



Food and Agriculture  
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International  
Plant Protection  
Convention

## **REPORT**

# **IMPLEMENTATION REVIEW AND SUPPORT SYSTEM (IRSS) TRIENNIAL IMPLEMENTATION REVIEW SECOND CYCLE (2014-2017)**

**IPPC Secretariat**

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## Introduction

- [1] The International Plant Protection Convention (IPPC) is an international plant health agreement, established in 1952, that aims to protect cultivated and wild plants by preventing the introduction and spread of pests. The Secretariat of the IPPC was established in 1992 by FAO in recognition of the increasing roles of the IPPC. By protecting plant resources from pests and diseases, the IPPC helps: protect farmers from economically devastating pest and disease outbreaks; protect the environment from loss of species diversity; protect ecosystems from loss of viability and function as a result of pest invasions; and protect industries and consumers from the costs of pest control or eradication.
- [2] Standards setting and implementation are core to achieving the purpose of the IPPC, for which the IPPC Secretariat encourages participation with its members (contracting parties) and engagement with its partners, regional plant protection organizations (RPPOs) and other international organizations. While participation by developing countries has increased, there is a need to sustain this over a longer term for impact. However, to build on this increased participation there is a need to ensure greater implementation of the Convention and its international standards for phytosanitary measures (ISPMs). To do this the IPPC requires significant investment in terms of human and financial resources to conduct a systematic and prolonged review of implementation. The objective being to facilitate improved implementation of the Convention and ISPMs through the identification of key challenges and the development of plans to address these challenges.
- [3] With this objective in mind the ‘Implementation Review and Support System (IRSS)’ concept emanated from a proposal made by the IPPC governing body, the Commission on Phytosanitary Measures (CPM), in 2007 and was adopted in 2008. The CPM noted the importance that this project would bring to the IPPC and its review of the implementation of the Convention and ISPMs. The IRSS builds on existing, or planned processes already approved by CPM, with the primary objective of facilitating and promoting the implementation of the Convention and ISPMs, and contribution to achieving the objectives set out in the IPPC Strategic Framework. The two results expected from the implementation of this project include:
- Result 1: Challenges and trends with regards to the implementation of the IPPC and its ISPMs identified globally or for a subset of countries.
  - Result 2: A subset of countries actively using the helpdesk to identify resources for solving difficulties in the implementation of the IPPC and its ISPMs.
- [4] The IRSS has been operating on a three year project cycle since 2011, with its second cycle recently ending 31 March 2017. During the second cycle the project carried out planned work activities including:
- monitoring the fulfilment of reporting obligations by contracting parties;
  - reviewing and evaluation of the implementation of other non-reporting obligations;
  - conducting surveys and questionnaires of contracting party implementation of ISPMs;

- conducting case studies and technical analyses of implementation issues at the national, regional and global levels;
- scanning for emerging issues relating to plant health;
- collating implementation reports from RPPOs and national plant protection organization (NPPO) data for IPPC Secretariat reports;
- providing implementation support to contracting parties via the IRSS Helpdesk;
- preparing annual implementation review reports; and
- presenting implementation updates annually to the CPM.

[5] On behalf of its contracting parties, the IPPC Secretariat would like to thank the European Commission (EC) for its support of the IRSS project, both during the first and second project cycles. The support of the EC has allowed the Secretariat to continue its work on reviewing contracting party implementation, which not only informs the work programme of the Secretariat but also the strategic direction of the CPM. This Triennial Implementation Review Reports provides a summary of the activities of the second IRSS cycle.

### **IPPC Strategic Framework**

[6] The IPPC is an international plant health agreement whose mission is secure cooperation among nations in protecting global plant resources from the spread and introduction of pests, in order to preserve food security, biodiversity and to facilitate trade. Recognized by the World Trade Organization (WTO) Agreement on Sanitary and Phytosanitary Measures (SPS Agreement) as the international standard setting body for plant health, the IPPC provides a framework for its 183 contracting parties promoting international harmonization of phytosanitary measures.

[7] The IPPC Secretariat, as an organization hosted by the Food and Agriculture Organization (FAO) of the United Nations (UN), is the critical instrument for promoting joint actions, international cooperation and leadership in the plant protection area. To meet the challenge of protecting global plant resources the [IPPC Strategic Framework](#) sets out clear objectives to be met, which directly relate to the [FAO Strategic Framework](#) and the [UN 2030 Agenda for Sustainable Development](#). In particular, IPPC contributes directly to the FAO strategic objective (SO) 2: *Make agriculture, forestry and fisheries more productive and sustainable*, and SO4: *Enable inclusive and efficient agriculture and food systems*. Similarly, IPPC contributes to seven sustainable development goals (SDGs), including SDG1: *No poverty*, SDG2: *Zero hunger*, SDG8: *Decent work and economic growth*, SDG12: *Responsible consumption and production*, SDG13: *Climate action*, SDG15: *Life on land* and SDG17: *Partnerships for the goals*.

[8] The role of the IRSS within the IPPC is to review contracting party implementation of the Convention and its international standards and monitor contribution towards the FAO Strategic Frameworks and UN SDGs. The ability to deliver strategic results depends on contracting parties' capabilities and capacity to implement the Convention and to understand their challenges and best practices the IRSS seeks to determine their level of implementation

and where gaps exist. The outputs of the IRSS project are used to inform the strategic direction of the CPM and the work programmes of its subsidiary bodies.

### **An increased focus on implementation**

- [9] During the second project cycle of the IRSS, the CPM and IPPC Secretariat committed to an increased focus on implementation, through making several decisions and commencing activities to improve implementation.

### **Open Ended Working Group on Implementation**

- [10] In August 2014 the Open Ended Working Group (OEWG) on Implementation was convened to build on work carried out by the CPM and the IPPC Secretariat over past years to address challenges associated with implementing ISPMs to globally harmonize phytosanitary measures, with a view to further increase IPPC's focus on implementation. The OEWG was tasked with providing guidance to the CPM and IPPC Secretariat for the establishment of implementation programmes and the development of strategic approaches for contracting parties to implement the Convention and its standards.

- [11] The OEWG highlighted that Article XI (2) of the Convention describes the promotion of full implementation as a key role of the CPM. The challenges associated with implementation were discussed within in the context of IPPC's goal to prevent pest spread and introduction and facilitate trade. The main challenges identified included:

- contracting parties and RPPOs capacity to implement
- resources required for implementation
- the need for strategic direction linking national activities with those of IPPC
- understanding the purpose of implementing standards (which differs at the national level by importance and need)
- the need for RPPOs to play a more important role in implementation
- building on existing work to enhance implementation capacity
- the low profile of IPPC and related issues

- [12] Given the extensive scope of obligations, responsibilities and rights of the Convention, the numerous ISPMs and CPM recommendations, it was agreed that it would be practical to develop a pilot implementation programme focusing on a specific area. The programme design was proposed to include links to national, regional and global priorities. It was intended this would provide contracting parties with the opportunity to be able to demonstrate to governments and potential resource partners how the IPPC implementation contributes to key phytosanitary functions, such as plant pest surveillance.

- [13] While CPM 9 (2014) agreed to focus on surveillance as a priority area for the implementation pilot, the OEWG discussed possible criteria that could be used to prioritize future topics for CPM consideration.

## Implementation pilot on surveillance

[14] Based on outcomes of CPM 9 (2014), the OEWG meeting and feedback provided by CPM 10 (2015), the IPPC Secretariat in collaboration with contracting party experts commenced the development of a concept note and work plan for the Implementation pilot on surveillance. It was agreed the pilot project would be carried out on the global scale and focus broadly on surveillance, integrating relevant CPM work areas, using existing opportunities to engage with contracting parties and RPPOs, and take into account funding and resource availability.

