	联 合 国 粮 食 及 农 业 组 织	Food and Agriculture Organization of the United Nations	Organisation des Nations Unies pour l'alimentation et l'agriculture	Продовольственная и сельскохозяйственная организация Объединенных Наций	Organización de las Naciones Unidas para la Alimentación y la Agricultura	منظمة الأغذية والزراعة للأمم المتحدة

COMMISSION ON PHYTOSANITARY MEASURES

Eleventh Session
Rome, 4-8 April 2016
Framework for Standards and Implementation
Agenda item 8.2
Prepared by the IPPC Secretariat

1.   This document addresses the Framework for Standards and Implementation which has been the subject of a number of conversations within the CPM, SPG, SC and CDC over the past few years and progress has been made. As you will recall, during CPM-10 (2015), the Commission:

1) *Requested* the Secretariat to continue to develop the Framework for Standards and Implementation and ensure that this has a broader application; not only for gap analysis but also to allow contracting parties to see what guidance is already available or missing.
2) *Noted* the draft standards portion of the IPPC Framework for Standards and Implementation presented in Annex 1 to CPM 2015/19, noting that the full Framework for Standards and Implementation will be presented to CPM-11 (2016) for adoption.
3) *Agreed*, that once adopted, the *Framework for Standards* and Implementation is used as basis for planning of the IPPC Secretariat's work program.

2.   The IPPC Secretariat progressed in the preparation of the updated Framework for Standards and Implementation and additional work remains to be done following a review of the Framework by the Capacity Development Committee (CDC). The CDC felt that as presently constructed, the Framework was a limited way of addressing the needs for implementation. Indeed, the CDC felt that several other tools would be needed to address the gaps for implementation – too many to be included in a Framework format. As an example, implementation of the Convention is a key activity that they felt is not easy to include in the Framework. The CDC also felt that an implementation plan for each ISPM should be developed, and for those in production these should be developed before the standard is adopted.

3.   The Framework was also discussed at length during the recent meeting of the Strategic Planning Group (SPG) in October 2015. SPG participants acknowledged that it might be true that it would be challenging to include all details to ensure the fullest picture possible. However, they felt that there was still great value in starting to use an integrated Framework for Standards and Implementation to get a better understanding (if not complete) of the tools available, the topics that are currently being worked on and the gaps that needed to be addressed in the future. They stressed that the Framework for Standards and Implementation should be a living document that provides a good picture of the standards and tools that are available or are in progress, for helping Contracting Parties implement the Convention and ISPMs. The Framework for Standards and Implementation could be expanded as needed to address the concerns from the CDC. Furthermore, having one Framework for Standards and Implementation would help clarify whether a topic that was proposed as a standard should rather be developed as a different type of document, it would help understand priorities of the IPPC Secretariat towards 2020, would be a resource mobilization tool and would help increase the interaction and communication within the IPPC Secretariat.

4.   The SPG additionally agreed that there is a clear direction from CPM that implementation and standard setting need to be more closely integrated, and the adoption of the Framework for Standards and Implementation would be a step in this direction. The SPG agreed that there was full support to use the existing Framework for Standards and Implementation to assist in understanding gaps and prioritize the work. The SPG also supported that the CDC would continue to develop ideas on implementation and that these would be integrated into the Framework at a later stage. The SPG suggested that the Standards Committee (SC) and the CDC should work together when proposing new standards or tools. This would require a fluent and constant communication within the Secretariat and between the CDC and SC and should help enhance cooperation. Obviously, as the IPPC Secretariat infrastructure is reorganized, the new body replacing the CDC would assume a similar role for coordination. The SPG also concurred that due to this and the integrated format of the Framework, it could be used as a tool to facilitate cooperation and collaboration between setting the standards and their implementation. The SPG did not feel that it should be responsible for updating the Framework.

5.   During the meeting of the Standards Committee (SC) in November 2015, the SC reiterated its strong support for the Framework for Standards and Implementation as the basis for planning and prioritizing ISPMs and tools. The SC recognized that within the area of the Framework there are layers of standards that have varying levels of requirements appropriate to the effective management of pest risks, depending on the scope, which are identified in the standards. In addition, it was also pointed out during the SC meeting that the Framework for Standards and Implementation should be able to provide a good basis to shape collaboration between the SC and Capacity Development area of the IPPC.

