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**Implementation Programme on Surveillance and the Implementation,
Review and Support System (IRSS) - update**

Agenda item 9.2

Prepared by the IPPC Secretariat¹

1. CPM 9² requested the Secretariat to work with an Open-ended Working Group (OEWG) on Implementation and the Bureau to establish the required mechanisms to focus on the implementation of the Convention, and ensure the work of the IPPC Secretariat and CPM bodies are coordinated to work together to deliver a coherent programme of work.

2. The Secretariat convened an OEWG on Implementation³ in which representatives from NPPOs from a number of contracting parties attended as well as representatives from each of the following CPM Bodies: Bureau, Capacity Development Committee (CDC), Standards Committee (SC) and Subsidiary Body on Dispute Settlement (SBDS) as well as a representative from the National Reporting Obligations Advisory Group (NROAG). The OEWG discussed at length the issues of implementation and the challenges the Secretariat would face to develop and put in place such a programme. The principal conclusions are as follows:

- 1) The pilot implementation programme should focus broadly on surveillance and cover all ISPMs related to the topic. The programme should be 3 years in duration at which point it would be reviewed.

¹ The original document was missing the Annex 3 - added and 2015-02-18 - Revision 01 created and posted. The editorial corrections were added to spell out the acronyms in the Annex 2 - 2015-03-03 Revision 02 created and posted

² CPM 9 Final report: <https://www.ippc.int/publications/cpm-9-final-report-updated-version-posted-23-september-2014>

³ OEWG Implementation Report: https://www.ippc.int/sites/default/files/documents/20140911/final-report_oewg-implementation_10-09-2014_201409111203--159.83%20KB.pdf

- 2) The Secretariat should, at the same time as the pilot Implementation Programme on Surveillance (IPS) is ongoing, begin to identify the next priority topic for the implementation programme to follow the IPS. The OEWG suggested a process in this regard as follows:
- Each implementation programme should be able to be linked to an obligation, responsibility or right set out in the International Plant Protection Convention.
 - The prioritization process should be an analytical process led by the Secretariat, with active input from contracting parties and RPPOs. The Implementation Review and Support System (IRSS) would play a key role in this phase.
 - Only 1-2 priorities would be proposed to the CPM at a time in the form of a high-level description of the work plan for future implementation programmes that would facilitate rapid decision-making. The description would consist of the following main elements:
 - 1) Situation analysis
 - 2) High-level goal
 - 3) Objective of the programme
 - 4) Scope of the programme
 - 5) Potential activities to take place within programme
 - 6) Indicators of success
 - 7) Risks (factors that might cause the programme not to succeed)
 - In year 1, CPM could approve at least one of the priorities and then delegate (i) the development of a detailed work plan to the Secretariat (with selected experts as needed) and (ii) guidance on operational management to the Bureau. In year 2, a summary version of the work plan would be available to inform CPM.

3. The OEWG prepared a proposed Strategic Work Plan for the IPS following the elements outlined above and it is presented in Annex 1 to this paper. The Secretariat did further work on the proposal to identify the tasks that could be under taken over the next three years for the IPS . Activities to take place within first three years of the IPS is presented in Annex 2.

4. Recognising that the Implementation Programme requires the Secretariat and the respective subsidiary bodies to be closely integrated, Senior staff from the IPPC Secretariat met in November 2014 to discuss possible structures for the IPPC Secretariat that would help successfully support the IPS. The Secretariat agreed to support implementation working more closely through the units but recognised that there is ongoing work that will run concurrently as not all the Secretariat activities are related to surveillance.

5. The outcome of the OEWG was circulated to the SPG, subsidiary bodies and the CDC and received widespread support. The CDC in particular identified elements of the proposed IPS strategic work plan that could be supported and aligned Secretariat's capacity development work plan to support this initiative. At the Framework for Standards meeting,⁴ participants identified standards that are in the pipeline for review and others that could be placed as a priority to also align with the IPS. The NROAG⁵ meeting also discussed its role and their possible contributions to the activities in the IPS, some of these are outlined in the strategic work plan.

