



Food and Agriculture  
Organization of the  
United Nations



International  
Plant Protection  
Convention

OCT.  
2019

ENG

# IPPC PROCEDURE MANUAL FOR IMPLEMENTATION AND CAPACITY DEVELOPMENT

Produced by the Secretariat of the  
International Plant Protection Convention (IPPC)

This page is intentionally left blank

# **International Plant Protection Convention**

---

## **2019 Procedure Manual**

### **Implementation and Capacity Development**

Produced by the Secretariat of the  
International Plant Protection Convention  
Published 2019-10-31  
Revised 2019-03-25

Procedures that have been updated or  
approved at the November 2019  
Implementation and Capacity Development  
Committee meeting

© FAO 2019

## CONTENTS

List of abbreviations .....	5
INTRODUCTION .....	6
1. Implementation and Facilitation Unit of the IPPC Secretariat.....	7
1.1 Managing Communications and web-based information .....	7
1.1.1 Publications .....	7
1.1.2 Implementation and Capacity Development web information.....	7
1.2 Managing the application of the Phytosanitary Capacity Development tool.....	10
1.2.1 Phytosanitary Capacity Evaluation Strategy for 2020-2023.....	10
1.3 Managing the development of guides and training materials .....	12
1.3.1 Strategy for the Development of IPPC Guides and Training Materials .....	13
1.3.2 Process for the Development of IPPC Implementation and Capacity Development Guides and Training Materials.....	14
1.4 Managing Projects .....	19
1.4.1 Strategy and process on how the IC reviews and analyses Implementation and Capacity Development projects.....	19
1.5 Role of regional plant protection organizations in implementation and capacity development .....	25
1.6 Coordinating the IPPC Regional workshops .....	26
1.7 Coordinating the Technical Consultation of the RPPOs (TC-RPPO).....	28
1.8 External Cooperation .....	29
1.8.1 Liaison activities with research and educational institutions .....	29
1.8.2 Liaison activities with relevant organizations .....	29
2. Implementation and Capacity Development Committee .....	30
2.1 Terms of Reference of the IPPC Subsidiary Body Implementation and Capacity Development Committee – A Subsidiary Body of the CPM .....	30
2.2 Rules of Procedure of the IPPC Implementation and Capacity Development Committee (IC) – A Subsidiary Body of the CPM.....	32
2.3 Functions of the IC Chairperson, Vice-Chairperson and Rapporteur (in session and inter- sessionally).....	34
2.3.1 Chairperson .....	34
2.3.2 Vice-Chairperson .....	35
2.4 Financial considerations .....	35
2.4.1 Rules for directed financial assistance for implementation and capacity development activities (sponsorship).....	35
2.5 Duties and associated tasks of IC members.....	36
2.5.1 Basic duties directly related to the evaluation of IC activities .....	36
2.5.2. Time requirements.....	36
2.5.3. Regional communication.....	37
2.5.4. Duties of IC members the IC Sub group when they are not an IC lead .....	37

