the pest surveillance surveys targeting the pest have not recorded the presence of the pest in Kenya
Singapore	Y	N	
Philippines	Y	N	
St Vincent and the Grenadines	Y	N	
Azerbaijan	N	N	
United Kingdom	N	Y	occasionally eg. alleged finding of Andean potato viruses in seed potato exports
Austria	Y	Y	non compliance of WPM - adult bark beetle found which is not present in Europe
Japan			
Argentina			
South Africa	Y	Y	In 2003 the NPPO of Italy reported the interception of Monillinia fruticola in Prunus fruits from South Africa. The pest is absent or not known to occur in South Africa as proven by means of a recent scientific survey
Chile	N		
Czech Republic	N	N	
Uruguay	Y	Y	
New Zealand	Y	Y	Result of a misdiagnosis, but sorted by working together
Ghana	N	N	
Costa Rica	Y	Y	
Lebanon	Y	N	
The Netherlands	Y	Y	
Guinea- Bissau	Y	Y	
Dominican Republic	Y	Y	
Belize	N	N	
United States	Y	Y	
Canada	Y	Y	
St. Kitts and Nevis	N	N	
Turkey			
Malta			
Peru	N	Y	
Namibia	Y	N	
Mexico	Y	N	
Panama	Y	N	
Guyana			
Total			
Yes	30	22	0
No	14	21	0
No answer	5	6	41

Country	1b. If you answered yes to the previous question, are those exchanges done by					
	Email Communication	By phone	Face to face	Virtually using online video conferencing facilities	All or a combination of the previously listed	Other
Poland						
Morocco						Diplomatic channel
Indonesia	X					
Estonia						We do not have bilateral agreements
Malawi					X	
Malaysia					X	
Tonga					X	
Thailand	X					
Iraq	X					
Switzerland	X					
Bulgaria						
Uganda		X				
New Caledonia						
Niue	X					
Bosnia and Herzegovina					X	
Togo						
Australia					X	
Cook Islands					X	
Kenya						
Singapore			X			
Philippines					X	
St Vincent and the Grenadines					X	
Azerbaijan						
United Kingdom						
Austria	X					EUROPHYT (EU notification system)
Japan						
Argentina						
South Africa	X					
Chile						
Czech Republic						
Uruguay	X					
New Zealand	X	X	X		X	
Ghana						
Costa Rica	X					
Lebanon	X					
The Netherlands	X					
Guinea- Bissau			X			
Dominican Republic	X					
Belize	X					
United States					X	
Canada	X					
St. Kitts and Nevis						
Turkey						
Malta						
Peru						
Namibia					X	
Mexico					X	
Panama	X					
Guyana						
Total	16	2	3	0	12	2

Country	3. Has your NPPO sent any notifications of non-compliance caused by a pest that is present in your country and not subjected to official control?	Comment	4. Has your NPPO received any notifications of non compliance caused by a pest that you know is present in the importing country/territory and is not subjected to official control?	5a. Has your NPPO received notifications in the past 3 years in languages other than in the FAO official languages?	5b. How has your NPPO dealt with notifications written in languages not understood by your staff?
Poland	Y		Y	N	N/A
Morocco	N		N	N	in cases where a notification in a FAO language that we may not be understood, a summary in English is requested to the party notifying
Indonesia	N		N	N	Only qualified staff is responsible in written NNC
Estonia	N		N	N	No experience
Malawi	Y		N	Y	Shared the information amongst all NPPO experts in the country
Malaysia	Y		Y	Y	Sent for translation or return for translation
Tonga	N		N	N	N
Thailand	N		N	N	Use google translation

Iraq	N		N	N	Sent to NPPO office or contact points for explanation
Switzerland	N		N	N	We would use a translation service, but this case has not happened so far
Bulgaria	Y		N	N	
Uganda	N		N	N	Uganda uses English as an official language but sometimes we receive notifications in other languages
New Caledonia	Y		Y	N	
Niue	Y		Y	N	No experience
Bosnia and Herzegovina	N		N	N	
Togo	N		N	N	we make translations
Australia	N		Y	Y	
Cook Islands	Y		Y	N	no record of such instances
Kenya	N		N	Y	request embassies of the countries concerned to assist in translating the notifications
Singapore	Y		N	N	Seek assistance for translation by the embassy or trade representatives offices locally
Philippines	N		N	N	The NPPO sends a request for translation either through the embassy of the country concerned or directly to the NPPO concerned
St Vincent and the Grenadines	N		N	N	we have never received any such notification in language other than the FAO official languages
Azerbaijan	N		N	N	will send a reply to the NPPO that notification must be in English or in Russian languages one of the official languages
United Kingdom	N		Y	N	If meaning is not apparent we would get it translated
Austria	N		N	N	has never occurred
Japan					
Argentina					
South Africa	N		N	N	The NPPO of South Africa forwards these notifications to the South African Department of Arts and Culture for translation
Chile	N		Y	N	is translated into Spanish
Czech Republic	N		N	N	we make arrangements for translation
Uruguay	N		N	N	No such cases
New Zealand	Y	Where the pest is present but is also a vector for diseases not present	Y	N	
Ghana	N		N	N	Yes notifications received in Spanish are not understood. We use google to translate reasons given for interception and other information on the consignment such as measures taken
Costa Rica	N		N	N	
Lebanon	Y		N	N	
The Netherlands	N		Y	N	ask for explanation
Guinea- Bissau	Y		Y	N	translation
Dominican Republic	N		Y	N	Does not apply
Belize	N		Y	N	In most cases the notifications have been in English or Spanish, which has not been a problem
United States	N		N	N	online translation websites; assistance from our offices in importing country
Canada	N		Y	N	Notices of non-compliances have been received in languages not easily understood by our staff. In these types of circumstances, the notices are translated to facilitate the understanding of the notification and to ensure appropriate action
St. Kitts and Nevis	N		N	N	n/a
Turkey					
Malta					
Peru	N		N	N	service of translation is used
Namibia	N		N	N	
Mexico	N		Y	N	we request for the support of the personnel of the Embassy (involved in the case) to help us with the translation of documents
Panama	N		N	N	N
Guyana					
Total					
Yes	11	0	15	4	
No	33	0	29	40	
No answer	5	48	5	5	

[illegible]