6.   Considering the broad enthusiasm and support for the development, implementation and use of a Framework for Standards and Implementation, the Secretariat has updated the Framework for Standards and Implementation, as requested by CPM-10 (2015), to include the most up to date information on both the standards and implementation tools (finalized, under development or identified gaps) and this is presented in attachment 1.

7.   The CPM is invited to:

   1) *Endorse* the use of the Framework for Standards and Implementation to record the standards and other tools for implementation that support and enable the implementation of the Convention and ISPMs to facilitate harmonisation. This Framework would include standards and other tools that have been adopted/developed, are under development or are planned to be developed.

   2) *Adopt* the Framework for Standards and Implementation (as Annex XX) and agree that it is a working document which will be periodically updated, and provides transparency of existing or proposed standards and tools for implementation and assists with the identification of gaps and it

would be a means of capturing agreed priorities for standards and implementation facilitation tools that are separately approved by CPM.

3) *Agree* that the Framework for Standards and Implementation is updated and maintained by the Secretariat, with responsibility for review and amendment resting jointly with the SC and CDC (and its subsequent replacement body).

4) *Agree* that the most current version of the Framework for Standards and Implementation will be maintained and be fully accessible on the IPP.

Annex 1 – Framework for Standards and Implementation

Framework for Standards and Implementation

2016-2-4

Last updated by SC November 2014 (following, formatting and editorial changes made by the Secretariat)

(Note this Framework for Standard and Implementation will be adjusted after CPM adopts the adjustments to the LOTs)

LEGEND

Red text: indicates gaps for new topics, new revisions to adopted ISPMs that are not already on the *List of topics for IPPC standards* or gaps for other guidance.

Underlined text: indicates topics on the *List of topics for IPPC standards* for revisions to adopted ISPMs (topic number in brackets)

Bolded text: indicates topics on the *List of topics for IPPC standards* for new ISPMs (topic number in brackets) or guidance being drafted

Adopted ISPMs are listed with title and ISPM number.

ISPMs or proposed gaps that cover or should cover both conceptual issues and implementation issues in one standard are centred.

	Concept standards - "what"	Implementation standards - "how"	Other guidance
	IPPC Area: GENERAL **IPPC Strategic Objectives (SOs): A3, A4, B1, B2, B3, D2, D4**		
1.	Audits (Priority 1)	No gap.	
2.	No gap.	No gap.	Organization and provision of information on technical resources. Available guidance: Phytosanitary resource page (roster of experts, projects database, activities calendar, technical documents)
3.	No gap.	No gap.	Cooperation with other Organizations e.g. environmental. Available guidance: Memorandums of Understanding: Ozone Secretariat, CBD; Partnership paper (CPM 9/2014/21).
4.	No gap.	No gap.	Environmental protection and climate change e.g. surveillance of wild flora. Available guidance: Guide to implementation of phytosanitary standard in forestry; ICPM-7 decisions in relationship to Cooperation with the CBD: Threats to biodiversity by IAS)
5.	No gap.	No gap.	International cooperation between NPPOs, e.g. regional centres of expertise
6.	No gap.	No gap.	How standards are used in or relate to different areas (e.g. Market access, IAS, climate change)
7.	No gap.	No gap.	Advocacy for NPPO resource mobilisation

	IPPC Area: GENERAL RIGHTS AND OBLIGATIONS IPPC SOs: A1, A2, B2, B3, B4, C3, D3, Y4		
	Concept standards - "what"	Implementation standards - "how"	Other guidance
8.	Elements of an effective NPPO e.g. training, engagement of stakeholders, competency (Priority 1)	No gap.	Elements of an effective NPPO e.g. training, engagement of stakeholders, competency. Available guidance: NPPO management (draft manual); PCE tool; Explanatory document (2005) on ISPM 20 *(Guidelines for a phytosanitary import regulatory system)* (includes appendix on rights, roles & responsibilities in relation to the IPPC, ISPMs and SPS))
9.	Revision: Pest reporting (ISPM 17) (Priority 2)		
10.	Revision: Guidelines on lists of regulated pests (ISPM 19) (Priority 2)		
11.	Guidelines for the notification of non-compliance and emergency action (ISPM 13)		
12.	National legislation requirements (Priority 4)	No gap.	
13.	No gap.	No gap.	International Cooperation between contracting parties. Available guidance **Stakeholder relations** (draft manual))
14.	No gap.	No gap.	Elements of an effective RPPO. Available guidance: Procedure for the recognition of new RPPOs; ICPM-4 (2002); Role and functions of the Technical Consultation among RPPOs ICPM-5 (2003)
15.	No gap.	No gap.	Information exchange. Available guidance: Recommendation information exchange (ICPM 2/1) ; Role of IPPC contact points (CPM 1/1)
16.	No gap.	No gap.	Pest reporting. Available guidance: Explanatory document (2005) on ISPM 17 *(Pest reporting)*. Regulated pest lists clarification of terminology and its use in ISPM 19.