2.5.5. Duties of IC Sub-group leads .....	37
2.5.6. Examination of outlines of implementation resources .....	38
2.5.7. The examination of procedural and administrative documents.....	38
2.5.8. Other duties of other IC members .....	38
2.6 Duties and associated tasks of RPPO and SC representatives on the IC .....	38
2.7 Guidelines on the role of IC lead and assistant lead .....	40
2.7.1 Selection of the IC lead and assistant IC lead(s) .....	40
2.7.2. Roles, responsibilities, duties and tasks of the IC lead(s) .....	40
2.7.3 Role of the assistant IC lead(s).....	41
2.8 e-decisions: Implementation and Capacity Development Committee procedures for discussing and making decisions by electronic means.....	41
2.9 Deadlines for meetings (invites, funding, papers and reports) for IC related meetings.....	44
2.10 Call for Topics: Standards and Implementation. ....	44
2.10.1 Flow chart for the process of the Call for topics: standards and implementation .....	46
2.10.2 Terms of Reference and Rules of Procedure of the Task Force on Topics .....	46
2.10.3 Rules of procedure for the Task Force on Topics .....	47
2.10.4 Criteria for Justification and Prioritization of Proposed Topics.....	48
3. IC Sub-Groups .....	50
3.1 Implementation and Capacity Development Committee Sub-groups .....	50
Rules of Procedure .....	50
3.2 Guidelines for the organization of IC Sub-groups and expert groups .....	52
3.3 Deadlines for posting expert drafting group meeting papers and report.....	57
4. Specific IC Sub-Groups .....	58
4.1 Dispute Avoidance and Settlement (DAS) .....	58
4.1.1 Dispute Avoidance and Settlement Implementation and Capacity Development Committee (IC) Sub-group Terms of Reference .....	58
4.1.2 Dispute Settlement Procedures.....	59
4.2 Implementation, Review and Support System (IRSS).....	66
4.2.1 Implementation Review and Support System Implementation and Capacity Development Committee (IC) Sub-group Terms of Reference .....	67
4.2.2 Procedure for the submission of IRSS Topics .....	67
4.3 Sea Containers Task Force .....	69
4.3.1 Sea Containers Task Force Implementation and Capacity Development Committee (IC) Sub-group Terms of Reference.....	69
5. IC Specific TEAMS .....	72
5.1 National Reporting Obligations (NRO).....	72
5.1.1 Oversight mechanism for National Reporting Obligation activities .....	74
5.1.2 Other NRO approved procedures .....	74

6. Additional useful procedures- introduction .....	75
6.1 Framework for Standards and Implementation.....	75
LIST OF ANNEXES .....	76
ANNEX 1: The International Plant Protection Convention .....	77
ANNEX 2: Rules of Procedure of the Commission on Phytosanitary Measures .....	91
ANNEX 3: Draft Strategic Framework for the International Plant Protection Convention (IPPC) 2020–2030.....	101
ANNEX 4: IPPC National Phytosanitary Capacity Development Strategy .....	129
ANNEX 5: Statement of commitment for implementation and capacity development activities .....	146
ANNEX 6: Submission form for topics for Standards and Implementation .....	150
ANNEX 7: List of Implementation and Capacity Development Guides and Training Material .....	154
ANNEX 8: List of adopted International Standards for Phytosanitary Measures (ISPM) .....	156

## List of abbreviations

APPPC	Asia and Pacific Plant Protection Commission
CAHFSA	Caribbean Agriculture Health and Food Safety Agency
CBD	Convention on Biological Diversity
CDC	Capacity Development Committee
CP	Contracting Parties
CPM	Commission on Phytosanitary Measures
EPPO	European and Mediterranean Plant Protection Organization
FAO	Food and Agriculture Organization of the United Nations
IAEA	International Atomic Energy Agency
IC	Implementation and Capacity Development Committee
ICPM	Interim Commission on Phytosanitary Measures
IFU	Implementation Facilitation Unit
IPP	International Phytosanitary Portal
IPPC	International Plant Protection Convention
ISPM	International Standard for Phytosanitary Measures
NAPPO	North American Plant Protection Organization
NPPO	National Plant Protection Organization
OCS	Online Comment System
OIE	World Organization for Animal Health (Office International des Épidémiologies)
ORS	Online Registration System
PCE	Phytosanitary Capacity Evaluation tool
ROP	Rules of Procedure
RPPO	Regional Plant Protection Organization
SPG	Strategic Planning Group (formerly called SPTA)
SPS	Sanitary and Phytosanitary Agreement
SPTA	Strategic Planning and Technical Assistance (now called SPG)
TOR	Terms of Reference
ICD	Implementation and Capacity Development

## INTRODUCTION

This Procedure Manual includes all relevant Implementation and Capacity Development procedures that have been approved or updated prior to and including the November 2018 Implementation and Capacity Development Committee meeting.

Contracting Parties (CPs) to the International Plant Protection Convention (IPPC) agree to promote the provision of technical assistance to contracting parties, as per the Article XX of the IPPC<sup>1</sup>. The Commission on Phytosanitary Measures (CPM), the governing body of the IPPC, meets annually to review the state of plant health in the world and provide guidance for standard setting; implementation and capacity building; as well as to provide governance to the functioning of the IPPC Secretariat.