Country	7. For notifications of non-compliance received, do you normally ask the importing country to provide additional information including			8. In the case of significant non compliance related to ISPM15 marked wood packaging materials, to whom do you notify these cases?			
	Verification of any reports	Provision of further information	Revision of phytosanitary measures taken	NPPO/NPPOs where the wood packaging material is certified/marked	NPPO where wood packaging material exported/transited	Both	Other
Poland		X			X		
Morocco		X			X		
Indonesia	X			X			
Estonia		X			X		
Malawi		X			X		
Malaysia	X			X			
Tonga		X	X	X			
Thailand		X		X			
Iraq	X			X			
Switzerland		X		X			
Bulgaria	X				X		
Uganda		X				X	
New Caledonia		X					X
Niue	X	X	X	X	X		
Bosnia and Herzegovina		X		X			
Togo	X	X		X			
Australia		X			X		
Cook Islands		X				X	
Kenya	X	X					
Singapore		X			X		
Philippines	X	X				X	
St Vincent and the Grenadines			X				X
Azerbaijan		X	X			X	
United Kingdom		X			X		
Austria		X				X	
Japan							
Argentina							
South Africa		X				X	
Chile		X	X			X	
Czech Republic		X			X		
Uruguay		X		X			
New Zealand							
Ghana	N	N	N			X	
Costa Rica		X			X		
Lebanon		X		X			
The Netherlands		X			X		
Guinea- Bissau		X		X			
Dominican Republic							
Belize		X	X				
United States		X			X		
Canada		X		X			
St. Kitts and Nevis		X		X			
Turkey							
Malta							
Peru		X		X			
Namibia	X	X				X	
Mexico			X				X
Panama		X		X			
Guyana							
Total	9	35	7	16	13	9	3

SECTION D – Phytosanitary Measures

Country	1. Does the legislation require that the NPPO provide certification of plant, plant products and other regulated articles only after verification of compliance with the phytosanitary import requirements of the importing country?	3a. In general, are changes to your phytosanitary import requirements notified formally to the NPPO Contact of the exporting country?	3b. If your answer to 3a above is YES, are these changes notified to any other organization other than the NPPO?	3c. If YES, to whom are changes usually notified?
Poland	Y	N	N	
Morocco	Y	Y	Y	WTO SPS IPPC RPPO IPPC Contact Point of the exporting countries
Indonesia	Y	Y	Y	WTO
Estonia	Y	Y	N	
Malawi	Y	Y	N	
Malaysia	Y	Y	N	
Tonga	N	Y	N	
Thailand	Y	Y	N	
Iraq	Y	N	N	
Switzerland	Y	Y	Y	European Union
Bulgaria	Y	Y	N	
Uganda	N	N		
New Caledonia	N	N		
Niue				
Bosnia and Herzegovina	Y	Y	Y	Eppo, FAO-IPPC
Togo	Y	Y	N	
Australia	Y	Y	Y	Contact points etc. via IPP Alerts on ICON and public website SPS notification
Cook Islands	Y	Y	Y	NPPO and RPPO
Kenya	Y	Y	Y	WTO SPS committee through the National Notification Authority (in the case of Kenya the NNA is the Ministry of Trade, Department of External Trade)
Singapore	Y	Y	Y	WTO
Philippines	Y	Y	Y	Embassies, WTO Mission
St Vincent and the Grenadines	Y	Y	N	
Azerbaijan		Y	Y	IPPC, EPPO, NPPO of other countries, importers, exporters, respective organizations
United Kingdom	N	Y	Y	changes are notified by the European Commission and would include EPPO and WTO
Austria	Y	N	Y	EU, EPPO, IPPC, WTO/SPS
Japan	Y	N	Y	SPS notification
Argentina				
South Africa	Y	Y	Y	Importers
Chile	Y	Y	N	
Czech Republic	Y			
Uruguay	y	Y	N	
New Zealand	Y	Y	Y	WTO
Ghana	Y	N		
Costa Rica	Y	Y	Y	Organizacion Mundial de Comercio
Lebanon	Y	Y	Y	
The Netherlands	Y	Y	Y	WTO
Guinea- Bissau	Y	Y	N	
Dominican Republic	Y	Y	N	doesn't apply
Belize	N	Y	Y	WTO
United States	Y	Y	Y	WTO, stakeholders
Canada	Y	Y	Y	Officials in the exporting country that are responsible for the certification of the plants, plant products or regulated articles. We also send a WTO notification through appropriate channels. Importers are also notified.
St. Kitts and Nevis	N	N	N	n/a
Turkey	Y	Y	Y	WTO,IPPC,EPPO
Malta	Y	N	N	
Peru	Y	Y	Y	WTO
Namibia	Y	Y	Y	certifying agencies
Mexico	Y	Y	Y	to all countries because the data base of phytosanitary import requirements is on the official web site of the NPPO of Mexico and also in the web site of the IPPC
Panama	Y	Y	Y	this is notified to the national contact point of the SPS committee, that in our case is the ministry of commerce
Guyana				
Total				
Yes	39	36	25	
No	6	9	16	
No answer	4	4	7	

Country	2. On average, where cases of of significant non-compliance result in the revision of phytosanitary measures, how soon are they revised?				
	within a few days	Within weeks	Within months	Within a year	Over 1 year
Poland		X			
Morocco			X		
Indonesia			X		
Estonia					X
Malawi					X
Malaysia			X		
Tonga					X
Thailand					X
Iraq		X			
Switzerland				X	
Bulgaria			X		
Uganda					X
New Caledonia				X	
Niue					
Bosnia and Herzegovina			X		
Togo			X		
Australia			X		
Cook Islands	X				
Kenya			X		
Singapore					X
Philippines			X		
St Vincent and the Grenadines		X			
Azerbaijan		X			
United Kingdom					N
Austria			X		
Japan				X	
Argentina					
South Africa				X	
Chile	X				
Czech Republic					X
Uruguay			X		
New Zealand		X			
Ghana					X
Costa Rica			X		
Lebanon		X			
The Netherlands					X
Guinea- Bissau					X
Dominican Republic	X				
Belize					X
United States				X	
Canada			X		
St. Kitts and Nevis		X			
Turkey			X		
Malta			X		
Peru		X			
Namibia		X			
Mexico	X				
Panama			X		
Guyana					
Total	4	9	16	5	11

Country	4. For the following examples of non compliance, indicate the phytosanitary measures you would normally take					
	Failure to comply with phytosanitry import requirements	Detection of regulated pests	Prohibited consignments	Prohibited Articles in consignments ie. soil	Evidence of failure of specified treatments	Repeated instances of prohibited articles carried by passengers or sent by mail
Poland	1	4	1	1	1	1
Morocco	5	5	1	1	1	3
Indonesia	1	3	4	1	3	
Estonia	1	6	1	6	6	4
Malawi	1	3	4	1	1	1
Malaysia	6	1	1	1	6	6
Tonga	4	3	4	4	1	4