[15] The progress that has been made under the pilot project includes the following activities:

- Development of manuals on plant pest surveillance and diagnostics.
- Aggregation of contracting party case studies at the 2015 IPPC Regional Workshops.
- Discussion of contracting party case studies at the 2016 IPPC Regional Workshops.
- Calls for surveillance related technical resources, technology and other materials on general and specific pest surveillance.
- Revision of ISPM 6 (*Guidelines for surveillance*) and ISPM 8 (*Determination of pest status in an area*).
- Development of IPPC diagnostic protocols as annexes to ISPM 27 (*Diagnostic protocols for regulated pests*) where they relate to plant pest surveillance.
- CPM 11 (2016) side sessions on surveillance.
  - Diagnostic protocols and surveillance
  - Standard setting and surveillance
  - Emerging issues in plant health: *Xylella fastidiosa* in the Euro-Mediterranean area
  - Plant health in the 21<sup>st</sup> century: use of drones, apps and smart phones
- Working group meeting in June 2016 to discuss aggregation of resources on example pests of significance (*X. fastidiosa*, *Bactrocera dorsalis* complex and invasive ants) and awareness raising activities of best practices for risk management.
- Development of a factsheet for pest surveillance of *X. fastidiosa* circulated at CPM 12 (2017).
- Development of an IPPC Monitoring and Evaluation (M&E) framework to allow for responsiveness and continuous improvement of the pilot and wider IPPC Strategic Framework and work programme.

[16] Activities under the pilot project will continue for the foreseeable future.

## Implementation and Capacity Development Committee

[17] Following review of the IPPC Capacity Development Committee (CDC) in 2014 and 2015 evaluation findings affirmed a high appreciation and recognition for the committees work, but recommended it be abolished and replaced with an oversight committee for implementation. At CPM 11 (2016) the IPPC Secretariat presented Terms of Reference (ToR) and Rules of

Procedure (RoP) for the new committee, however it was decided these needed to be considered further.

[18] At a Focus Group meeting on Implementation held in July 2017 experts from contracting parties, RPPO and the IPPC Secretariat met to expand the ToR and RoP and the new functions of the proposed implementation committee. At CPM 12 (2017) the revised ToR and RoP was presented and it was agreed that a new IPPC subsidiary body – the Implementation and Capacity Development Committee (abbreviated as the IC) would be established to replace the current CDC.

[19] The IC, under the guidance of the CPM, will develop, monitor and oversee an integrated programme to strengthen the phytosanitary capacity of contracting parties to implement the IPPC and meet the strategic objectives as agreed by the CPM.

[20] The scope of the IC includes:

- Identification and review of baseline capacity and capability required by contracting parties to implement the IPPC.
- Analysis of issues constraining the effective implementation of the IPPC and development of innovative ways to address impediments.
- Development, facilitation and delivery of the implementation support programme to enable contracting parties to meet and surpass baseline capacity and capability.
- Monitoring and evaluation of the efficacy and impact of implementation activities and reporting of progress which indicates the State of Plant Health in the World.
- Oversight of dispute avoidance and settlement processes.
- Oversight of national reporting obligation processes.
- Working with the IPPC Secretariat, potential donors and the CPM to secure sustainable funding for its activities.
- Oversight of specific capacity development and implementation projects.

[21] The IC is composed of members from all regions, who have expertise and experience in fields of managing phytosanitary systems, capacity development, implementation and technical knowledge. The IC will meet twice a year to address implementation and capacity development matters raised by CPM, with the first meeting scheduled for December 2017 in Rome, Italy at FAO Headquarters.

## **Implementation of core phytosanitary activities**

### **Monitoring of IPPC reporting obligations**

[22] The Convention sets out a number of obligations for which it is the responsibility of a contracting party to report upon. These obligations include the following:

- A single Official Contact Point (Art. VIII 2 of the IPPC);



- A description of its official national plant protection organization (Art. IV 4 of the IPPC);
- Phytosanitary requirements, restrictions and prohibitions which are currently in force (Art. VII 2b of the IPPC);
- Specific points of entry (for consignments of particular plants or plant products required to be imported only through those specific points) (Art. VII 2d of the IPPC);
- Lists of regulated pests, using scientific names, which are currently in force (Art. VII 2i of the IPPC);
- Pest reporting, i.e. reporting regarding occurrence, outbreak and spread of pests (Art. VIII 1a of the IPPC);
- Emergency actions (Art. VII 6 of the IPPC).

[23] The monitoring of contracting parties' reporting obligations by the IPPC Secretariat has significantly increased since the first cycle of the IRSS (see Table 1), due to the hiring of a NRO Programme Officer. As such, the annual national reporting obligation (NRO) statistics, consistently improved during the project second project cycle due regular monitoring and establishment of an automated statistical reporting mechanism.

**Table 1: The cumulative total of NRO reports made available by all contracting parties through the IPPC for the years 2011-2016.**

Type of NRO	Reporting year					
	2011	2012	2013	2014	2015	2016
Description of NPPO	102	108	130	150	172	195
Pest reports	251	309	363	417	509	607
Emergency action	8	12	14	14	20	23
List of regulated pests	79	83	92	112	127	146
Entry points	90	91	105	114	135	153
Legislation: phytosanitary/ requirements/ restrictions/ prohibitions	208	235	265	324	383	441
Non-compliance	5	5	5	5	8	15
Organizational arrangements of plant protection	18	18	21	21	28	36
Pest status	4	4	8	10	25	31
Rationale for phytosanitary requirements	10	12	15	16	23	27

Note: the NRO for A single Official Contact Point (Art. VIII 2 of the IPPC) is not provided here as it is always fulfilled.

[24] Increased contracting party reporting can be attributed to the [NRO guidance resources](#) and capacity building that has been undertaken, which have included:

- Development of guidelines for how and what to report
- Awareness raising through bi-monthly newsletters
- Development of 16 leaflets to facilitate reporting of different obligations
- Development of an automated reminder system prompting contracting parties to report
- An NRO regional training workshop held in Asia
- Design of an NRO online training module

[25] Additionally, the IPPC information exchange platform, the [International Phytosanitary Portal \(IPP\)](#), was updated and launched in July 2016. Since this time the IPP has received an increasing number of visits, to access information on the IPPC work areas, news articles, calendar and other webpages.

### **Implementation support through the Helpdesk**

[26] The IRSS helpdesk, located in the IPP, has been in use since 2011 to support contracting parties' implementation of the Convention and its ISPMs. The Helpdesk is an online platform that includes three main features - the Question and Answer (Q&A) Forum, Frequently Asked Questions (FAQs) and links to the [Phytosanitary Resources webpage](#), where further resources are available. However, use of some of the Helpdesk has been limited due to restricted access and a lack of awareness of the features available.