6. The strategic work plan for the IPS also contemplates efforts that would contribute to other IPPC initiatives such as the International Year for Plant Health⁶ and the overall IPPC advocacy and communications work plan. Some activities outlined in the strategic work plan are activities already being undertaken or expected to be undertaken by the various units of the Secretariat. This strategic

⁴ Framework for standards report, August, 2014:

https://www.ippc.int/sites/default/files/documents/20141007/2014-08_report_frameworkstds_2014-10-07_201410070809--833.67%20KB.pdf

⁵ NROAG report, July 2014: https://www.ippc.int/sites/default/files/documents/20141104/report_nroag-07-2014_2014-10-28_201411041210--2.01%20MB.pdf:

⁶ IYPH paper CPM 10: to be posted

work plan brings together these efforts in a more cohesive way and will help achieve a more precise set of goals and objectives.

7. The IRSS is integrated into both the work programme of the IPPC Secretariat and the proposed IPS strategic work programme at various levels. The IRSS will be instrumental as a mechanism to define the future implementation priorities as well as providing key strategic and analytical support to various activities outlined in this pilot programme. The conduct of studies and preparation of technical papers will be a key contributions to the year of plant health as well as to the proposed IPPC flagship publication on the State of Plant Health in the World. The IRSS will also be instrumental for the review and monitoring of the IPS.

8. The report of the Implementation Review Response (IRR)⁷ is posted on the IRSS webpage. The recommendations contained in this report are presented in Annex 3 to this paper and they support the direction for the establishment of implementation programmes and the need for cohesive, cross cutting integration of the structures of the IPPC Secretariat in terms of work programmes and operations to ensure success. Some recommendations also align to the findings of the recent IPPC Enhancement Evaluation (See CPM 2015/16).

9. The OEWG agreed with CPM 9 (2014) that the results and impact of the pilot programme should be reviewed at an appropriate time to determine if the IPS should be continued. A monitoring and evaluation component will be introduced into the implementation programmes to help manage and measure the success of such programmes. Efforts to introduce a monitoring and evaluation component into the work of the Secretariat is already being considered by the Secretariat. The IRSS will play a principal role in this monitoring and evaluation component.

10. The activities outlined in the strategic work plan for the IPS are indicative and can be scaled up or down depending on the resources available. Resources from a number of projects will be channelled to support the activities. Project formulation and resource mobilisation to support the IPS will also be prioritised.

11. The IPPC Secretariat currently manages several trust funds and a portion of these trust funds could be used to support the initiation of a the strategic work plan for the IPS. As stated above, the approximate total annual cost of IPS and IRSS work programme is USD 859 000 (for 3 years it is USD 2 577 000). Some trust funds currently in place, primarily GCP/GLO/391/EC, GCP/GLO/551/SWI and MTF/GLO/122/MUL could provide support to the first year of the strategic work plan for IPS but other resources would be needed to be sourced in order to sustain it through the three year timeframe.

12. The CPM is requested to:

- *acknowledge* the efforts of contracting parties who participated in the OEWG on Implementation, in particular the efforts of the participants from New Zealand who also did considerable work done prior to the meeting.
- *approve* the strategic work plan for the implementation programme on surveillance and associated activities to take place in the first three year as presented in Annex 1 and 2 of this paper
- *delegate* to the IPPC Secretariat the oversight and management of the implementation programme on surveillance under the oversight of the Bureau; and,
- note the recommendations outlined in the Implementation Review Response report (See annex 3 to this paper)
- *encourage* the IPPC Secretariat, the Bureau and CPM Subsidiary bodies to consider the recommendations contained in the Implementation Review Response, particularly in relation to their work programmes and in relation to the implementation programme on surveillance.
- *urge* contracting parties to contribute resources to ensure that the IPPC pilot programme, the Implementation Programme on Surveillance, is a success and has the expected impact.

⁷ IRR report on IRSS webpage: to be posted

Annex 1**Proposed strategic work plan for the Implementation Programme on Surveillance****A. SITUATION ANALYSIS**

Many contracting parties do not know their pest situation because of a lack of understanding of the ISPM, or the lack of human and financial resources and other factors.