Thailand	4	3	1	3	3	4
Iraq	1	4		4	1	4
Switzerland	1	3	1	3	4	3
Bulgaria	1	1	1	1	2	3
Uganda	1	3	3	4	2	5
New Caledonia	6	2	3	2	2	3
Niue						
Bosnia and Herzegovina	6	6	1	1	1	1
Togo	3	2	1	3	1	
Australia	6	2	6	6	6	3
Cook Islands	5	1	3	3	5	5
Kenya	1	3	1	1	2	1
Singapore	2	6	1	3	2	6
Philippines	3	4	4	4	3	4
St Vincents and the Grenadines	6	3	3	3	2	3
Azerbaijan	5	5	1	1	5	5
United Kingdom	6	6	6	3	6	3
Austria	1	1	1	1	1	3
Japan	1	6	1	6	1	6
Argentina						
South Africa	5	3	1	1	1	6
Chile	5	5	1	1	2	3
Czech Republic	5	3	3	3	3	3
Uruguay	5	5				
New Zealand	1	2	1	4	2	1
Ghana	5	3	3	2	2	1
Costa Rica	5	5	5	5	5	5
Lebanon	1	3	1	1		
The Netherlands	1	1	1	1	1	1
Guinea- Bissau	3	3	3	3	3	4
Dominican Republic	4	2	1	1	2	3
Belize	6	2	4	2	2	5
United States	6	6	6	6	6	5
Canada	6	6	2	2	6	6
St. Kitts and Nevis	2	2	1	1	2	3
Turkey	1	1	1	1	3	1
Malta	5	4	4	4	5	4
Peru	1	1	1	1	2	5
Namibia	4	1	3	6	2	4
Mexico	4	1	1	1	4	6
Panama	1	5		1	2	3
Guyana						
Total						
1	17	9	24	20	11	8
2	2	7	1	4	15	0
3	3	13	8	9	6	13
4	5	4	6	6	2	8
5	10	6	1	1	4	7
6	9	7	3	4	6	6

Country	5. Please describe actions you would take in the case of failure to comply with documentary requirements where the issue is:			
	absence of phyto certificates	uncertified alterations or erasures to phytosanitary certificates	Serious deficiencies in information to phytosanitary certificates	phytosanitary certificates that are fraudulent
Poland	Reject + inform NPPO	Reject + inform NPPO	Reject + inform NPPO	Reject + inform NPPO
Morocco	In the case where it is for the first time, and depending on the plant species imported, the consignment is inspected and, where appropriate a laboratory analysis and necessary treatment are conducted and the consignment could be admitted to entry, Otherwise, the certificate is required for entry	We ask for appropriate certificate	The consignment is rejected with notification to the NPPO of the exporting country	The consignment is rejected with notification to the NPPO of the exporting country
Indonesia	Reject	Reject	Reject	Reject
Estonia	Rejection	Rejection	Rejection	Rejection
Malawi	Retrieve all consignment and destroy	Reject entry	Reject entry	Reject consignment
Malaysia	Reject and return	Treated or return depend on the seriousness of the alteration	Investigate or reject	Investigate or reject

Tonga	Destroy	Reject consignment and destroy	Destroy or treat if appropriate	Reject consignment and destroy
Thailand	Detention	Detention	Detention	Reject Consignment
Iraq	Not allow to entry			
Switzerland	Reject consignment, of not feasible: destroy	Reject consignment, of not feasible: destroy	Reject consignment, of not feasible: destroy	ask NPPO of exporting country for verification
Bulgaria	Reject Consignment	Reject Consignment	Reject Consignment	sending of PC for verification to the exporting country
Uganda	request for documents	inspect to verify the consignment integrity	reject	notify/request for correct documents, destroy
New Caledonia	Risk analysis - treat or destroy	Contact certifying authority for information	Contact certifying authority for information	Contact certifying authority-destruction of the consignment
Niue				
Bosnia and Herzegovina	reject	reject	reject	reject
Togo	destroy	reject consignment	reject consignment	destroy
Australia	hold goods. request phytosanitary certificate. if no phytosanitary certificate may export, destroy or treat as appropriate	hold goods. request validation from certifying authority (could be via importers contacts)	Hold goods. Seek required information from NPPO. May take appropriate remedial action based on response (or lack of response)	Export or destroy consignment
Cook Islands				
Kenya	Communicate to NPPO provide the certificates. If this is not done KEPHIS applies other measures including shipping back consignments to source or depending on inspections results can be destroyed	Communicate to NPPO to improve and also to confirm whether the documents were issued by the NPPO	Communicate to NPPO to improve. The consignments are held until clarifications are received from concerned NPPO	Reject consignment and communicate to NPPO to improve
Singapore	Treat or reject the consignment	Reject the consignment	Check and verify with NPPO of exporting country	Reject and take actions on importers
Philippines	Inspection and verification of integrity of consignment	Inspection and verification of integrity of consignment	Inspection and verification of integrity of consignment	Inspection and verification of integrity of consignment
St Vincent and the Grenadines	a request will be made for the exporting territory to fax the certificate is one was issued but did not accompany the consignment. If non has been issued then the consignment is confiscated and destroyed. On the other hand in the case of very small non commercial quantities on site inspection will be done and depending on the type of consignment it may be released.	These types of issues are rejected and consignment are confiscated and destroyed	Clarification will be requested before any action is taken, especially depending on the territory of concern	The consignment in this case will be rejected
Azerbaijan	Violation of international requirements of ISPM12	Violation of international requirements of ISPM12	Violation of international requirements of ISPM12	Violation of international requirements of ISPM12
United Kingdom	reject or destroy	destroy	reject or destroy	destroy
Austria				
Japan	Reject Consignment	Reject Consignment	Reject Consignment	Reject Consignment
Argentina				
South Africa	Reject - refuse entry and return the consignment to the country of origin	Reject - refuse entry and return the consignment to the country of origin	Reject - refuse entry and return the consignment to the country of origin	Refuse entry and return the consignment to the country of origin, confirm authenticity of the Phyto Certificate with the relevant NPPO
Chile	Reject Consignment	ask NPPO	request new certificate or reject consignment	ask NPPPO, reject consignment and notify the NPPO
Czech Republic	notify exporter	notify exporter	notify exporter	notify exporter
Uruguay	Consignment is retained, the pest risk assesses according to risk category of the commodity and place of origin	retained, new phytosanitary certificate is requested, PR assessed and at last instance, consignment rejected	consignment retained, possibility of laboratory test is evaluated, and if it is not possible it is rejected and notification to the NPPO of the exporting country	If a fraudulent phytosanitary certificate is suspected, the situation is evaluated with the NPPO of the exporting country, pest risk is assessed and a decision is made
New Zealand	request certificate or reject consignment	request valid certificate or reject consignment	Request valid certificate or reject consignment	
Ghana	decision based on the state of the consignment and the exporting country's NPPO is notified on actions taken ie. if free from pests it is released, if lives pests are detected, consignment is treat and release, if approved treatment is not available, commodity is refused entry or destroyed	decision based on the state of the consignment and the exporting country's NPPO is notified on actions taken ie. if free from pests it is released, if lives pests are detected, consignment is treat and release, if approved treatment is not available, commodity is refused entry or destroyed	decision based on the state of the consignment and the exporting country's NPPO is notified on actions taken ie. if free from pests it is released, if lives pests are detected, consignment is treat and release, if approved treatment is not available, commodity is refused entry or destroyed	decision based on the state of the consignment and the exporting country's NPPO is notified on actions taken ie. if free from pests it is released, if lives pests are detected, consignment is treat and release, if approved treatment is not available, commodity is refused entry or destroyed
Costa Rica	se le solicita informacion al pais exportador, de no recibir respuesta se rechaza el envio	se le solicita informacion al pais exportador, de no recibir respuesta se rechaza el envio	se le solicita informacion al pais exportador, de no recibir respuesta se rechaza el envio	Solicitud de informacion/rechazo/destruccion
Lebanon				
The Netherlands	allow import to obtain a certificate, otherwise refuse	allow import to obtain a replacement certificate, otherwise refuse	Allow import to obtain a replacement certificate otherwise refuse	refuse
Guinea- Bissau	Treatment	Reject	Notify	Reject
Dominican Republic	reject consignment	reject consignment and notify NPPO of the exporting country	reject consignment and notify NPPO of the exporting country	reject consignment and notify NPPO of the exporting country
Belize	reject consignment	Reject consignment and notify	Reject consignment and notify	Reject consignment and notify
United States	reject, destroy, possible option to obtain PC if possible	reject, destroy	reject, destroy, possible option to obtain PC if possible	reject, destroy
Canada	We would ask the importer if a phytosanitary certificate could be obtained for the consignment of plants, plant products or regulated articles	We would ask the importer if he could obtain an amended phytosanitary certificate from the NPPO of the exporting country demonstrating compliance with Canada's phytosanitary import requirements	We would ask the importer if he could obtain an amended phytosanitary certificate from the NPPO of the exporting country demonstrating compliance with Canada's phytosanitary import requirements	The consignment would be refused entry into Canada, monetary penalties could be issued and we would follow-up with the NPPO of the exporting country
St. Kitts and Nevis	Treat or reject consignment	Contact NPPO/reject consignment	Contact NPPO/Hold Consignment till problem	Contact NPPO in exporting country/reject consignment
Turkey	Reject consignment	Reject consignment	Reject consignment	Legal process
Malta	Destruction	We contact the NPPO for clarification	We contact the NPPO for clarification	We contact the NPPO for clarification
Peru	reject consignment	make contact with the NPPO of the exporting country to validate the phytosanitary certificate. Meanwhile the consignment is in standby	serious deficiencies in information to phytosanitary certificates - we request the importer a new phytosanitary certificate or an addendum issued by the NPPO of the exporter country	The consignment is rejected
Namibia	Phytosanitary requirements should be notified to the exporting country to know what is required	Phytosanitary requirements should be notified to the exporting country to know what is required	Phytosanitary requirements should be notified to the exporting country to know what is required	Phytosanitary requirements should be notified to the exporting country to know what is required
Mexico	Reject consignment and notify to the NPPO of the exporting country and request additional information	Reject consignment and notify to the NPPO of the exporting country and request additional information	Reject consignment and notify to the NPPO of the exporting country and request additional information	Reject consignment and notify to the NPPO of the exporting country and request additional information
Panama	Reject Consignment	Reject Consignment	Reject Consignment	Reject Consignment
Guyana				