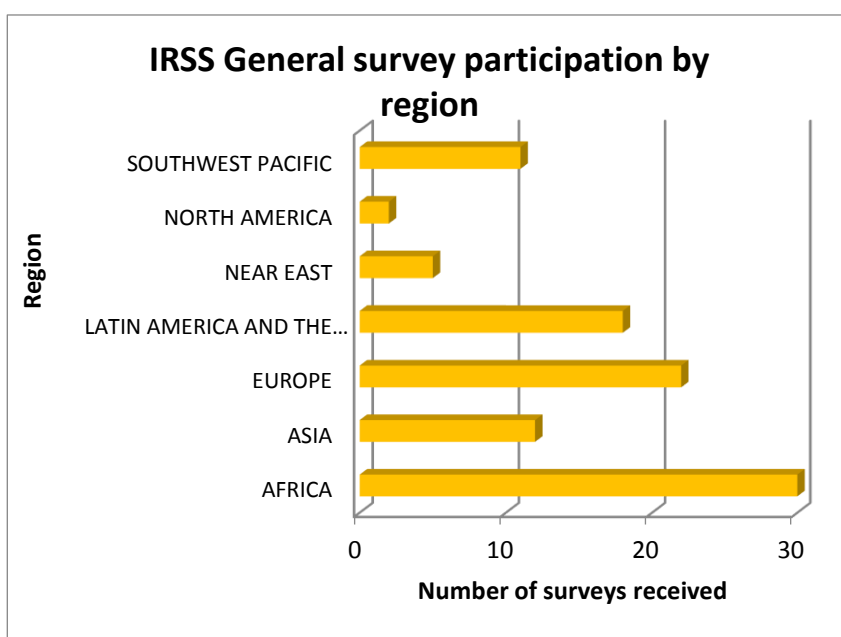
[27] An analysis concluded that improvements were needed to enhance user experience and friendliness, access to content, organization and structure of features and ease of navigation to and within the helpdesk. As such, the [IRSS Helpdesk](#) has been updated with the following improvements:

- Access to the [Q&A Forum](#) is now open to all plant health professionals who register for an IPP username and password
- The [IRSS Homepage](#) has been re-designed with new introductory text
- The [IRSS Activities webpage](#) has been re-designed with briefs available for each activity
- The IPP and IRSS [FAQs](#) have been amalgamated, reviewed and updated
- A direct link to the IRSS is now on the new [IPP](#) under [Projects](#) and it can also be accessed under the Core Activities tab – Standards and Implementation
- A '[Help](#)' function, linking to features that help a user gain further information (this appears on all IPP webpages).

[28] The updated IRSS webpage was presented at the 2016 IPPC Regional Workshops, including an interactive exercise to demonstrate to participants how to ask questions in the Q&A Forum.

## Second IPPC General Survey

- [29] The 2016 IPPC General Survey was conducted to review contracting parties' implementation of the Convention, its ISPMs and CPM recommendations. The survey was the second of its kind reviewing implementation across the IPPC framework, subsequent to the [2012 IPPC General Survey](#).
- [30] In total 100 survey submissions were received from contracting parties (55% response rate) and one from an RPPO (11%). By region, the highest response rates were from North America (100%), the Southwest Pacific (85%) and Africa (60%). Lower response rates were from Latin America (55%), Europe (49%), Asia (48%) and the Near East (33%), see Figure 1. Compared with the 2012 results, the 2016 survey had higher overall and regional responses. In 2012 there was a total of 73 contracting party responses (40%) and by region the Southwest Pacific had the highest rate (61%), followed by Europe (44%) and Africa (42%).



**Figure 1: Responding contracting parties by region (IPPC, 2016)**

### *Implementing provisions of the IPPC*

- [31] In the 2012 and 2016 survey contracting parties' specified that export and import related activities were most importance of the Convention obligations to implement. In the 2016 survey, contracting parties also responded highly to implementing the general provisions of the Convention, for having an established NPPO and an IPPC official contact point designated on the IPP. However, some of the fundamental plant health activities that form the basis of phytosanitary systems were not rated as highly as expected, including pest risk analysis and pest surveillance. As in the 2012 survey, some contracting parties implement these well, while others report low or no implementation. Similar results were seen for the implementation of pest free areas (PFA) and areas of low pest prevalence (ALPP). Of all obligations, the conduct of research and investigation in the field of plant protection was implemented the lowest, which was attributed to the resources required to undertake these activities.

## *Implementing ISPMs*

[32] In 2016 implementation of ISPMs by contracting parties, like implementation of the Convention, were most highly ranked for ISPMs relating to export and import activities (Table 2). However, these implementation ratings do not directly correspond to the prioritization contracting parties assign to ISPMs (Table 3), which include pest risk analysis standards and surveillance as the most important, followed by export and import related ISPMs and pest status and pest reporting. The prioritization is generally reflected across regions, with a combination of pest risk analysis, surveillance and export and import ISPMs considered the most important. In 2012 implementation was also considered most important related to import and export regulatory systems and conceptual standards on phytosanitary principles and the glossary of terms. While ISPMs related to pest status, pest management and in some regions pest risk analysis were limited.

**Table 2: Most implemented ISPMs by contracting parties\***

ISPM	Response rate (percent)
ISPM 12: <i>Phytosanitary certificates</i>	96.6%
ISPM 5: <i>Glossary of phytosanitary terms</i>	95.4%
ISPM 7: <i>Phytosanitary certification system</i>	94.4%
ISPM 1: <i>Phytosanitary principles for the protection of plants and the application of phytosanitary measures in international trade</i>	92.1%
ISPM 23: <i>Guidelines for inspection</i>	91%
ISPM 20: <i>Guidelines for a phytosanitary import regulatory system</i>	86.4%
ISPM 6: <i>Guidelines for surveillance</i>	85.2%
ISPM 13: <i>Guidelines for the notification of non-compliance and emergency action</i>	77.5%
ISPM 2: <i>Framework for pest risk analysis</i>	77.4%
ISPM 15: <i>Regulation of wood packaging material in international trade</i>	77.3%

\* Moderate to high implementation rated by >75% responding contracting parties.

**Table 3: Top ten ISPMs contracting parties consider as highest priority to implement**

ISPM	Response rate (count and percent)
ISPM 11: Pest risk analysis for quarantine pests ISPM 6: Guidelines for surveillance	49 (65%)
ISPM 2: Framework for pest risk analysis	46 (61%)
ISPM 7: Phytosanitary certification system ISPM 23: Guidelines for inspection	41 (55%)
ISPM 15: Regulation of wood packaging material in international trade	40 (53%)
ISPM 12: Phytosanitary certificates	39 (52%)
ISPM 8: Determination of pest status in an area ISPM 20: Guidelines for a phytosanitary import regulatory system	36 (48%)
ISPM 17: Pest reporting	33 (44%)

[33] Conversely, the ISPMs that have were the lowest ranked for implementation were those associated with phytosanitary measures and treatments, particularly ISPMs relating to pest freedom (Table 4). This directly corresponds with ISPMs that contracting parties don't implement or don't find applicable. In 2012 this was quite different, with contracting parties responding that ISPMs relating to pest status, sampling and regulated non-quarantine pests were least implemented.

**Table 4: Least implemented ISPMs by contracting parties\***

ISPM	Response rate (percent)
ISPM 18: Guidelines for the use of irradiation as a phytosanitary measure	39.4%
ISPM 33: Pest free potato ( <i>Solanum</i> spp.) micropropagative material and minitubers for international trade	45.1%
ISPM 22: Requirements for the establishment of areas of low pest prevalence	39.3%
ISPM 34: Design and operation of post-entry quarantine stations for plants	41.8%
ISPM 37: Determination of host status of fruit to fruit flies (Tephritidae)	39%
ISPM 29: Recognition of pest free areas and areas of low pest prevalence	36.1%
ISPM 30: Establishment of areas of low pest prevalence for fruit flies (Tephritidae)	36%

\*Percentage (%) of responding contracting parties >35% rating of low implementation

[34] Analyzed as separate groups, the implementation of diagnostic protocols annexed to ISPM 27 and phytosanitary treatments annexed to ISPM 28 were markedly different. By far diagnostic protocols (Table 5) were implemented more than phytosanitary treatments (Table 6).