This programme, the implementation programme on surveillance (IPS), is intended to help contracting parties know what pests are present nationally in order to facilitate trade, conduct pest risk analysis (PRAs), protect plant health, produce a list of regulated pests, and determine the status of pests in their country, region, and world. The IPPC is the international agreement in place (IPPC) to help address these issues, and surveillance is a one of the foundational elements that needs to be addressed.

Through years of consultation and analysis, it has been demonstrated that many contracting parties have challenges knowing the status of pests in their countries.

B. HIGH-LEVEL GOAL

Functional national surveillance programmes that improve the global pest reporting system, so as to meet the goal of the IPPC to prevent the spread and introduction of pests.

C. OBJECTIVE OF THE IMPLEMENTATION PROGRAMME

To facilitate the practical implementation of surveillance based on IPPC standards to contribute to the prevention of the spread and introduction of plant pests and enable more countries to share information on pest status in order to support food security, facilitate trade, and protect the environment.

The purpose of establishing a pilot implementation programme is to enable the IPPC Secretariat, CPM and contracting parties to test a new approach for improving the implementation of the IPPC and its' standards in a simple, carefully-planned and coordinated way.

D. SCOPE OF THE IMPLEMENTATION PROGRAMME ON SURVEILLANCE

This will be a pilot of a global programme. It will develop tools and resources that can be used by all contracting parties. Some workshops may be delivered at a regional level. At national level, implementation of specific programmes in their country can be initiated by the contracting party.

Duration: 3 years from the time of having resources have been secured. As this is a pilot programme, it will engage in a limited number of selected activities.

Contracting parties wishing to participate should:

- have surveillance as part of NPPO or RPPO priorities
- express a desire to participate at the commencement of the IPS and
- demonstrate commitment to participate actively

E. POTENTIAL ACTIVITIES TO TAKE PLACE WITHIN THE IPS

NPPO Management

- 1) Country-level evaluation of implementation of ISPM 6 (Guidelines for surveillance). The global programme develops tools and guidance for the evaluation; contracting parties conduct and report on the evaluation; global programme encourages and monitors and analyzes the extent of contracting party delivery.
- 2) Sustainable resourcing (human, financial and infrastructure resources of national programmes) (development of planning tools, resource mobilization materials, management training).

Advocacy and communications

- 3) Advocacy activities to demonstrate the value of pest surveillance, outline national responsibilities, support institutional development of surveillance capacities, explain policies and show the resources needed (eg. compile evidence, case studies, best practices and success stories)
- 4) Regional workshops to share experiences

Technical

- 5) Support regional initiatives for the development of systems for data collection and management as well as training on how to use the data
- 6) Enhance information exchange mechanisms on pest status between contracting parties
- 7) Interacting with national and regional expert through networks to share information on pest status (including e-groups)
- 8) Technical manuals and guidelines
 - a) Guidance to help achieve a common understanding of general surveillance (how to use the information and understand the multiple uses)
 - b) Guidance on the collection and validation of information at the country level (how to do general surveillance)
 - c) Guidance on specific surveillance including delimitation and trace-back
 - d) How to manage NPPO relationship with RPPOs and other groups (universities, private sector etc.) to collect, manage and validate information.
- 9) Improvement and alignment of ISPMs related to surveillance

Policy

- 10) Support NPPOs to engage with relevant resources to support the development/updating of national legislative/policy/regulations

F. GLOBAL INDICATORS OF SUCCESS OF THE IPS

After three years, there should be:

- Improved pest reporting with an increase in the number of contracting parties with updated pest lists
- Improved quality of pest reports
- Improved access to information on pest status of other countries

- National legislation that is more suited to support surveillance
- Improved level of implementation perceived in national-level evaluations
- Database systems improved
- Databases for surveillance are in use by more contracting parties
- Capacities to deliver surveillance improved
- More high-level authorities convinced of importance of surveillance
- Improved diagnostic capacities
- More resources being applied to surveillance
- Evidence of timely and appropriate responses to pest outbreaks
- Country feedback shows that surveillance programme has improved
- Country feedback shows that other countries' surveillance programmes have improved
- Impact on market access for developing countries
- Increase in number of contracting parties with updated pest lists
- Large number of success stories from contracting parties

Where available baseline information should be used to measure success. Also consider longer term impact/indicators.