SECTION E – Documented Procedures

Country	1. Does your NPPO have a comprehensive record keeping and information retrieval system concerning exports which enable it to provide appropriate information to relevant parties in cases of non compliance	4. Does your NPPO have written procedures for internally reporting interceptions, instances of non compliance and emergency actions?	5. Does your NPPO have written procedures to periodically review the cases of non compliance and emergency actions taken	6. Does your NPPO have written procedures to ensure that the notification and information of notifications are distributed in the first instance only to the NPPO of the exporting country?	7. Does your NPPO have procedures in place to ensure the confidentiality of the information between the parties involved>
Poland	Y	N	N	Y	Y
Morocco	Y	X	X	X	X
Indonesia	Y	Y	Y	Y	Y
Estonia	Y	Y	N	Y	Y
Malawi	N	Y	Y	Y	Y
Malaysia	Y	Y	Y	N	N
Tonga	N	Y	N	N	N
Thailand	N	N	N	N	N
Iraq	N	N	Y	N	N
Switzerland	Y	Y	N	Y	Y
Bulgaria	Y	Y	Y	N	N
Uganda	Y	Y	Y	N	Y
New Caledonia	Y	N	N	N	N
Niue	Y	Y	Y	Y	Y
Bosnia and Herzegovina	N	N	N	N	Y
Togo	N	N	N	N	N
Australia	Y	Y	N	Y	Y
Cook Islands	Y	Y	Y	Y	Y
Kenya	Y	Y	Y	Y	Y
Singapore	Y	N	N	N	N
Philippines	Y	Y	N	Y	Y
St Vincent and the Grenadines	Y	Y	N	N	Y
Azerbaijan	Y	N	Y	Y	Y
United Kingdom	Y	Y	N	N	Y
Austria	Y	Y	Y	Y	Y
Japan	Y	Y	N	Y	Y
Argentina					
South Africa	Y	Y	Y	Y	Y
Chile	Y	Y	Y	N	N
Czech Republic	Y	Y	N	N	Y
Uruguay	N	N	N	N	Y
New Zealand	Y	Y	Y	Y	Y
Ghana	N	N	N	N	N
Costa Rica	N	Y	Y	Y	Y
Lebanon	Y				
The Netherlands	Y	Y	Y	Y	Y
Guinea- Bissau	N	Y	Y	Y	Y
Dominican Republic	Y	Y	Y	Y	Y
Belize	Y	Y	Y	N	Y
United States	Y	Y	Y	Y	Y
Canada	Y	Y	N	Y	Y
St. Kitts and Nevis	Y	Y	N	N	N
Turkey	Y	Y	Y	Y	Y
Malta	Y	Y	N	N	Y
Peru	Y	N	N	N	N
Namibia	Y	Y	Y	Y	Y
Mexico	Y	Y	Y	Y	Y
Panama	Y	N	N	N	Y
Guyana	Y	Y	Y	N	
Total					
Yes	38	34	24	24	33
No	10	12	22	22	12
No Answer	1	2	2	2	3