**Table 5: Implementation of diagnostic protocols (ISPM 27)**

Diagnostic protocol (of ISPM 27)	Response rate (percent)
DP01: <i>Thrips palmi</i> Karny DP08: <i>Ditylenchus dipsaci</i> and <i>Ditylenchus destructor</i>	40.7%
DP07: Potato spindle tuber viroid	39.1%
DP03: <i>Trogoderma granarium</i> Everts	37.9%
DP10: <i>Bursaphelenchus xylophilus</i>	36%
DP12: Phytoplasmas	34.5%
DP02: Plum pox virus	34.5%
DP04: <i>Tilletia indica</i> Mitra	33.3%
DP06: <i>Xanthomonas citri</i> subsp. <i>citri</i>	32.6%
DP05: <i>Phyllosticta citricarpa</i> (McAlpine) Aa on fruit	32.2%
DP09: Genus <i>Anastrepha</i> Schiner	29.9%
DP11: <i>Xiphinema americanum sensu</i>	25.3%

**Table 6: Implementation of phytosanitary treatments (ISPM 28)**

Phytosanitary treatment (of ISPM 28)	Response rate (percent)
PT17: Cold treatment for <i>Bactrocera tryoni</i> on <i>Citrus reticulata</i> x <i>C. sinensis</i> PT16: Cold treatment for <i>Bactrocera tryoni</i> on <i>Citrus sinensis</i>	14.9%
PT18: Cold treatment for <i>Bactrocera tryoni</i> on <i>Citrus limon</i>	14%
PT21: Vapour heat treatment for <i>Bactrocera melanotus</i> and <i>Bactrocera xanthodes</i> on <i>Carica papaya</i>	12.9%
PT14: Irradiation treatment for <i>Ceratitis capitata</i>	12.8%
PT07: Irradiation treatment for fruit flies of the family Tephritidae (generic)	11.9%
PT15: Vapour heat treatment for <i>Bactrocera cucurbitae</i> on <i>Cucumis melo</i> var. <i>reticulatus</i>	10.5%
PT03: Irradiation treatment for <i>Anastrepha serpentina</i>	9.3%
PT09: Irradiation treatment for <i>Conotrachelus nenuphar</i> PT02: Irradiation treatment for <i>Anastrepha obliqua</i> PT06: Irradiation treatment for <i>Cydia pomonella</i>	8.2%
PT13: Irradiation treatment for <i>Euscepes postfasciatus</i> PT01: Irradiation treatment for <i>Anastrepha ludens</i>	8.1%
PT08: Irradiation treatment for <i>Rhagoletis pomonella</i>	7.1%
PT12: Irradiation treatment for <i>Cylas formicarius elegantulus</i> PT05: Irradiation treatment for <i>Bactrocera tryoni</i> PT04: Irradiation treatment for <i>Bactrocera jarvisi</i>	7%
PT20: Irradiation treatment for <i>Ostrinia nubilalis</i>	5.9%
PT11: Irradiation treatment for <i>Grapholita molesta</i> under hypoxia PT19: Irradiation treatment for <i>Dysmicoccus neobrevipes</i> , <i>Planococcus lilacinus</i> and <i>Planococcus minor</i>	5.8%

### *Implementing CPM recommendations*

[35] New in the 2016 survey, information on contracting parties' implementation of CPM recommendations was requested, which overall resulted in positive responses with several recommendations rated with very high implementation. The recommendations most implemented were associated with IPPC official contact points, information exchange, pest diagnosis and replacing or reducing the use of methyl bromide. Results are show below in Table 7.

**Table 7: Percentage of contracting parties implementing CPM recommendations at moderate to high levels.**

CPM recommendation	Response rate (count and percent)

CPM-1/2006 The Role of IPPC Contact Points	72 (94.7%)
ICPM-2/1999 Recommendation concerning Information Exchange	69 (89.6%)
CPM-11/2016 Recommendation on the Importance of Pest Diagnostics	64 (85.3%)
CPM-3/2008 Replacement or reduction of the use of methyl bromide as a phytosanitary measure	63 (82.9%)
ICPM-1/2005 Threats to Biodiversity posed by Alien Invasive Species: Actions within the Framework of the IPPC	56 (72.7%)
ICPM-3/2001 Recommendations concerning LMOs, Biosecurity and Alien Invasive Species	49 (64.5%)
CPM-10/2015 Recommendation on Sea Containers	45 (61.6%)
CPM-9/2014/2 Internet Trade (E-Commerce) in Plants and other Regulated Articles	44 (58.7%)
CPM-9/2014/1 IPPC Coverage of Aquatic Plants	39 (52%)

### *Factors contributing to implementation challenges and successes*

- [36] The results of the 2016 survey revealed that implementation is largely dependent on the resources available to contracting parties and prioritization of national interests. The factors that contribute to implementation at a moderate to high level and also at a low level are the same across contracting parties.
- [37] The three most common factors leading to both successes and also challenges, in order of importance, include having access to sufficient support for financial resources, having support for long term policies and operational plans and access to sufficient facilities. In 2012 the main reasons for implementation challenges were listed as insufficient personnel (and training thereof), lack of financial resources and overall national phytosanitary capacity.
- [38] To facilitate implementation contracting parties often seek technical assistance to enhance their national capacity in a particular phytosanitary area. In 2016 contracting parties received the most technical assistance for pest surveillance, inspection and export related activities (Table 8). This is similar to the assistance received in 2012, including pest surveillance, pest risk analysis and import and export regulatory systems. The degree of technical assistance may therefore be contributing to higher levels of implementation of these standards, although there may also be other variables.

**Table 8: Top ten ISPMs for which contracting parties are receiving technical assistance**

ISPM	Response rate (count)
ISPM 6: Guidelines for surveillance ISPM 23: Guidelines for inspection	23
ISPM 7: Phytosanitary certification system	21
ISPM 12: Phytosanitary certificates ISPM 5: Glossary of phytosanitary terms	19

ISPM 1: Phytosanitary principles for the protection of plants and the application of phytosanitary measures in international trade ISPM 2: Framework for pest risk analysis ISPM 11: Pest risk analysis for quarantine pests	18
ISPM 32: Categorization of commodities according to their pest risk	17
ISPM 15: Regulation of wood packaging material in international trade ISPM 20: Guidelines for a phytosanitary import regulatory system	16

[39] The findings of the 2016 survey show that contracting parties are facing similar implementation challenges in managing their phytosanitary systems. The increase in technical assistance shows that contracting parties are becoming more aware of their needs and are seeking help to enhance their capacity in certain phytosanitary areas. As shown by contracting party feedback on factors affecting implementation, these are largely dependent on their national situation in relation to resources and capacity. The information gained from this survey provides valuable insight into contracting parties needs and will be used to assist the IPPC Secretariat in planning work to support and strengthen contracting party implementation.

### **IRSS case studies and other resources**

[40] The studies undertaken during the second project cycle of the IRSS were undertaken based on CPM decisions and significant issues identified by IPPC subsidiary bodies. During the second project cycle three studies were undertaken and a fourth was completed, which was started during the first project cycle. These are discussed further below.

### **Equivalence: A review of the application of equivalence between phytosanitary measures used to manage pest risk in trade**

[41] Although this IRSS study was commenced in the first project cycle, it wasn't completed until part way through the second project cycle. The [Equivalence study](#) provides valuable insight into the use of equivalence of phytosanitary measures in plant health, including what equivalence is, the principles of equivalence under the SPS Agreement and the IPPC framework, approaches to equivalence and how it is used in international trade.

[42] To highlight the use of ISPM 24: *Guidelines for the determination and recognition of equivalence of phytosanitary measures*, case studies of equivalence are provided, however it is recognized that a substantial amount of equivalence agreements are at the bilateral or multilateral levels and are not documented in the public domain.

[43] The study concluded that to increase the use of equivalence there needs to be improvements in PRA methodologies that relate to a contracting parties appropriate level of protection (ALOP), availability of a wide variety of pest risk management measures and transparency in bilateral and multilateral trade negotiations.

### **Diversion from Intended Use: Consideration of the extent of the issue**

[44] The IRSS study on [Diversion from Intended Use \(DFIU\)](#) was undertaken to clarify and validate the extent to which DFIU is occurring in international trade in plants, plant products and other regulated articles. Initially raised by the United States of America (USA) as a



potential ISPM topic and reviewed by the IPPC Standards Committee (SC), it was agreed the topic should not be added to their work plan, but considered further under the IRSS. As such, in June 2015 the CPM Bureau endorsed the study and also requested the Technical Consultation among RPPOs (TC-RPPOs) consider it in their annual meeting.