This manual presents information and approved/ adopted procedures to help with Implementation and Capacity Development activities

One of the main objective of the IPPC Secretariat is to facilitate the implementation of the Convention, International Standards for Phytosanitary Measures (ISPMs) and CPM Recommendations. In particular, the Convention encourages support to developing countries in order to build their capacity to improve the effectiveness of their National Plant Protection Organizations (NPPOs) and increase the potential for them to realize the benefits of food security, safe trade and environmental protection. The Convention also encourages participation in Regional Plant Protection Organizations (RPPOs) as the basis for cooperation in achieving the aims of the IPPC at the regional level.

### NOTE TO READER:

Blue texts indicates information that was developed and is maintained by the Secretariat.

Black text is all adopted or approved and the footnote indicates the source.

Green boxes with white text indicate place holders for text that is still under development

<sup>1</sup> International Plant Protection Convention (November 1997)  
[https://www.ippc.int/static/media/files/publications/en/2013/06/03/13742.new\\_revised\\_text\\_of\\_the\\_international\\_plant\\_protection\\_201304232117en.pdf](https://www.ippc.int/static/media/files/publications/en/2013/06/03/13742.new_revised_text_of_the_international_plant_protection_201304232117en.pdf)



## 1. IMPLEMENTATION AND FACILITATION UNIT OF THE IPPC SECRETARIAT

The Implementation and Facilitation Unit (IFU) of the IPPC Secretariat was established to facilitate the implementation of the IPPC, ISPMs and CPM Recommendations and to help build capacity of CPs.

The work of the IFU, is guided by the IPPC Strategic Framework, National Capacity Development Strategy and priorities set by the CPM. The IPPC Implementation and Capacity Development Committee (IC) oversees activities related to IC topics. The annual Work Plan of the IFU is approved by the Secretary of the IPPC and is then submitted to the Bureau and CPM as well it is shared with the IC.

The main area of activities that the IFU facilitate are:

- To build and manage a strong team of dedicated professionals to implement the IFU work plan
- Develop an annual IFU work plan for approval
- Organize IC and IC Sub-Group meetings and related activities
- Manage projects
- Manage the development, maintenance and application of the Phytosanitary Evaluation Tool (PCE)
- Oversee the development of guides and training materials
- Organize global and regional workshops and training
- Cooperate with the Standard Setting Unit and develop a joint IC-SC work plan for managing the Call for Topics: Standards and Implementation process,
- Publish reports, guides and other communication material
- Facilitate calls, news, announcements
- Coordinate the Technical Consultation among RPPOs and the IPPC Regional Workshops
- Maintain, manage and keep updated web-based information
- Contribute to the governance of the IPPC including CPM, Bureau and Strategic Planning Group (SPG)
- Contribute to the collective management and functioning of the IPPC Secretariat

A staff chart of current staff working in this IFU is posted on the IPP<sup>2</sup>

The annual work plan for the IFU is also posted on the IPP<sup>3</sup>

### 1.1 Managing Communications and web-based information

#### 1.1.1 Publications

The IFU has set its yearly communication plan and procedures for production and clearance. A clear procedure has been set for the production and clearance of news item, publications (brochures, factsheets, etc.), announcements, calls, the IFU dedicated webpages on the IPP, certificates, reports and chronicles.

#### 1.1.2 Implementation and Capacity Development web information

The former Phytosanitary Resources Page ([www.phytosanitary.info](http://www.phytosanitary.info)) has been removed and resources are in the process of being migrated to the Phytosanitary Portal ([www.ippc.int](http://www.ippc.int)). A team of

<sup>2</sup> Link to IFU staff chart: <https://www.ippc.int/en/publications/85686/>

<sup>3</sup> Link to IFU work plan: <https://www.ippc.int/en/publications/85803/>

IC members is in the process developing a policy for Implementation and Capacity Development (ICD) web resources.

The International Phytosanitary Portal (IPP) serves as a tool to share and exchange relevant information with the IPPC community and provide information to the public. The IPP includes tools to facilitate registration to meetings.