	IPPC Area: GENERAL RIGHTS AND OBLIGATIONS IPPC SOs: A1, A2, B2, B3, B4, C3, D3, Y4		
	Concept standards - "what"	**Implementation standards - "how"**	**Other guidance**
17.	No gap.	No gap.	Guidelines for the revision of national phytosanitary legislation – FAO Establishing an NPPO (manual), establishment of an NPPO (training kit)

	Concept standards - "what"	**Implementation standards - "how"**	**Other guidance**
	IPPC Area: PRINCIPLES AND POLICIES (interpretation of the Convention) **IPPC SOs: B2, B3, C3, D1, D3**		
18.	Phytosanitary principles for the protection of plants and the application of phytosanitary measures in international trade (ISPM 1)	No gap.	1) Undue delay and prompt action, Operation of a NPPO manual, Operation of a NPPO (training kit)
19.	Glossary of phytosanitary terms (ISPM 5) Terminology of the Convention on Biological Diversity in relation to the Glossary of phytosanitary terms (ISPM 5 – Appendix 1)	No gap.	Available guidance: Annotated Glossary: Explanatory document (2013) on ISPM 5 *(The Glossary of phytosanitary terms)*
20.	Efficacy of measures (Priority 4)	No gap.	Efficacy of measures
21.	No gap.	Recognition of pest free areas and areas of low pest prevalence (ISPM 29)	Technical Justification including reliability of scientific information
22.	Guidelines for the determination and recognition of equivalence of phytosanitary measures (ISPM 24)		Available guidance: **Equivalence** (draft manual)
23.	**Authorization of entities other than national plant protection organizations to perform phytosanitary actions (2014-002)** (Priority 2 (from 3))	No gap.	
24.	No gap.	No gap.	Appropriate level of protection
25.	No gap.	No gap.	State of plant protection in the world

IPPC Area: PEST STATUS
IPPC SOs: A1, A2, B1

	Concept standards - "what"	Implementation standards - "how"	Other guidance
26.	Determination of pest status in an area (ISPM 8) (Priority 1)		
27.	Revision: Regulated non-quarantine pests: concept and application (ISPM 16), to broaden to pests and clarify the concepts related to quarantine pests, RNQP and pests of national concern (Priority 2) Guidelines on the interpretation and application of the concept of official control for regulated pests (ISPM 5 - Supplement 1)	No gap.	Available guidance: IPPC coverage of aquatic plants (CPM recommendation CPM-9/2014/01); GMOs, Biosafety and Invasive Species: ICPM 3 (2001) decision
28.	Host and non host status (Priority 3)	**Determination of host status of fruit to fruit flies (Tephritidae) (2006-031)** (Priority 1)	
29.	Guidelines for surveillance (ISPM 6) (Priority 1)		
30.	No gap.	Specific guidance on surveillance for a pest or a group of pests (Priority 3)	Guidance on surveillance for a pest or a group of pests. Available guidance: **Surveillance** (manual), Technical resources (manuals, standard operating procedures, public outreach materials, projects, etc.) on general and specific pest surveillance available on phytosanitary.info
31.	Requirements for the establishment of pests free areas (ISPM 4) (Priority 4 (from 2)) Establishment of pest free areas for fruit flies (Tephritidae) (ISPM 26)		
32.	Requirements for the establishment of pest free places of production and pest free production sites (ISPM 10)		
33.	Requirements for the establishment of areas of low pest prevalence (ISPM 22)		

IPPC Area: PEST STATUS IPPC SOs: A1, A2, B1		
Concept standards - "what"	**Implementation standards - "how"**	**Other guidance**
34. No gap.	Specific guidance on PFA, PFPP and ALPP for a pest or a group of pests (Priority 4) Establishment of areas of low pest prevalence for fruit flies (ISPM 30) Control measures for an outbreak within a fruit fly-pest free area (ISPM 26 - Annex 2)	