[45] The study sought to determine whether DFIU was occurring globally or if it was restricted to particular regions or sectors by seeking contracting party feedback. A short questionnaire was designed and distributed to all contracting parties to seek examples of DFIU occurring in their territories. Further, DFIU principles and provisions in the context of the Convention, ISPMs and the SPS Agreement were examined and a review of literature and relevant IPPC panels and committee reports was undertaken.

[46] Based on the outcomes of this study DFIU was defined to be:

*The diversion after import of plants, plant products and other regulated articles with possible pest associations, from the end use that was indicated or anticipated at the time pest risk was analyzed and appropriate pest risk management was agreed.*

[47] From questionnaire results and direct communication with certain contracting parties, DFIU was confirmed to be occurring in relation the import pathways associated: avocados for consumption, grain for processing or consumption, cut flowers and branches for ornamental purposes and potatoes for consumption. The study found that cases of DFIU were occurring in most regions and was therefore a global issue.

[48] A clear conclusion was that DFIU affects both importing and exporting contracting parties. This occurs for two reasons, first because there is a change in pest risk from what was assessed and managed through the PRA process and second because contracting parties have import requirements aimed at addressing this risk without transparent evidence for the risk, by linking requirements to a PRA. The study found that measures are used to avoid consequences of possible diversions that does impact on plant health and trade.

[49] Following review of the study outcomes at the October 2016 meeting of the CPM Bureau it was decided the subject should again be referred to the TC-RPPO to seek further examples on occurrence. The CPM Bureau will decide on future actions based on this feedback.

### **The Biosecurity Approach: A review and evaluation of its application by FAO, internationally and in various countries**

[50] [The Biosecurity approach](#) is something that has been used globally for more than a decade, yet has several meanings that differ within the context which it's applied. The IPPC, together with the FAO Food Safety and Quality Unit commissioned this study to review and evaluate the global use of biosecurity and changes that have occurred in its use over time, included within FAO departments and in different regions and countries.

[51] The study includes definitions and principles of biosecurity used worldwide, the components involved in different systems and the drivers of these, and the best mechanisms for implementation. The study provides examples of biosecurity use in the FAO and country examples.

[52] The study determined that use of the term has evolved over time. By FAO its primary purpose had been to identify synergies, integration, the effective use of resources, improved methodologies and more successful outcomes for SPS-related biosecurity. It is now closely aligned with trade and incorporates other sectors including biodiversity, environment, public health and security issues associated with biological risk and social and policy aspects. In future FAO hopes to be able to provide support for development of national policy and legislative frameworks, however these should all be based on national capacity and gap analyses. The country examples illustrate the varied biosecurity approaches and the successes and challenges they have faced.

### **Analyzing the benefits of implementing the IPPC**

[53] Since 2011, the IRSS project has largely focused on understanding contracting parties' implementation challenges, to assist the IPPC Secretariat to prioritize its work programme to enhance implementation. Over this period, contracting parties have come a long way in their improvement of implementation, and to recognize this the IRSS for the first time undertaken a study to understand these successes: [Analyzing the benefits of implementing the IPPC](#).

[54] The study was commissioned by the CPM Bureau, to identify the benefits of implementing the IPPC at the national, regional and global level, while also considering benefits to different industries and sectors relating to plant health. The different aspects that were to be considered were in relation to implementation of the Convention, ISPMs and CPM recommendations, in achieving the IPPC strategic objectives, but also with a particular emphasis on the economic benefits of implementing the IPPC and ISPMs at the national level.

[55] To undertake this study, IPPC Secretariat conducted a meeting of experts from the fields of plant health, trade, international economics and environmental protection to outline the scope of the study, explore options for assessment of implementation benefits and to collect relevant case studies and references. In addition to engaging a target group of experts, the study was discussed by the CPM Bureau and the IPPC Strategic Planning Group (SPG) at their October meetings, the e-Phyto Industry Advisory Group (IAG), the IPPC Standards Committee (SC), the Technical Consultation among Regional Plant Protection Organizations (TC-RPPOs) and the IPPC Capacity Development Committee (CDC).

[56] The outcomes of this study highlight to beneficiaries of the IPPC how implementation of the Convention, ISPMs and CPM recommendations is of value to them. The beneficiaries are considered to be the IPPC community, at the global, regional and national levels, who are involved in plant health implementation activities. The study demonstrated benefits using a series of case studies that showcase implementation best practices and allow other contracting parties to learn from them.

### **IPPC Guide to Resource Mobilization**

[57] In today's resource environment there are many obstacles that contracting parties face to secure sustainable funding in order to establish, manage and strengthen their national phytosanitary systems and fulfil the implementation of the Convention. Contracting parties to the IPPC, like members of other conventions and international agreements face broad challenges and priorities on their available funding, which often results in certain sectors, such as plant health, not having a sufficient resource allocation.

- [58] As an outcome of CPM 11 in 2016, the IPPC Secretariat was requested to develop a Guide for Resource Mobilization to help contracting parties to identify and access sources of funding and assistance to support their national phytosanitary activities. Based on analysis conducted by the IRSS of existing and potential donors who fund plant health an IPPC technical resource was developed: [IPPCC Guide to Resource mobilization: Promoting contracting party partnerships](#).
- [59] The Guide provides the first step to help contracting parties enhance their capacity to mobilize funds, with a particular focus on building long term sustainable funding, resource partnerships and targeting areas where there is the greatest need for resources to achieve the greatest impact. This Guide includes three main sections - principles, approach and examples of potential partners for resource mobilization, with additional information where relevant such as tools, templates and reference for further information.

### **Global Emerging Issues**

- [60] Since 2015 the IRSS Consultant and other IPPC Secretariat staff have participated in the FAO Foresight group. This group works towards developing methodologies to identify emerging risks and their impacts and explore potential strategies to mitigate risk, thus enhancing organizational foresight. The group is composed of staff from the technical sectors of food security, fisheries, animal health, plant health and the environment.
- [61] To understand IPPC's contracting parties emerging issues the IRSS prepared a questionnaire that was sent to all contracting parties participating in the 2016 IPPC Regional Workshops. The questionnaire was also sent to all RPPOs. The questionnaire asked participating contracting parties and RPPOs to list the five most important emerging issues related to plant health in the next two to five years and provide short explanations for each issue.
- [62] Responses were received from 90 contracting parties out of 114 participating in workshops, a response rate of 78.9% and from nine RPPOs, however only seven of these were from a regional perspective (opposed to cumulative national responses), a response rate of 77.8%. The five most common emerging issues identified across all contracting parties and regions were in relation to:
- Introduction of new pests
  - Climate change effects
  - Phytosanitary capacity relating to pest surveillance
  - Phytosanitary capacity relating to inspection and pest reporting systems
  - Overuse of chemicals for pest risk management.
- [63] The information gained from the questionnaire responses was compiled into the report: [Global Emerging Issues](#) which will help the IPPC Secretariat, RPPOs and the CPM to understand national and regional emerging issues and trends between geographic regions. Feedback sessions are planned for the 2017 IPPC Regional Workshops to provide participating contracting parties with regional findings and conclusions.

## **Factsheets**

- [64] Under the second project cycle three factsheets were developed, including an updated IRSS factsheet, a factsheet for the Phytosanitary Resources webpage and a factsheet about the benefits of implementing the IPPC.

### ***IRSS Factsheet (2017)***

- [65] To promote the activities undertaken during the second project cycle an IRSS advocacy [factsheet](#) was developed. The factsheet provides background to the IRSS, highlights the work and support activities conducted during the period and specific information about the IRSS Helpdesk. The factsheet is available in Arabic, English, French, Spanish and Russian.