The IPPC Secretariat uses an Online Registration System (ORS) for participants to confirm their participation in the meetings and their contact details. Participants are requested to register their participation through the ORS from the link provided by e-mail.

Meeting documents are posted in the restricted work area for the meeting on the IPP (to access this area, it needs to login on to the IPP). The work area also provides access to a forum and a tool for conducting polls to enable the IC to conduct discussions and make decisions by electronic means (see 6.8 e-decisions).

The web pages related to implementation and capacity development are managed by the IFU with the date of update and contact's name and email address are indicated on each page to ensure to keep the pages up to date.

It is important to differentiate between phytosanitary technical resources developed under the auspices of the IPPC Secretariat and contributed resources. The intention is to make both of these types of resources freely accessible to IPPC contracting parties, plant health professionals and the public.

Guides and training materials (including e-learning courses) are developed under the auspices of the IPPC Secretariat. They follow a process established by the IC. Materials developed under the auspices of the IPPC secretariat are reviewed by IC members and approved by the IC to ensure they are compliant with the provisions of the IPPC and in line with international standards for phytosanitary measures (ISPMs).

Contributed Resources are collected phytosanitary technical resources from the world's plant protection community which are reviewed by the IC and shared on the IPP. Contributed resources are also reviewed by IC members and approved by the IC to ensure they are compliant with the provisions of the IPPC and in line with international standards for phytosanitary measures (ISPMs). Some of them (diagnostic protocols, specific pest control manuals, pest information and phytosanitary risk analysis (PRA)) are posted without review following the below Criteria for posting phytosanitary resources on the IPP.

#### **Criteria for posting phytosanitary resources on the IPP<sup>4</sup>**

- 1) On the use of language :
  - Key words/flags to be taken into account for review are: Standards, guidelines, recommendations.
  - The resources can be proposed in any language; however less used languages are going to have less priority. Priority should be given to UN languages (Arabic, Chinese, English, French, Russian and Spanish). In the process of review of non-UN languages, in-kind translation services could be used by the IFU.
  - A general disclaimer is going to be added to contributed resources page as follows: Resources on this page are not intended to be interpretations of ISPMs and terminology used may not be consistent with ISPM 5. Unless otherwise indicated resources, or pest distributions contained within them are not endorsed/adopted/agreed by the CPM nor developed under the auspices of the IPPC Secretariat.
- 2) On the criteria for suitability of technical resources to be considered by the IC members when reviewing contributed materials:

<sup>4</sup> Agreed by IC 2019-05 see Appendix 15 to IC report.

Suitable	Unsuitable
Assisting with the implementation of core IPPC provisions (obligations, rights and responsibilities) and ISPMs	Incompatible with the provisions of the IPPC text and ISPMs
Usefulness and relevance of information for NPPOs: <ul style="list-style-type: none"> <li>- Applicability to the implementation of specific ISPMs</li> <li>- Relationship with the areas of the IPPC Strategic Framework and National Phytosanitary Capacity Development Strategy</li> <li>- Support for implementing core functions of the NPPO</li> <li>- Practicality of the material</li> </ul>	Non-ISPMs that could create confusion
Potentially globally applicable	Resources endorsed, approved or adopted by the CPM
Is IC reviewed	Detection of an infringement of copyright
Date of publication	Resources subject to confidentiality agreements, unless the parties agree to its publication
Format of the resource (Link, pdf ...)	Resources (except link) subject to frequent update
Regional Standards on Phytosanitary Measures, Diagnostic protocols and other documents approved by RPPOs	Resources published or intended to be published in journals and easily accessible
Phytosanitary Treatments	Resources addressing other SPS area

## 3) On operational aspects:

- Any resource reviewed and noted by other IPPC Subsidiary bodies (not the IC) is automatically posted and the coordination responsibility relies in the pertinent subsidiary body (subject to meet suitability criteria for publication in the phytosanitary resources page).
- The IC may seek advice from other Subsidiary Bodies regarding resources submitted.
- PRA documents, bilateral agreements, comprehensive diagnostic resources, pest factsheets and specific pest control manuals are not subjected to review by the IC and are directly posted in the page.
- The IPPC Secretariat will pre-review videos to consider if they need to be submitted for IC review.
- The IPPC Secretariat is going to propose a priority list for review as per IC request based on the CPM priorities.