Country	2. Do you have procedures in place for the following:								3. Does your NPPO have documented procedures and work instructions to cover the following aspects of compliance checks for imports?							
	Reporting non compliance	Receiving reports	Responding to non compliance reports	reviewing reports to initiate phytosanitary measures	Applying phytosanitary measures	Reporting phytosanitary measures	Changes to the phytosanitary import requirements	None of the above	Documentary checks	Consignment identity checks	Phytosanitary inspection	Sampling	Testing	Procedures to identify instances of non compliance	Emergency actions	None of the previously listed
Poland	X	X	X	X	X	X	X		X	X	X	X	X	X		
Morocco	X				X		X		X		X	X		X		
Indonesia	X	X	X	X	X	X	X		X	X	X	X	X	X	X	
Estonia	X	X	X						X	X	X	X	X	X	X	
Malawi	X	X	X	X	X				X		X	X	X			
Malaysia	X	X	X	X	X	X	X		X	X	X	X	X	X	X	
Tonga	X	X	X	X	X	X	X		X	X	X	X	X	X	X	
Thailand		X	X							X	X					
Iraq								X	X	X	X	X	X		X	
Switzerland	X	X		X	X		X		X	X	X	X	X	X	X	
Bulgaria	X					X			X	X	X	X	X		X	
Uganda	X	X	X		X	X			X	X	X	X	X	X	X	
New Caledonia								X	X	X	X					
Niue					X	X	X		X	X	X	X	X	X	X	
Bosnia and Herzegovina				X	X	X			X	X	X	X	X		X	
Togo								X	X	X	X	X			X	
Australia	X	X				X			X	X	X	X	X	X	X	
Cook Islands	X	X	X	X	X	X	X		X	X	X	X	X	X	X	
Kenya	X	X		X	X	X	X		X	X	X	X	X	X	N	
Singapore	X				X		X		X	X	X	X	X	X		
Philippines	X	X	X	X	X	X	X		X	X	X	X	X	X	X	
St Vincents and the Grenadines					X				X	X	X	X				
Azerbaijan	X	X	X	X	X	X	X		X	X	X	X	X	X	X	
United Kingdom	X								X	X	X	X	X	X	X	
Austria	X	X	X	X	X	X			X	X	X	X	X	X	X	
Japan	X	X	X	X	X	X	X		X	X	X	X	X	X	X	
Argentina																
South Africa	X	X	X	X	X	X	X		X	X	X	X	X	X	X	
Chile					X				X					X		
Czech Republic	X	X	X	X	X	X	X		X	X	X	X	X	X	X	
Uruguay	X				X				X	X	X	X	X	X	X	
New Zealand	X	X	X	X	X	X	X		X	X	X	X	X	X	X	
Ghana								X								X
Costa Rica	X	X	X	X	X	X	X		X	X	X	X	X	X	X	
Lebanon	X				X	X	X		X		X	X	X			
The Netherlands	X	X	X	X	X	X	X		X	X	X		X	X	X	
Guinea- Bissau					X				X							
Dominican Republic				X		X			X	X	X	X		X	X	
Belize	X	X		X			X		X	X	X	X	X	X	X	
United States	X	X	X	X	X	X	X		X	X	X	X	X	X	X	
Canada	X	X	X			X	X		X	X	X	X	X	X	X	
St. Kitts and Nevis	X	X	X	X	X	X	X		X	X	X	X	X	X	X	
Turkey	X	X	X	X	X	X	X		X	X	X	X	X	X	X	
Malta	X								X	X	X	X	X	X	X	
Peru					X		X		X		X	X	X		X	
Namibia	X	X	X	X	X	X	X		X	X	X	X	X	X		
Mexico	X	X	X	X	X	X	X		X	X	X	X	X	X		
Panama	X	X	X	X	X	X	X		X	X	X	X	X	X	X	
Guyana	X	X	X	X	X	X	X		X	X	X	X	X		X	
Total																
Yes	36	30	26	27	35	30	29	4	46	41	45	42	38	35	34	1

SECTION F – Open-Ended Questions

Country	1. What criteria does your NPPO use to determine cases of significant non compliance for notification?	2. After a case of significant non compliance is determined to have occurred and affected trade, please list a few actions your NPPO has taken to resume normal trade between your country and the other trading partner country?	3. What are the three most important factors that constrain the ability of your NPPO to notify cases of significant non compliance?
Poland	None	Contact European Commission	None
Morocco	Failure to comply with phytosanitary import requirements, 2. detection of regulated pests, 3. prohibited articles in consignments eg. soil., 4. Evidence of failure of specified treatments	We try to resume normal trade with trading partner countries through 1. consultation and bilateral agreements	no constraint
Indonesia	PC, Detection of Quarantine Pests	Conducting Pre-Shipment Inspection, Harmonization through Recognition	Misunderstood, Language to some extend, Unfamiliar
Estonia	No specific criteria	Negotiations at ministry level	
Malawi	Meet regularly to notify produce inspectors of the requirements	Ensure that phytosanitary documentation are made available all the time	Readily available internet services at boarder points
Malaysia	Mostly non compliance to the import requirement and interception of regulated pests	Notified the non compliance Bilateral discussion on the mitigation that address the issues Registered farms, packinghouses and treatment providers	Identification of pest intercepted, searching for the NPPO address and late reporting to the headquarters although there are SOP
Tonga			
Thailand	PRA	Negotiate	1. Policy, 2. No written procedures, 3. Insufficient authorities
Iraq	Discuss the problem and then the NPPO determine not import from non compliance country	Agree with other country for obligation	1. Not import, 2. Inform to region NPPOs
Switzerland	Presence of a regulated pest which is not known to occur or not widely distributed to in the country	n.a.	there are no such constraints
Bulgaria	1. cases of detection of consignment with regulated pests, 2. cases of detection of consignment with non-regulated pests, 3. cases of documentary non-compliance	1. official trace back of the notified consignment, 2. official letter to inform the consignor of the notified consignment, 3. responding to non-compliance reports, 4. strengthening of the control in case of following export	1. lack of information, 2. delay of results fom laboratory analyses
Uganda	Inspections and documentary checks and laboratory testing	1. Negotiations to some extent, 2. improve the phytosanitary system, 3. create pest free areas	1. internet connectivity, 2. technical capacity, 3. infrastructure
New Caledonia	Repeated interceptions on consignments despite phytosanitary certificate (inspection, treatments)	Never happened	1. Ability to identify intercepted pests
Niue	depends on the pest risk analysis that we have undertaken what needs to be done according to the PRA	review and renew bilateral agreements; do a pest risk analysis, try to treat the current problems, renegotiate a new bilateral agreement with new actions	1. ICT equipment, 2. Contact NPPOs seems to change from time to time, 3. No internet forum like PESTNET for easy communication
Bosnia and Herzegovina			
Togo	detection of regulated pest	our NPPO notify to the NPPO of exporting country and the phytosanitary measure taken	
Australia	Detection of quarantine or regulated pest as identified in Quarantine Act supported by import risk analyses or specific pest risk assessments	Bilateral negotiations conduct audit of production system. Adopt equivalent phytosanitary measures. Pathway or pest risk analysis to review risks	1. speed of pest identifications and specialists available to do this, 2. identification of appropriate contact point, 3. access to appropriate expertise resources to identify pests to species level
Cook Islands	ISPM13 Section 4.1 compliance of Phytosanitary Measures	Suspension of trade until compliance is restored with confidence in the certification pathway of export - Note that the response below in questions 3.4.5.6 is referred to a situation of a small island state operation as compared to a developed country economy	1. technical capacity in the area of diagnostics, 2. lack of training as resources are limited, 3. lack of adequate equipments
Kenya	Persistent receipt of products that contravene Kenyas import requirements including sending consignments that have no Phytosanitary certificates or fraudulent certificates or presence of harmful diseases and pests	Engagement with the respective NPPO include verification visits to establish controls in place, followed by development of pre-export inspection protocol to be verified by the NPPO from where exports originate * Bilateral engagements with the NPPOs including exporters. In case of Kenya we have invited other NPPOs to visit our country for audit and development of joint strategies that are geared to assure compliance. In some cases targeted donor funded projects have been implemented to build capacity in surveillance, diagnostics, and enhancing early warning capabilities.	1. lack of adequate information on products finding their way from foreign countries particularly for products that are exported through post offices, This is more often restricted to free samples sent to amateur growers, 2. lack of declaration of product names. this constrains notification, 3. lack of contacts of NPPOs
Singapore	The detection of regulated pests and failure to comply with import health requirements	Step up monitoring and checks on consignments from that particular exporting country. Bilateral discussions to resolve non compliance	Timely update on outcome of inspections and analysis results. Identification and confirmation of pests. Further verification of pests identified by external experts
Philippines	We consider first the integrity of the consignment and verify the status of the pest if its is prohibited or it contains quarantine pest	Bilateral communications, verification of non-compliances, and country/production site visits	1. Verification capabilities at the ports of entry delay the notifications, 2. Testing capabilities, 3. Lack of written procedures
St Vincent and the Grenadines	failure to provide adequate documentation prohibited consignments prohibited articles in consignment failure to adhere to required treatments	Conduct in country stakeholders meeting clarify the issues of non compliance in greater detail look a proposed solution to the issue at hand. There will be bilateral discussion on the issue	1. identification of the specific organism, more so at the specie level, depending on the type of organism, 2. inadequate diagnostic facility. 3. limited human resources
Azerbaijan	1. failure to comply with phytosanitary requirements, detection of regulated pests, failure to comply with documentary requirements, including 1. absence of phytosanitary certificates, uncertified alterations or erasures to phytosanitary certificates, serious deficiencies in information on phytosanitary certificates, fraudulent phytosanitary certificates, prohibited consignments, prohibited articles in consignments (soil), evidence of failure of specified treatments, repeated instances of prohibited articles in small, non-commercial quantities carried by passengers or sent by mail	1. investigate serious cases of non compliance in order not to repeat such violations and on the basis to negotiate with the NPPO of another party, 2. both sides must adhere to the requirements of international standards, 3. exchange phytosanitary certificates, regulations of export and import, information and experiences existing in the filed of plant quarantine, 4. have a bilateral intergovernmental agreement on plant quarantine and protection which will stipulate a special item on ISPM13	
United Kingdom	Depends on the nature of the pest and pathway; immediate risk of introduction and spread would be a top priority	This is handled by the European Commission and involve an audit visit and subsequent action, eg. temporary ban	None
Austria	Phytosanitary risk	Clarify the situation with the exporting country, discuss with trading partner involved	no constraints
Japan	In accordance with ISPM no. 13	Intercept the imported consignments and request the NPPO of exporting country to investigate the cause to prevent the recurrence	Non
Argentina			
South Africa	Persistent interception or non compliance of a specific phytosanitary measures	1. Requesting of surveillance data from the importing country, 2. Confirmation of areas of low pest prevalence (if any), 3. confirmation of pest free areas, 4. Convening of a technical bilateral meeting, 5. Diplomatic interventions where necessary	1. absence of addresses/contacts of importing countries and outdated contact details on the NPPO website, 2. Countries that do not provide Production Unit Codes (PUC) on their notifications makes it difficult for us to trace back their products, 3. Language barriers
Chile	Presencia de plagas cuarentenarias vivas, documentatcion erronea, productos no regulados, tratamiento fitosanitarios incompletos, entre otros	Adoptar medidas fitosanitarias	none
Czech Republic	None - we do not distinguish significance	increasing testing, internal training, communication with exporters	
Uruguay	1. detection of regulated pests and 2. failure to comply with phytosanitary import requirements	All possible actions are taken with the NPPO of the exporting country to achieve a bilateral agreement that facilitates trade of the commodity	1. no constraint
New Zealand	Incorrect information on a Pest Certificate or a significant pest intercepted	As import NPPO: request investigation and report findings. Export NPPO: investigate non compliance, report, update systems or measures as appropriate	1. Resource, 2. Lack of pest ID