IPPC Area: PEST RISK ANALYSIS
IPPC SOs: C2, C3, B2, B3, B4

	Concept standards - "what"	Implementation standards - "how"	Other guidance
35.	Framework for pest risk analysis (ISPM 2)	Pest risk analysis for quarantine pests (ISPM 11) Pest risk analysis for regulated non-quarantine pests (ISPM 21) Categorization of commodities according to their pest risk (ISPM 32) Guidelines for the export, shipment, import and release of biological control agents and other beneficial organisms (ISPM 3) Guidance on climate change (supplement to ISPM 11) (Priority 3)	Commodity and host pest lists Available guidance: **PRA awareness toolkit** (proposed manual); PRA training (manual and eLearning)
36.	Revision and combination of PRA standards (including ISPM 2, 11 and 21) (priority 4)		Commodity and host pest lists
37.	**Guidance on pest risk management (2014-001)** (Priority 2 (from 1))	Specific guidance on pest risk management for pests or a group of pests (Priority 3)	
38.	Risk communication (Priority 3)		
39.	Guidelines on the understanding of potential economic importance and related terms including reference to environmental considerations (ISPM 5 - Supplement 2)	Economic analysis in PRA (Priority 2)	
40.	Diversion from intended use (Priority 2? to be determined) (concept standard or supplementary document)	No gap.	Diversion from intended use

	IPPC Area: PEST MANAGEMENT IPPC SOs: A1, A2, B1, B2, B4, C2, D1		
	Concept standards - "what"	**Implementation standards - "how"**	**Other guidance**
41.	Management of regulated pests (Priority 4)	No gap.	**CDC document on Phytosanitary Treatments** (draft manual)
42.	No gap.	No gap.	Pest management options
43.	Contingency planning and emergency response (Priority 1)	No gap.	
44.	No gap.	**Criteria for treatments for wood packaging material in international trade (2006-010) (draft annex to ISPM 15)** (Priority 2) **Revision of annex 1 and 2 of ISPM 15 (Inclusion of the Phytosanitary treatment *Sulphuryl fluoride fumigation of wood packaging material* (2006-010A) and *Revision of dielectric heating section.***	Available guidance: Replacement of MeBr (CPM 3/1)
45.	Phytosanitary treatments for regulated pest (ISPM 28)	Non-commodity specific phytosanitary treatments for regulated pests (e.g. soil drench, sterilization) (Annexes to ISPM 28) (Priority 4)	Available guidance: Explanatory document (2006) on ISPM 18:2003 *(Guidelines on the use of irradiation as a phytosanitary treatment)*
46.	Guidelines for the use of irradiation as a phytosanitary measure (ISPM 18) (2014-007) (Priority 3 (from 2))		
47.	No gap.	**Requirements for the use of fumigation as a phytosanitary measure** (2014-004) (Priority 1)	
48.	No gap.	**Requirements for the use of temperature treatments as a phytosanitary measure** (2014-005) (Priority 1)	
49.	No gap.	**Requirements for the use of modified atmosphere treatments as a phytosanitary measure** (2014-006) (Priority 2)	

	IPPC Area: PEST MANAGEMENT IPPC SOs: A1, A2, B1, B2, B4, C2, D1		
	Concept standards - "what"	**Implementation standards - "how"**	**Other guidance**
50.	No gap.	**Requirements for the use of chemical treatments as a phytosanitary measure** (2014-003) (Priority 3)	
51.	Guidelines for pest eradication programmes (ISPM 9)		
52.	No gap.	**Phytosanitary procedures for fruit fly (Tephritidae) management** (2005-010)	
53.	Integrated measures plants for planting (ISPM 36)		
54.	Systems approach (ISPM 14) Clarification on the concepts of integrated measures and systems approach (Priority 4)	Pest free potato (Solanum spp.) micropropagative material and minitubers for international trade (ISPM 33) Systems approach for pest risk management of fruit flies (Tephritidae) (ISPM 35) Specific guidance on systems approaches for commodities or pests (Priority 4)	