### ***IPPC Phytosanitary Resources webpage and technical resources***

- [66] To highlight the Phytosanitary Resources webpage, which is linked to the IRSS Helpdesk, a factsheet was developed to promote the different types of resources and tools that are available to contracting parties. Additionally, the factsheet provides information about how the IPPC develops technical resources, how you can contribute your own resources, how to use these resources, and how to get involved. The factsheet is available in Arabic, English, French, Spanish and Russian.

### ***Benefits of implementing the IPPC***

- [67] To advocate the benefits of implementing the IPPC, taken from the outcomes of the IRSS study *Analyzing the benefits of implementing the IPPC*, a factsheet was developed. The factsheet contains information about the different categories of benefits contracting parties can gain from implementing the Convention and its international standards. The factsheet is available in English.

### ***Enhancing IPPC Monitoring and Evaluation***

- [68] Under the IRSS contracting parties' implementation of the Convention and its international standards are evaluated in an effort to identify their successes and challenges, using various methods. To compliment the work of the IRSS an M&E framework is being developed that will seek to understand how the IPPC operates on three levels, implementation of IPPC frameworks (including how IPPC contributes towards the FAO Strategic Framework and the UN Sustainable Development Agenda), IPPC policies and procedures and the IPPC Secretariat work areas, to allow for responsiveness and continuous improvement. In addition to the IRSS, other existing processes and tools used to monitor work will be incorporated into the new framework to formalize an overall IPPC M&E approach.

- [69] To develop the M&E framework the IRSS has been working with the Centre for Development Innovation of Wageningen University of the Netherlands who specialize in monitoring and evaluation. The development of the framework has been interactive with the IPPC Secretariat being involved in workshops and in drafting the framework components. In November 2016 a three day workshop was held for all Secretariat staff to provide them with an understanding of planning, monitoring and evaluation processes, managing for impact and effective communication. The Theory of Change (ToC) methodology was introduced and a draft outline was developed, containing key elements that will form the basis of the framework.

- [70] Following the workshop the IPPC Secretariat undertook work to expand the ToC and also develop an M&E matrix that sets out the components of the framework in a logframe. The draft documents were then discussed further at a workshop in February 2017 with key IPPC Secretariat staff members. An outcome from this workshop was that a task force would be formed to progress the M&E work, championed by the IRSS Consultant. The task force has continued work to finalize the development of the framework and also drafted a narrative for the ToC schematics. The IRSS intends to seek feedback from contracting parties on the draft framework and also seek their input on indicators of plant health at a meeting planned for September 2017. A second phase of development of the framework is planned for 2018. This will include development of an M&E plan for implementation.
- [71] The development of an M&E framework addresses some of the recommendations of the 2014 IPPC Secretariat Enhancement Evaluation, to continually enhance implementation of the Convention and seek ways to improve the way the Secretariat works. It will also contribute towards the internal IPPC Secretariat goal of “One IPPC” in a positive and constructive way and the general goal for IPPC towards 2020 to increase the overall capacity of contracting parties to implement the Convention.

#### ***Linkages with IPPC subsidiary bodies***

- [72] The IRSS project is firmly integrated within the work programme of the IPPC Secretariat and to the implementation pilot project on surveillance, as prioritized by the CPM. Within the IPPC Secretariat, the IRSS is a cross-cutting mechanism that closely collaborates with the Standard Setting Unit (SSU), the Implementation Facilitation Unit (IFU) and the Integration and Support team (IST). Additionally, the IRSS has provided strategic input on implementation needs to governance structures of the IPPC, including the CPM Bureau, the Strategic Planning Group (SPG), the Standards Committee (SC) and the Capacity Development Committee (CDC).

#### **Standards Setting and the Standards Committee (SC)**

- [73] As agreed at the inception of the IRSS in 2011, the project was designed to interact with the standards setting work of the IPPC Secretariat and also seek input from the IPPC Standards Committee (SC). As such during the first project cycle the IRSS reviewed the implementation of ISPM 4 (*Requirements for the establishment of pest free areas*), ISPM 6 (*Guidelines for surveillance*), ISPM 8 (*Determination of pest status in an area*), ISPM 13 (*Guidelines for the notification of non-compliance and emergency action*), ISPM 17 (*Pest reporting*) and ISPM 19 (*Guidelines on lists of regulated pests*).
- [74] These reviews have provided the IPPC with valuable information on the general topic of surveillance, which most of these standards are related to. This in turn provided the basis for the SC to commence review work of ISPM 6 in 2014, revising and approving the new specification for the standard. In 2015 the IRSS provided input into the Expert Working Group meeting by preparing a discussion paper based on the outcomes of the ISPM 6 survey and associated regional and global meetings. The revised draft standard was released for consultation in July 2016 and based on comments received during that period, will be released for second consultation in July 2017.
- [75] Similarly, the implementation review of ISPM 8 provided valuable input into the draft specification that was developed for consultation. Since this time the specification was

approved and in September 2017 an Expert Working Group meeting will be held to revise the draft. It is intended that the IRSS Consultant attend this meeting to present implementation challenges identified from the ISPM 8 survey and the 2012 and 2016 IPPC General Surveys. Based on the revision of the standard, engagement with experts and the key implementation issues an outline for an ISPM 8 guidance document will be developed.

[76] Based on the outcomes of the ISPM 13 survey to investigate contracting parties implementation challenges related to non-compliance reporting a notification template was developed. Following collection of more than 30 non-compliance notification forms the IRSS Consultant developed a master notification template to standardize reporting, now available as an annex in the IPPC technical resource: [Import Verification: A guide to import verification for national plant protection organizations](#).

[77] An additional use from the outcomes of the surveys has been to draft and maintain the Standards and Implementation Framework, first developed by a group of experts who met informally in August 2014. The framework is a living document that outlines the different obligations, rights and responsibilities of contracting parties and the standards setting and implementation resources associated with each area. To facilitate organization of resources, both current and planned, the framework includes information for resources that have been developed, are in development or are planned in the future. This framework is updated twice a year by the CDC and SC and noted by CPM annually.

[78] The SC on several occasions has thanked the IRSS for contributions it has made to the standards setting process, especially regarding the outcomes of implementation reviews, which provide valuable input into development of draft specifications.

### **Capacity Development Committee (CDC)**

[79] The coordination with the CPM Bureau, the IPPC Capacity Development Committee (CDC) has acted as an oversight committee of the IRSS during its second cycle. During this period the CDC met and were updated on IRSS activities six times.

[80] The CDC therefore provided direction and advice to the IRSS on its work programme for the second cycle, including reviewing studies produced under the IRSS, reports of surveys and making suggestions for possible topics to be analyzed. To align with the CPM priority of incorporating the Implementation pilot on surveillance into the IRSS, the CDC also discussed past work that would be of use to the pilot and future activities.

[81] Through discussion at meetings, the CDC agreed the IRSS should focus on the following areas:

- Continue horizon scanning activities for the identification of emerging risks is still very important. The IRSS was considered the key IPPC mechanism to undertake this work.
- Development of an IPPC M&E framework, to both monitor the progress of the implementation pilot and the work of the IPPC in general.
- Analysis of potential resource mobilization partners, both to support activities of the IPPC Secretariat and core work areas and IPPC contracting parties in their implementation of the Convention and ISPMs.



- [82] The CDC in its capacity as the oversight committee for IPPC capacity development activities was engaged during the development of the third project cycle for the IRSS. Input was provided and has been included in the proposal that will be submitted to the donor for consideration.