## 4) Prioritization of review:

- The resources addressing topic areas related to IPPC Technical Resources (IPPC Guides and training materials) and CPM priorities
- The resources able to be applied by a wide range of NPPOs should be given priority over ones only applicable in specific NPPOs or regions.

## 5) Procedures of the IC to review resources:

- Among the resources contributed, the Secretariat selects five resources in line with the prioritization of review and they are reviewed by the IC with one month deadline.
- In the case where all IC members agree suitability of resources, they would be posted on the IPP as contributed resources.
- In the case where at least one IC member considers a resource unsuitable and/or requests further review, the IC lead for contributed resources will initiate a discussion process by

electronic means involving the whole IC. If consensus is not reached, the resource should not be posted.

- When requested, a reason for not posting or removing a resource should be given to proposers, based on the established criteria, including information on the possible process for revisiting the application.

The review process above is being conducted regularly.

## 1.2 Managing the application of the Phytosanitary Capacity Development tool

A group of IC members and PCE experts are developing a strategy as well as policies and procedures for managing the PCE, and once agreed by the IC, this information will be inserted here. .

The development of the PCE itself, the conditions for its implementation in countries has been a long standing and progressive process supported by countries. The PCE tool provides huge benefits to countries and the IPPC Secretariat considers the improvement and implementation of this tool a priority. The IC is currently in the process a strategy for the PCE tool to consider how to integrate it in relevant strategies and work programmes, how to further improve and promote the tool and how to mobilize resources to conduct further PCEs. This strategy should be drafted in the course of 2018 with inputs from the IC, Bureau, SC, SPG, TC-RPPO and relevant experts.

### 1.2.1 Phytosanitary Capacity Evaluation Strategy for 2020-2023<sup>5</sup>

#### *Introduction*

The PCE originally started as a pilot project developed by New Zealand in 1999 with the aim to assist countries to develop a national plan to improve their phytosanitary system and to justify requests for technical assistance.

In subsequent years the PCE was updated and implemented in the framework of projects, including the development of an on line version. The PCE is designed to help countries identify both strengths and weaknesses in their phytosanitary systems and to then develop a national phytosanitary capacity building strategy and prioritize actions to be taken to correct gaps. The PCE may be used to strengthen national phytosanitary systems including enhanced planning, management and leadership development, revision of phytosanitary legislation and related legal instruments, etc. Furthermore, many donors request the application of the PCE as a previous step that conditions fitness for funding projects proposals.

As of 2019, the PCE has been implemented in over 70 countries around the World.

#### **Vision**

Countries are empowered to continuously improve their phytosanitary systems to prevent the introduction and spread of pests.

#### **Strategic objectives**

- Phytosanitary Capacity Evaluation has been widely used by member countries to understand strengths and weaknesses and develop plans to address capacity deficiencies.
- The IPPC Secretariat is resourced to help countries access assistance to address phytosanitary capacity needs.

#### **Key results**

1. Countries, donors and development organizations are aware of the PCE and understand the benefits arising from its application;

<sup>5</sup>As approved by May 2019 IC, Appendix 11

2. Long-term sustainable funding is in place to support the maintenance and administration of the PCE and resources are mobilized to support the application of the PCE;
3. The PCE software and platform are reliable, effective and easy to use;
4. The PCE Tool is revised and updated regularly and new modules and strategic planning tools are added as needed (e.g. environmental module, implementation follow up tool);
5. A strong network of phytosanitary expertise is available to facilitate the application of PCEs;
6. The Monitoring and Evaluation framework is used to measure outcomes from the application of PCEs.