G. Factors that might cause the IPS not to succeed

- no awareness at decision-maker level to make time, resources etc available to do surveillance and participate in programme
- contracting parties hesitant to provide pest information because of trade concerns
- CPM not able to decide on priorities for work programme
- lack of funding (at the national, regional and global level)
- civil conflict, political instability, natural disasters
- instability of human resources and organization
- limited cooperation and coordination between national stakeholders
- lack of alignment between IPPC and RPPOs and others
- inability to promote the value of the IPS (including availability of information)
- complexity of the issue giving rise to management and communication failure.

ANNEX 2

ACTIVITIES TO TAKE PLACE WITHIN THREE YEARS OF THE IMPLEMENTATION PROGRAMME ON SURVEILLANCE

Legend: Implementation Review and Support System (**IRSS**); Capacity Development (**CD**); Standards Setting (**StdSet**); Regional Plant Protection Organizations (**RPPOs**); National Plant Protection Organizations (**NPPOs**); National Reporting Obligations (**NRO**);

Programme area	Activity area	Scope of activities	Key implementers	Timeline	Results links to/Impacts:	Funding (USD)
NPPO Management	1. National -level evaluation of implementation of ISPM 6 (<i>Guidelines for surveillance</i>) (global programme encourages, monitors and analyses the extent of contracting party delivery)	(global programme develops tools and guidance for the evaluation; contracting parties conduct and report on the evaluation)	IRSS, CD, StdSet, RPPOs, NPPOs	Year 1	IRSS; CD work programme; State of plant protection in the world; Year of Plant Health; RPPO work programmes; NRO and NPPO work programmes.	120 000
	2. Sustainable resourcing of national programmes (human, financial and infrastructure resources)	(planning tools, resource mobilization resources, management training)	CD, RPPOs, NPPOs	Year 1 and 2	CD work programme; State of plant protection in the world; Year of Plant Health; RPPO work programmes; NPPO work programmes	120 000

Programme area	Activity area	Scope of activities	Key implementers	Timeline	Results links to/Impacts:	Funding (USD)
Advocacy and communications	1. Advocacy activity on the value of pest surveillance and national responsibilities, support for institutional development of surveillance capacities, policies and the resources needed	(compile evidence, case studies, best practices, success stories)	IRSS, IPPC Advocacy, RPPOs, NPPOs, External partners	Year 1-3	IRSS; CD work programme; State of plant protection in the world; Year of Plant Health; RPPO work programmes; NRO and NPPO work programmes.	900 000
	2. Regional workshops to share experiences	Organize and conduct targeted workshops in FAO regions based on evidence, case studies, best practices and success stories. (1 workshop per year)	IRSS, CD, NRO, StdSet, RPPOs and NPPOs, External Partners	Year 2-3	IRSS; CD work programme; State of plant protection in the world; Year of Plant Health; RPPO work programmes; NRO and NPPO work programmes.	220 000
Technical	1. Support regional initiatives for development of systems for data collection, and management;	Review, develop or collaborate and provide training on how to use them	NRO, CD, RPPOs, NPPOs and External Partners	Year 1-3	NRO; CD work programme; IRSS; State of plant protection in the world; Year of Plant Health; RPPO work programmes; NPPO work programmes.	102 000

Programme area	Activity area	Scope of activities	Key implementers	Timeline	Results links to/Impacts:	Funding (USD)
	2. Enhance information exchange mechanisms on pest status between contracting parties	Activities to be determined after situation analysis	NRO, CD, RPPOs, NPPOs, IRSS	Year 1-3	NRO; CD work programme; IRSS; State of plant protection in the world; Year of Plant Health; RPPO and NPPO work programmes.	58 000
	3. Developing national and regional expert networks to share information on pest status (including e-groups)	Activities to be determined after situation analysis	NRO, CD, RPPOs, NPPOs and External partners, IRSS	Year 1-3	NRO; CD work programme; IRSS; State of plant protection in the world; Year of Plant Health; RPPO and NPPO work programmes.	45 000
	4. Technical manuals and guidelines	Guidelines for common understanding of general surveillance (how to use the information – understand the multiple uses)	StdSet, CD, RPPOs, NPPOs, IRSS and External Partners	Year 2-3	CD work programme; SS; NRO; State of plant protection in the world; Year of Plant Health; RPPO and NPPO work programmes	88 000
		Guidance on collection and validation of information at country level (how to do general surveillance)	CD, StdSet, RPPOs, NPPOs, IRSS and External Partners	Year 2-3		88 000