### **Strategic Planning Group (SPG)**

- [83] The SPG has been engaged in IRSS activities as necessary. When the outcomes of activities resulted in strategic recommendations for CPM or for the direction of IPPC Secretariat work areas feedback was sought.
- [84] In particular, the SPG was provided the outcomes of the OEWG on Implementation that was held in August 2014, which recommended the IRSS be integrated into the implementation pilot on surveillance and identify and assess related issues for the SC and CDC. Through this discussion the SPG also supported the development of an IPPC M&E framework to measure progress of the pilot and impact.
- [85] Through the SPG, the topic for the IRSS study on DFIU was also confirmed. This resulted from a discussion on the occurrence of DFIU occurring in trade in North America. It was initially proposed as a topic for development of an ISPM, however it was not agreed to by the SC and instead the IRSS was asked to investigate this issue further to determine if it was a regional or global occurrence and the impacts on contracting parties of importing and exporting countries.

### ***Engagement with the IPPC community***

- [86] The IRSS continues to engage with the IPPC community, through reviewing implementation of the Convention, ISPMs and CPM recommendations and providing implementation assistance. This engagement has involved participating in meetings, workshops and conferences of contracting parties, the FAO and other international organizations.

### **Contracting party assistance**

- [87] To provide assistance to Egypt in implementation of the IPPC pest risk analysis (PRA) ISPMs, specifically relating to making good regulatory decisions, the IRSS Consultant participated in a conference to outline the PRA framework to the contracting party's public and private stakeholders. The conference, coordinated by the European Bank for Reconstruction and Development (EBRD) and the FAO, focused on addressing the availability of the food staple baladi bread in Egypt, which was compromised due to the prohibition on wheat imports due to interceptions of the fungus ergot (*Claviceps purpurea*) and *Ambrosia* weed seeds. Through a collaborative review of the wheat sector, an updated PRA and selection of technically justified import requirements, trade was able to recommence to ensure that the wheat supply was sufficient to support domestic production to make baladi bread.

### **Meetings of experts**

#### **Analyzing the benefits of implementing the IPPC**

- [88] To discuss the benefits of implementing the IPPC a small group of experts met in Washington D.C., United States of America in September 2016. The meeting was attended by experts from the fields of plant health, trade, international economics and environmental protection to

outline the scope of the study – *Analyzing the benefits of implementing the IPPC*. This study sought to identify benefits of implementing the IPPC at the national, regional and global levels. The meaning of a benefit was discussed, as well as categories of benefits, options for assessing benefits both quantitatively and qualitatively and the collection of relevant case studies and references.

### **Tackling environmental issues associated with plant health**

- [89] In support of the IPPC initiative to mobilize resources to enhance implementation of the environmental aspects of the Convention, ISPMs and CPM recommendations, the IRSS organized a meeting of experts to discuss environmental issues related to plant health in Argentina, in May 2017. Although this meeting was outside of the project cycle, the extensive resource mobilization analysis conducted by the IRSS Consultant was used to inform the meeting discussions. Additionally, the IRSS Consultant chaired the meeting and provided technical support.

### **International organization participation**

#### **Convention on Biological Diversity (CBD)**

- [90] Consistent with the IPPC's intention to develop an M&E framework and building on the activities of the first project cycle discussing possible indicators to measure the implementation of the Convention, the IRSS Consultant participated in the Ad Hoc Technical Group Meeting (AHTEG) of the Convention on Biological Diversity (CBD). The AHTEG met in September 2015 to develop indicators to measure implementation of the CBD Aichi targets. Of value to the IPPC, the IRSS Consultant identified synergies between the CBD and IPPC strategic frameworks and plans and also relevant environmental protection and biodiversity indicators related to plant health.
- [91] Another CBD meeting attended by the IRSS Consultant was the first meeting of the Subsidiary Body on Implementation (SBI), which replaced the Ad Hoc Open-ended Working Group on Review of Implementation. The first meeting of the SBI was held in May 2016 and was well attended by the CBD parties, who met with the objective to review progress in implementation, discuss strategic actions to enhance implementation, means of strengthening implementation and operations of the convention and protocols. Attendance at this meeting provided valuable insight into implementation functions of another international organization, which informed the IPPC Focus group meeting on implementation in July 2016. In addition to contributing outcomes from the meeting, the IRSS Consultant invited the CBD Head of Division for Implementation Support to present on their approach to reviewing implementation.

#### **United Nations Economic Commission for Europe (UNECE)**

- [92] In order to address a topic of trace-back within phytosanitary systems, the IRSS Consultant attended the UNECE Conference on Traceability of Agricultural Produce in November 2016. The objective of the conference was to identify realistic, efficient and affordable traceability tools and systems to ensure food safety and product quality. This aligned closely to IPPC's strategic objectives and intended future use of traceability systems relating to food security, trade facilitation, environmental protection and the prevention of pest spread and introduction.



## Governance

### The Commission on Phytosanitary Measures (CPM)

- [93] Annually the IRSS presents an update to the CPM on the activities that have been undertaken to review implementation of the Convention, ISPMs and CPM recommendations. During the second project cycle the IRSS was recognized by the CPM as continually contributing to the enhanced understanding of implementation challenges and successes. The CPM has requested the IRSS continues to have integrated work activities within both the IPPC Secretariat work programme and the implementation pilot on surveillance.

### CPM recommendations

- [94] During CPM 9 in 2014, based on the outcomes of IRSS studies: [Aquatic plants: Their uses and risks](#) and [Internet trade \(e-Commerce\) in plants: potential phytosanitary risks](#), recommendations were proposed for adoption to provide coverage for management of aquatic plants and the e-Commerce trade pathway under the IPPC framework.
- [95] The recommendation on [IPPC Coverage of aquatic plants](#) provides contracting parties and RPPOs confirmation that aquatic plants should be protected and invasive aquatic plants considered as potential pests under the IPPC framework should be managed. Similarly, the recommendation on [Internet trade \(e-commerce\) in plants and other regulated articles](#) provides contracting parties and RPPOs guidance for how they can respond to the developing situation of e-commerce pathways, which may be not be regulated under some national situations.

### CPM side session

- [96] At CPM 12 in 2017 the IRSS Consultant chaired a side session on the *Benefits of the IPPC* based on the outcomes of the IRSS study: *Analyzing the benefits of implementing the IPPC*. The session covered the highlights of the CPM Bureau commissioned study and brought together panelists involved in the study from private sector and academia. Participating panelists presented their case studies on best practices in plant health through implementation of the IPPC.
- [97] The Executive Director of the Mexican Hass Avocado Importers Association presented the Mexican “Hass” avocado history of exports into the USA. Following comprehensive pest risk analyses in 1993, in accordance with ISPM 2: Framework for pest risk analysis, trade of the Hass avocado has expanded to an increasing number of USA states using a systems approach. Gradually Hass avocados have been permitted market access to all states with fewer restrictive measures. The Executive Director stated that the industry’s best practices are due to implementation of no less than 15 ISPMs.
- [98] Lecturers from the School of Oriental and African Studies (SOAS) and the International Institute of Social Studies (ISS) of the Erasmus University of Rotterdam, presented their findings from their case study Implementation of ISPM 15: An empirical analysis of how regulation affects the economy of Botswana, Cameroon, Kenya and Mozambique. The study analyzed the value of exports and imports from the period 2001 – 2016 and sought to identify trade patterns through the use of cost/benefit analysis, links to ISPM 15 implementation, and

conducted a detailed review of the procedures, legislation and other controls in place for ISPM 15 implementation.

### **CPM Bureau**

- [99] In coordination with the CDC, the CPM Bureau has acted as an oversight committee of the IRSS during its second cycle. The CPM Bureau has regularly discussed IRSS activities in its meetings and requested and supported topics for studies and other activities, such as the IRSS studies [Diversion from Intended Use: Consideration of the extent of the issue](#) and the [Analyzing the benefits of implementing the IPPC: A review of the benefits of contracting party implementation](#).