	Concept standards - "what"	Implementation standards - "how"	Other guidance
	IPPC Area: PHYTOSANITARY IMPORT & EXPORT REGULATORY SYSTEMS **IPPC SOs: A3, B4, C1, C2, C3, D3**		
55.	Phytosanitary certification system (ISPM 7)	Phytosanitary certificates (ISPM 12) Electronic phytosanitary certificates, information on standard XML schemes and exchange mechanisms (ISPM 12 - Appendix 1)	Available guidance:; e-Phyto (proposed system), **Import verification manual, export verification manual**
56.	Consignments in transit (ISPM 25)		Available guidance: **Transit** (proposed manual)
57.	No gap.	Guidelines for the export, shipment, import and release of biological control agents and other beneficial organisms (ISPM 3) Phytosanitary treatments for regulated pests (ISPM 28)	Available guidance: **Phytosanitary treatments based on historical evidence** (Position paper-TPPT draft)
58.	Guidelines for a phytosanitary import regulatory system (ISPM 20)		Available guidance: Explanatory document (2005) on ISPM 20 (*Guidelines for a phytosanitary import regulatory system*)
59.		Guidelines for a phytosanitary import regulatory system (ISPM 20) **Use of specific import authorization (2008-006) (ISPM 20, new annex)** (Priority 4 (from 3))	
60.	No gap.	Guidelines for inspection (ISPM 23)	
61.	Methodologies for sampling of consignments (ISPM 31)		Available guidance: Explanatory document (2009) on ISPM 31 (*Methodologies for sampling of consignments*)
62.	No gap.	Design and operation of post-entry quarantine stations for plants (ISPM 34)	
63.	No gap.	No gap.	Dispute settlement manual

	IPPC Area: PHYTOSANITARY IMPORT & EXPORT REGULATORY SYSTEMS IPPC SOs: A3, B4, C1, C2, C3, D3		
	Concept standards - "what"	**Implementation standards - "how"**	**Other guidance**
64.	**Phytosanitary pre-import clearance (2005-003)** (Priority 3)	No gap.	
65.	No gap.	No gap.	Traceability **Proposed Traceback Guidance;** Market access (manual)
66.	No gap.	No gap.	Pathways
67.	No gap.	**Minimizing pest movement by air containers and aircrafts (2008-002)** (Priority 3 (from 1))	
68.	No gap.	**International movement of cut flowers and branches (2008-005)** (Priority 4)	
69.	No gap.	**Safe handling and disposal of waste with potential pest risk generated during international voyages (2008-004)** (Priority 2 (from 3))	
70.	No gap.	**International movement of growing media in association with plants for planting (2005-004)** (Priority 1)	
71.	No gap.	**Minimizing pest movement by sea containers (2008-001)** (Priority 1)	Available guidance: CPM Recommendation on sea containers (CPM-10/2015/1)
72.	No gap.	**International movement of grain (2008-007)** (Priority 1)	Available guidance: Internet trade (e-commerce) in plants and other regulated articles (CPM recommendation CPM-9/2014/2)
73.	No gap.	**Guidelines for regulating wood packaging material in international trade (ISPM 15)** (Revision to include fraudulent use) (Priority 2)	Available guidance: Explanatory document (2014) on ISPM 15 (*Guidelines for regulating wood packaging material in*

	Concept standards - "what"	Implementation standards - "how"	Other guidance
	IPPC Area: PHYTOSANITARY IMPORT & EXPORT REGULATORY SYSTEMS **IPPC SOs: A3, B4, C1, C2, C3, D3**		
			international trade); **Dielectric heat treatment** (draft manual); Quick guide to Dielectric heating
74.	No gap.	**International movement of used vehicles, machinery and equipment (2006-004)** (Priority 3)	
75.	No gap.	**International movement of seeds (2009-003)** (Priority 1)	
76.	No gap.	**International movement of wood (2006-029)** (Priority 1)	
77.	No gap.	**International movement of wood products and handicrafts made from wood (2008-008)** (Priority 2 (from 1))	

IPPC Area: DIAGNOSTICS IPPC SOs: A1, B1, B4		
Concept standards - "what"	**Implementation standards - "how"**	**Other guidance**
78. Diagnostic protocols for regulated pests (ISPM 27)	Annexes to Diagnostic protocols for regulated pests (ISPM 27)	**Guide to delivering Phytosanitary Diagnostic Services**
79. No gap.	Requirements for diagnostics (Priority 2)	
80. No gap.	No gap.	International or regional cooperation for diagnostics (e.g. Regional centres of expertise)