Programme area	Activity area	Scope of activities	Key implementers	Timeline	Results links to/Impacts:	Funding (USD)
		Guidance on specific surveillance including delimitation and trace-back	CD, StdSet, RPPOs, NPPOs, IRSS and External Partners	Year 2-3		88 000
		How to manage NPPO relationship with RPPOs and other groups (universities, private sector etc.) to collect, manage and validate information.	RPPOs, NPPOs, CD, StdSet, IRSS and External Partners	Year 2-3		88 000
	5. Improvement and alignment of ISPMs related to surveillance	Review of ISPMs that address issues related to surveillance (In pipeline 4, 6 & 8 as well as those not yet added to the IPPC list of topics: 17 & 19)	StdSet, CD, RPPOs, NPPOs, IRSS and External Partners	Year 1-3	SS and CD work programme; NRO; State of plant protection in the world; Year of Plant Health; RPPO and NPPO work programmes	450 000
Policy	1.Support NPPOs to engage with relevant resources to support development / updating of national legislative / policy / regulations	Review status at country level, identify relevant interventions, Prioritise interventions, develop and disseminate them	CD, StdSet, NRO, RPPOs, NPPOs, IRSS, and External Partners e.g. FAO-LEGA	Year 1.5 - 3	IRSS; CD work programme; IPPC advocacy and communications work programme; State of plant protection in the world; Year of Plant Health; RPPO and NPPO work programmes.	210 000
ESTIMATED COST OF A 3 YEAR IMPLEMENTATION AND IRSS WORK PROGRAMME						2 577 000

ANNEX 3

RECOMMENDATIONS FROM THE IMPLEMENTATION REVIEW REPORT**Recommendation 1:**

It is strongly recommended to undertake a regular monitoring of the fulfilment of reporting obligations by contracting parties. Annual reports, including the identification of contracting parties not honouring their reporting obligations, should be provided to the CPM.

Recommendation 2:

It is recommended to develop a cross-cutting information exchange policy and work-programme in consultation with the standard development and implementation clusters within the IPPC Secretariat.

Recommendation 3:

Future implementation review activities should continue to choose certain topics as focal themes.

Recommendation 4:

The implementation review of the next phase of the IRSS should focus on investigating the relevance and impact of diagnostic and taxonomic services for the implementation IPPC and ISPM provisions.

Recommendation 5:

The CPM should consider merging IPPC capacity development activities with the IRSS into one programme aimed at improving the implementation of IPPC and ISPMs. The CPM should also consider to establish a subsidiary body on implementation issues aimed at supervising all CPM activities directed towards implementation issues.

Recommendation 6:

The CPM and the IPPC Secretariat should investigate on how they can improve their respective working procedures in order to incorporate crosscutting implementation issues into the implementation and development of their work programme.

Recommendation 7:

In order to avoid questionnaire fatigue and confusing answers the CPM and the IPPC Secretariat should develop a quality control system for IRR questionnaires and limit the overall amount of questionnaires sent to contracting parties to an sustainable level.

Recommendation 8:

The IPPC Secretariat and the CPM should attribute special attention to the implementation of IPPC and ISPM provisions in the Near-East region. Implementation assistance to the Near-East region countries and NEPPO should be considered to improve implementation in this FAO region.

Recommendation 9:

A global symposium or workshop should address the topic of small farmer involvement in NPPO activities.

Recommendation 10:

The CPM should consider revising ISPM 13 with regard to incorporating a standardized notification format. Such a notification format maybe incorporated into the electronic phytosanitary certification system. The CPM should also consider to intensify efforts concerning the reporting of phytosanitary requirements.

Recommendation 11:

The CPM should consider revising ISPM 19 with a view to provide clearer guidance on the establishment of lists of regulated pests and their publication of the IPP.