### **Triennial Review Group (TRG)**

- [100] The Triennial Review Group (TRG) was composed of the chairs or representatives of the CPM Bureau, CPM subsidiary bodies and the IPPC Secretariat. Although the TRG was initially proposed to supervise the IRSS until such time as a permanent body could exist, the CPM Bureau and CDC have largely undertaken this role, providing governance and direction to work activities during the second project cycle.
- [101] The TRG met on the margins of the SPG meeting in October 2016 with their focus to provide a review function for the IRSS activities during the second project cycle and provide recommendations to what should be included in the second Triennial Implementation Review Report (this report).

### **Conclusions and recommendations**

- [102] The work of the IRSS in its second project cycle has further expanded IPPC's understanding of contracting parties' implementation challenges and successes. The outputs of the IRSS implementation review activities continue to contribute to the strategic direction of the CPM and its subsidiary bodies and allows the IPPC Secretariat to appropriately plan to help address implementation needs.
- [103] The flow on work of the IRSS, which includes development or review of international standards, development of implementation resources for capacity development and technical assistance help support national and regional implementation of the Convention and its ISPMs.
- [104] The overall outcomes of effective implementation of the Convention and its ISPMs are contracting parties with strengthening national phytosanitary systems which contributes to the IPPC mission:

*To secure cooperation among nations in protecting global plant resources from the spread and introduction of pests of plants, in order to preserve food security, biodiversity and to facilitate trade.*

- [105] For the lessons learned, both elements of success, areas for improvement and recommendations are provided for how the third project cycle of the IRSS can build on what has gone well and address challenges.

## Lessons learned – elements of success

1. The IRSS continues to should work well across the IPPC work programme and respective Secretariat units contributing to implementation-related activities, using both analytical and evaluation approaches. This can be seen by the engagement the IRSS has had with both the CDC and SC during the second project cycle and implementation review activities that have been undertaken in their interests. Additionally, the IRSS has undertaken activities on behalf of IPPC governance, such as IRSS studies previously mentioned.

There is a need to further enhance interaction and collaboration with RPPOs in the review and evaluation of implementation. Currently, RPPOs primarily contribute information on contracting party implementation in their regions through the TC-RPPOs forum. Although implementation topics often feature on the TC-RPPO agenda, more input and collaboration is required from RPPOs in-between sessions when IRSS activities are conducted. An example of this lack of contribution to IRSS studies when the IPPC Secretariat has sought regional case studies or input from RPPOs or response to IRSS surveys from a regional perspective.

**Recommendation 1:**

IRSS work programme to be more integrated and serve as an implementation tool to allow analysis across different work areas of the IPPC community to inform decision-making process at all possible levels. Invite RPPOs, to start using IRSS functionalities.

2. Strengthened focus on monitoring and evaluation has could provided multiple benefits to the IRSS project outcomes for the second cycle whole IPPC Community. The development of the IPPC M&E framework not only addresses recommendations made in the 2014 IPPC Enhancement Evaluation, but also has already enhanced internal collaboration of the Secretariat.

During the process of developing the framework the entire Secretariat has been involved, both through workshops to enhance IPPC's overall monitoring and evaluation competency and through working in a dedicated group of Secretariat staff to progress development of the framework. By coordinating work across the Secretariat units in a highly collaborate manner the IRSS has worked to strengthen the linkages between the

**Recommendation 2:**

Continue development of the M&E methodology to work toward enhancing contracting party implementation of the Convention and the IPPC Strategic Framework.

units in the framework.

3. The achievement of activities under the project work plan during the second project cycle has also been attributable to having a dedicated human resource, who was hired one year

into the cycle. Having a stable and sustainable staffing level for the IRSS is fundamental for continuing to progress work towards having a greater understanding of contracting parties' implementation challenges and successes. It is essential to have a dedicated Consultant or similar human resource, in addition to staff support from the IPPC Implementation Facilitation Unit (IFU) and other Secretariat staff when relevant.

**Recommendation 3:**

Ensure stable and sustainable human resourcing for the IRSS functionalities and activities, in addition to staff support from the IFU and other relevant IPPC Secretariat staff.

4. Focusing on a specific implementation topic has allowed the IRSS to gain a comprehensive understanding of implementation challenges in a particular area, as prioritized by the CPM. The reflection of impediments of surveillance-related provisions of the Convention and certain ISPMs, under the Implementation pilot on surveillance has thus been based on past IRSS analyses and survey outcomes.

**Recommendation 4:**

The IRSS should continue to focus on topics prioritized by CPM and also consider the next implementation programme to focus on after surveillance.

5. Through the IRSS's involvement in the prevention and management of risks to plant health, under the FAO Foresight group and through conducting a questionnaire on contracting party emerging risks, the CPM and IPPC Secretariat have a greater understanding of emerging (potential) and critical (current) risks at the national, regional and global levels. This information helps the IPPC Secretariat, RPPOs and the CPM to prevent emerging risks negatively impacting on contracting party implementation.

**Recommendation 5:**

To gather and analyse concerns at national, regional and global levels to understand contracting parties plant health concerns and to identify and qualify emerging issues.

6. The IRSS has previously focused mainly on identifying contracting parties challenges to implementation of the Convention and ISPMs. However, to highlight the successes of implementation the project undertook analysis of the benefits of implementation in the IRSS study: Analyzing the benefits of implementing the IPPC. The outcomes of this study provide positive advocacy for the different benefits that can be realized through implementation, including the protection of global plant health, enhanced international cooperation, food security, environmental protection and facilitation of safe trade. The

outputs of this analysis include the IRSS study itself, the side session that was delivered at CPM 12 and a factsheet highlighting the study outcomes. However there is a need for additional work to measure changes and conduct benefit analysis to better demonstrate the benefits of implementation.

Recommendation 6:  
Analysis of contracting party implementation successes should be continued to capture the benefits of IPPC implementation.

### **Lessons learned – areas for improvement**

7. The IRSS Helpdesk is not used. Following analysis of use and updating of its functionality to enhance user-friendliness and navigation, it was rolled out to contracting parties at the 2016 IPPC Regional Workshops. However, it continues to be unused. Lack of use may be related to language restrictions, with the currently option only for English, or due to low awareness of its existence and availability to the IPPC community. Resources should not be spent on the help desk at this time. Efforts should be directed to developing new and/or promoting existing alternative assistance material.

Recommendation 7:  
To analyse the functionalities, usefulness and potential benefits of new ways to promote the use of the Helpdesk or develop a different approach.

8. Overall oversight of the project has not been consistent through the second cycle. Although the TRG was initially intended to be the oversight group of the project, due to resource constraints the oversight function of the IRSS has primarily been undertaken by the CPM Bureau and the CDC. The work of the TRG was re-focused to provide a review function of the project activities for compilation of this report. The project would have benefited from a single oversight group for consistency of planning, review of work activities and guidance on prioritization of future work.
9. Contracting parties continue to report a major implementation challenge is lack of financial resources. Although the need to identify, obtain and manage financial resources for contracting parties is outside the mandate of the IRSS, it was acknowledged that

Recommendation 9:  
Contracting parties should be provided with continued resource mobilization support to help them access funding to support implementation activities, such as promotion of the IPPC Guide to Resource Mobilization developed under the IRSS second cycle.

implementation could be significantly enhanced if contracting parties had sufficient resources to establish, manage and strengthen their phytosanitary systems. This is an area that will need continued attention through creative approaches to resource mobilization.

### **Final considerations**

[106] The second cycle of the IRSS has successfully built on the first project cycle to identify contracting parties' implementation challenges and successes. Additionally, significant progress has been made through undertaking applied activities that will facilitate implementation. The work of the IRSS is continually acknowledged by CPM and its subsidiary bodies as providing valuable input into the strategic direction of the IPPC and assisting in planning IPPC work programme activities appropriately, thus would benefit from being part of the IPPC Secretariat regular work programme.

**Final recommendation:**

It is recommended the IRSS be integrated into the IPPC Secretariat regular work programme and funded through regular programme funds.

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