Ghana	Ghana's NPPO used the following criteria as listed in ISPM13 to determine instances of non compliance - detection of regulated pests in consignments, failure to comply with documentary requirements, including absence of phytosanitary certificates, uncertified alterations or erasures to phytosanitary certificates, serious deficiencies in information on phytosanitary certificates, fraudulent phytosanitary certificates, prohibited consignments, prohibited articles in consignments, evidence of failure of specified treatments, repeated instances of prohibited articles in small, non commercial quantities carried by passengers or sent by mail	case 1 - a temporal ban was placed on the export of the non compliant commodities, then corrective actions implemented to address the non compliance by Ghana's NPPO, trading partners informed of actions taken, an audit team visited Ghana to audit official control systems for harmful organisms of concern to EU, recommendations of the audit team to be implemented before normal trade in said commodity is resumed, case 2- signing of bilateral agreement on the non compliant commodity which had been banned by importing country's NPPO, - corrective actions in line with the bilateral agreement are implemented, Ghana's NPPO monitors compliance to the bilateral agreement by stakeholders, normal trading is resumed	1. inadequate inspection facilities to detect cases of non compliance, 2. limited capacity of designated officers to detect cases of significant non compliance, 3. limited communication between NPPOs headquarters
Costa Rica	deteccion plaga reglementada intercepctada, incumplimiento documental	comunicacion con la ONPF, verificacion de la situacion, elaboracion informe de la situacion (inspeccion, muestreo, analisis de laboratorios), elaboracionn y envio de informe a la ONPF	1. si no se cuanta el punto de contacto
Lebanon			
The Netherlands	Presence of a regulated pest	Correspondence, contacts via embassy, bilateral meetings	Insufficient information, workload
Guinea- Bissau	Phytosanitary measures	Apply norms	Laboratory inspectors phytosanitary post controls
Dominican Republic	Presence of quarantine pests	Temporary suspension, bilateral discussions and possible opening of commercial exchange with scrutiny of each case	1. levantamiento de la infromacion de la plaga, 2. confirmacion de diagnostico, 3. acuerdo de consenso del equipo
Belize	We have agreed what situations qualify. Presence of regulated pests, lack or inappropriate documentation, and lack of compliance with phyto requirements ie. any irregularity that can result in the introduction of a regulated pest	Bilateral discussions are held to address the problems	1. Poor contacts with the exporting NPPO, Contact points don't always respond
United States	Regulated pests present, prohibited articles present	working with trading partner to develop methods to prevent recurrence of non compliance	1. NPPO does not do initial Emergency Action Notification, (DHS, Customs, and Border Protection does), 2. No formal mail notification process to NPPO, 3. No formal fax notification process to NPPO
Canada	1. failure to comply with phytosanitary requirements, detection of regulated pests, failure to comply with documentary requirements, including the detection of a specified regulated pest, or evidence of the ineffective application of specified treatments, 2. failure to comply with requirements for certain documentation including absence of phytosanitary certificates or the presence of an incomplete or fraudulent phytosanitary certificate, 3. prohibited consignments or prohibited articles accompanying the consignment, 4. repeated instances of prohibited articles in small non commercial quantities carried by passengers or sent by mail	development of alternative phytosanitary import requirements ex. MoU-technical visit to ensure that phytosanitary measures have been adequately implemented to prevent further re-occurrence of non compliance-increase frequency of import inspection to verify that phytosanitary import requirements are met - pre-clearance or approval of exporting facilities///Technical visit and dialogue with the NPPO of the importing country to identify mutually acceptable solutions - implementation of revised phytosanitary requirements to address the concerns of the NPPO of the importing country - ongoing monitoring of the situation and implementation of required adjustments - development of bilateral agreements	delay in assembling the required information to notify in a timely manner
St. Kitts and Nevis	Number of regulated and non regulated pests found in consignment, non-compliance with import permit/phytosanitary requirements	Address the problem with NPPO in the exporting country and come to agreement with them, increased inspection/public awareness, increased inspection	Staff, finance
Turkey	ISPM 13. IPPC criteria are used	Technical visit, Diplomatic efforts	
Malta	Documentary, Identity and Phytosanitary checks	Phoned the concerned NPPO for clarification so it does not affect trade	n/a
Peru	As a basic criteria we use the 4.1 chapter of ISPM13	Negotiate with the counterpart new phytosanitary measures that ensure the consignment complies with the other NPPO requirements	Omission to issue a notification by quarantine inspector
Namibia	First report to the relevant authority at national level and then report to the NPPO of the exporting country	immediate action is to revisit the IPPC standards, put measures in place and strictly adhered to / bilateral meeting to decide on the measures to be taken to resume export. Consultations with affected producers	1. emergency action, 2. timing of notification, 3. information included in a notification
Mexico	1. if the pest corresponds to a quarantine pest, 2. if the phytosanitary certificate follows the specifications of ISPM12 (without alterations or erasures to phytosanitary certificates), 3. repeated instances of detections of quarantine pests or when the mark of ISPM15 is missing	face to face meetings, send letters of understanding, to sign bilateral agreements /	1. Do not have diplomatic relationships with the exporting country, 2. to do the notification to a different name and address of the authority of the NPPO of the exporting country that sometimes the country refuses the notification indicating that person does not work there anymore (for example Guatemala once rejected the notification), 3. Do not have enough material (insects) to do the pest identification. Often identification to a species is not possible, and if the specimen is within a family that includes a quarantine pest, the most sever measures are applied. In this case, this happens when are missing some parts of the insects that do not permit the correct taxonomic identification
Panama	Basically we use the criterion of a regulated pest interception or deficiency in the phytosanitary certificates	There have been negotiations and signing of bilateral work plans	1. Incomplete information in order to take a decision, 2. lack of knowledge of identity of the focal points of the exporting country, 3. limited communication internally
Guyana	Repetitiveness of infringement, significance of pest (related or quarantine), enter ability of the commodity	Use of pest free areas, certifying farms, audit verification, established protocols between trading partners	lack of staff (dedicated to notifications)

Country	4. List the three most important factors that affect the ability of your NPPO to react to notifications?	5. What are the three most important factors that hinder your NPPOs ability to investigate notifications of instances of non compliance?	6. What are the three most important factors that hinder your NPPOs ability to take corrective actions on non compliance if needed?	7. If after applying all the provisions established in ISPM13 you still have contentious issues that have not been solved bilaterally, what formal mechanisms have you employed to address them?
Poland	None	Lack of information to identify exporter	None	Contact European Commission
Morocco	1. late notification (2 - 3 months), 2. notification in a FAO language that we may not be understanding,	1. late notification (2 - 3 months), 2. notification in a FAO language that we may not be understanding,	1. late notification (2 - 3 months), 2. notification in a FAO language that we may not be understanding,	We try as soon as possible if not the plant and plant products exchange may be suspended with the trading partner
Indonesia	Time of receiving NNC, Internal structure of organization, To bureaucracy	Time of receiving NNC, Internal structure of organization, To bureaucracy	Time of receiving NNC, Internal structure of organization, To bureaucracy	Further Bilateral Cooperation in SPS
Estonia				Negotiations at EC Commission level
Malawi	Not sure	Not sure	Delay in response	Further refer the issues to FAO contact personnel
Malaysia	Product export through third country, address of exporter not provided, limited number of staff	Received late notification from entry points, limited number of staff	Address of exporter not provided	Conduct research on the problem and recommend corrective measures
Tonga				
Thailand	1. Policy, 2. No written procedures, 3. Language	1. Policy, 2. Insufficient authorities	Insufficient authorities	Negotiate
Iraq	Non	Non	Non	Not formal mechanisms
Switzerland	n.a.	lack of information	lack of information in the notification	n.a.

Bulgaria	1. late dispatch of the notification, 2. number of PC not listed in the notification, 3. serious deficiencies in the information of the notification	1. same factors as in question 4	1. late dispatch of the notification	
Uganda	1. non significance, 2. limited exposure on how to make notifications 3. lack of internet	1. non significant, 2. limited diagnostic capacity, 3. poor infrastructure	1. limited resources, 2. limited technical capacity, 3.	Bilateral agreements
New Caledonia			1. lack of diagnostic capacity and specialized staff to precisely identify pests (Entomologist, Plant Pathology laboratory), 2. Industry lobbying	Never happened
Niue	1. Slow communication methods such as phone lines are yet to be updated especially for an island like Niue, 2. Need to get full authority of Cabinet/director before any action is taken	1. Legislation, we need an updated legislation to combat this problem as the current legislation is outdated and some clauses within do not comply with what must be done to combat the problem at this present time, 2. different time zones, 3. lack of information	1. Lack of resources, 2. no lab, 3. lack of appropriate facilities, like a quarantine holding facility etc.	We have not gotten that far yet
Bosnia and Herzegovina				
Togo				
Australia	1. late notifications, 2. non commercial exports - private entities (postal)	1. No phytosanitary certificate number, 2. incorrect phytosanitary certificate number, 3. late notifications	1. exported with NPPO knowledge, 2. late notifications	Higher level diplomatic discussions WTO dispute processes, including raising issues at SPS Committee
Cook Islands	1. technical capacity in the area of diagnostics, 2. lack of training as resources are limited, 3. lack of adequate equipments	1. technical capacity in the area of diagnostics, 2. lack of training as resources are limited, 3. lack of adequate equipments	1. technical capacity in the area of diagnostics, 2. lack of training as resources are limited, 3. lack of adequate equipments	ISPM13 is normally settles the export pathway in our situation
Kenya	1. late notifications. sometimes notifications are received when the affected crop is already out of farm especially for propagation materials, 2. notifications on products that are exported without exports channeling the same through NPPO. This includes products that may be carried in baggage of travelers as gifts, 3. Unclear communications, from NPPOs that do not provide adequate information	1. When the notification is received when the crop from which export was derived is already not in cultivation, 2. when product is not documented by NPPO, ie. exported without reference to NPPO3. When information of exporter is not provided	1. When the notification is received when the crop from which export was derived is already not in cultivation 2. when product is not documented by NPPO, ie. exported without reference to NPPO, 3. when information of exporter is not provided	So far none, however the dispute settlement mechanism is an available option.
Singapore	Notification not sent promptly by importing NPPO upon pest interception. Wrong PC no quoted in the notification. Difficulty in trace-back as exporters information was not provided in the notification notice. Shipper/forwarded information was given instead.	Refer to 4	Corrective actions require the eradication of endemic pests which is extremely difficult to achieve. Corrective actions require monitoring and surveillance which requires a specific time frame to complete. Resistance to chemicals renders treatment ineffective. Chemical toxicity to these organisms eg. fishes	n/a
Philippines	1. internal weakness to responding to the notifications, 2. Verification of notifications received are delayed due to lack of physical capacity, 3. Traceability is still lacking at the production level	1. Physical / technical constraint	1. Coordination problems with other agencies concerned	If this happens, we will resort to the Dispute Settlement Mechanism
St Vincents and the Grenadines	1. human resource limitation due to multiplicity of task assigned to individual officers, 2. specialized staff, 3. time constraints depending on the period for the response and the information required to fulfill the request	1. insufficient human resources, 2. specialist in relevant areas, 3. finance	1. finance, 2. lack of specialized treatment facilities, 3. cost of treatment relative to volume of trade	The matter will be taken up the respective minister for articulation in relevant fora
Azerbaijan				
United Kingdom	Lack of sufficient information, time and staff	Lack of sufficient information, time and staff	Need for a joint with other EU member states; lack of definitive information, lack of effective treatments (e.g. fumigation)	This is handled by the European Commission and involves an audit visit and subsequent action eg. temporary ban
Austria	none	none	none	no formal mechanism but exchange of views with IPPC expert in other countries and the European Commission
Japan	Non	Non	A lack of the details on the reason of notification	We have a bilateral consultation
Argentina				
South Africa	1. lack of traceability (cartons, pallets, vessels), 2. countries that are not signatories of the IPPC, 3. capacity constraints and finances	1. provision of incorrect information on notified consignments, 2. lack of traceability on notified consignments (cartons, pallets, vessels), 3. finances skills and lack of capacity	1. legislative implications within South Africa, 2. human resources capacity, 3. finances, skills and lack of capacity	IPPC dispute settlements, bilateral agreements with trading partners
Chile				
Czech Republic		1. lack of information in notification, 2. delay of a notification, 3. no more exports involved	1. human factors, 2. resources, 3.	diplomacy, policy
Uruguay	no factors	no factors	no factors	We have no case, but we would present the case first to the IPPC SBDS and after that if necessary to the SPS WTO
New Zealand				Bilateral communication, usually face to face meetings
Ghana	1. poor comprehension of non compliance by stakeholders, 2. inadequate resources to address non compliance holistically, 3. NPPOs eagerness to institute corrective measures to prevent re-occurrence before responding to the notifying NPPO	1. lack of well defined traceability systems in commodities which were non compliant , 2. stakeholders are very impatient and non cooperative most of the time, 3. limited resources ie. funds	1. stakeholders are very impatient and non cooperative most of the time, 2. limited resources ie. funds, 3. need to work with a very large number of stakeholders	Seek arbitration with the SBDS
Costa Rica	1. personal capacitado, 2. vigilancia realizada en el pais, 3. automatizacion de los sistemas	1. informacion poco clara, 2. no contar con sistemas de trazabilidad, 3. notificacion sin la informacion necesaria	1. recibir notificaciones a destiempo, 2. falta de personel y recursos	mecanismos de consulta del Acuerdo de Medidas Sanitarias y Fitosanitarias y de ORPFs
Lebanon				
The Netherlands	workload insufficient information	workload	in all cases action is taken	Contact with European Commission
Guinea- Bissau	Weak communication ability strong bureaucracy not enough training	Laboratories not well equipped	lack of well trained inspectors not well equipped labs weak communication	Rejection
Dominican Republic				
Belize	Very late notifications from importers. Insufficient information or notifications. Sometimes notifications sent to exporters are not to NPPOs	Lack of sufficient information. Lack of traceability. Shortage of specialized personnel	Lack of required treatments and infrastructure. Poor collaboration from exporters	Continue rejecting consignments
United States	1. receiving FNNC months after issuance, 2. incomplete FNNCs (ie. not enough information to act on), 3. volume of FNNCs we get for non commercial shipments and ISPM15 issues (situations outside of our control).	1. receiving FNNC months after issuance, 2. incomplete FNNCs (ie. not enough information to act on), 3. volume of FNNCs we get for non commercial shipments and ISPM15 issues (situations outside of our control).	1. receiving FNNC months after issuance, 2. incomplete FNNCs (ie. not enough information to act on), 3. volume of FNNCs we get for non commercial shipments and ISPM15 issues (situations outside of our control).	
Canada	insufficient details provided on the notification ex. number of the phytosanitary certificate, name of exporter, information on the regulated pest found, etc. - NPPO of the exporting country was not involved in the certification for which the notification is issued for - lack of collaboration from	NPPO of exporting country was not involved in the certification for which the notification is issued for - lack of information - insufficient details on the notification - delay in obtaining the notification	1. lack of information - lack of collaboration from commercial parties - receiving a notification for a commodity that did not originate from our country but from which it was re-exported	Contentious issues are usually resolved through bilateral technical discussions and political interventions. A possibility could be the use of the NAPPO or WTO -SPS dispute

	commercial parties and/or NPPO			settlement process
St. Kitts and Nevis	staff, finance	staff, finance, access to taxonomic services	staff, finance	Contract SBDS to resolve matter
Turkey				Bilateral negotiations are used
Malta	Inspectors Efficiency	Time and Efficiency	Time and Efficiency	n/a
Peru	Lack of detailed information in the communication	Lack of detailed information in the communication	Lack of detailed information in the communication	We manage any conflict through the dispute settlement mechanism of WTO. If the counterpart is an Andean community country, we go first to the dispute settlement mechanism of the RPPO (Andean community)
Namibia	1. time factor for further concrete scientific analysis in case of a pest, 2. appropriate taxonomic expertise not available	1. capacity building 2. resources in monetary or equipment, 3. cooperation from affected stakeholders	1. cooperation from all stakeholders, 2. scientific evidence, 3. language used	take issue further either to IPPC body at regional level and if its not fruitful then IPPC mother body has to be consulted to intervene
Mexico	1. absence of information that delays the reaction of the notification, 2. do not have information about the detected pests (including biology, host range, pathways, global distribution, detection and identification methods), 3. there is no answer of the NPPO of the importing country when the NPPO of Mexico (as exporting country), request more information to clarify these cases	1. absence of information, 2. at national level not to have enough personnel to do inspections, 3. there is no answer of the NPPO of the importing country when the NPPO of Mexico (as exporting country), request for more information to clarify these cases	1. absence of information, 2. at national level not ot have enough personnel to deal with cases	Actually the NPPO of Mexico does not have necessity to employ a contentious issue that required the use of a formal mechanism
Panama	1. incomplete information in order to take a decision, 2. limited communication internally, 3. receipt notifications as late	1. incomplete information received, 2. the SPS system of the country is not integrated into a single institution, 3. receipt notifications as late	1. insufficient knowledge of the rules of exporters, 2. incomplete information provided in the non compliance notifications in order to take a decision, 3. receipt of notifications as late	Although in our case we have not had the need to take these cases to other agencies, we think that they can be addressed through diplomatic and trade ministries, or address issues in the regional plant protection organizations.
Guyana	Lack of staff dedicated to notifications			NIL