### *Key results of the PCE Strategy 2020-2030*

Key Results	2022	2025	2030
<b>1. Countries, donors and development organizations are aware of the PCE and understand the benefits arising from its application</b>	<p>A PCE communications plan is drafted.</p> <p>Communications products (factsheets, videos, presentations, etc.) are developed and published as per communications plan.</p> <p>An assessment is undertaken to maintain the integrity of the PCE Tool (e.g. copyright).</p> <p>A standing point is introduced to the CPM agenda for countries to report on PCE applications.</p>	<p>Communications products (factsheets, videos, presentations, etc.) are developed and published as per communications plan.</p> <p>Annual country reporting of PCE application are held at CPM</p>	<p>Communications products (factsheets, videos, presentations, etc.) are developed and published, as per communications plan</p> <p>Annual country reporting of PCE application are held at CPM.</p>
<b>2. Long-term sustainable funding is in place to support the maintenance and administration of the PCE and resources are mobilized to support the application of the PCE</b>	<p>The IRSS table of donors is updated.</p> <p>A resource mobilization plan is drafted</p> <p>Mechanisms for funding PCEs is explored</p> <p>An IPPC trust fund for the application of PCEs is established</p> <p>Rules of procedures for accessing the IPPC Trust Fund on PCEs are established</p> <p>Discussions are held with donors.</p>	<p>The IRSS table of donors is updated.</p> <p>The resource mobilization plan is implemented.</p>	<p>The IRSS table of donors is updated.</p> <p>The resource mobilization plan is fully implemented.</p>

<b>3. The PCE software and platform are reliable, effective and easy to use</b>	<p>A study on IT solutions for the PCE is drafted.</p> <p>The PCE software and platform are fully functional (i.e. stakeholders' analysis, SWOT, problem analysis and logical framework).</p>	<p>Updates are integrated to the PCE Tool as necessary (as per 4 and 5).</p>	<p>Updates are integrated to the PCE Tool as necessary (as per 4 and 5).</p>
<b>4. The PCE Tool is revised and updated regularly and new modules and strategic planning tools are added as needed (e.g. environmental module, implementation follow up tool)</b>	<p>A Baseline Survey is launched to get feedback from all previous PCE users on modules and strategic planning tools to be improved or added into the PCE.</p> <p>Working groups or e-forums are established to revise or develop new modules and tools to address identified needs.</p> <p>An action plan on modules and tools to be revised and/or added is developed.</p>	<p>Routine survey of all countries that have applied the PCE during the previous calendar year is launched to get feedback on the modules.</p> <p>The action plan on modules and tools to be revised and/or added is implemented through working groups or e-forums.</p>	<p>Routine survey of all countries that have applied the PCE during the previous calendar year is launched to get feedback on the modules.</p> <p>The action plan on modules and tools to be revised and/or added is fully implemented through working groups or e-forums.</p>
<b>5. A strong network of phytosanitary expertise is available to facilitate the application of PCEs</b>	<p>Five trainees who followed the initial theoretical PCE facilitators training are accredited.</p>	<p>A training course for new PCE facilitators is set and delivered.</p> <p>Training on the updated PCE Tool is developed and delivered to current PCE facilitators (virtual or face-to-face) (as required).</p>	<p>A training course for new PCE facilitators is set and delivered on a regular basis.</p> <p>Training on the updated PCE Tool is delivered to all current PCE facilitators (virtual or face-to-face) (as required).</p> <p>A functional network of PCE facilitators is in place to share experiences and advocate for the PCE.</p>
<b>6. The Monitoring and Evaluation framework is used to measure outcomes from the application of PCEs</b>	<p>The IPPC Secretariat M&amp;E framework measuring global impacts of PCE applications is developed.</p>	<p>The M&amp;E framework is used to report on PCE applications and outcomes.</p>	<p>The M&amp;E framework is used to report on PCE applications and outcomes.</p>

### 1.3 Managing the development of guides and training materials

The strategy and the procedure for the development of guides and training materials will set an open, transparent and inclusive documented process for the development and update of IPPC guides and training materials to maximize resources and ensure high quality, consistent tools are produced.

### 1.3.1 Strategy for the Development of IPPC Guides and Training Materials<sup>6</sup>

#### I -Objective of the Strategy:

The International Plant Protection Convention (IPPC) implementation and capacity development guides and training materials<sup>7</sup> are tools that guide and assist in the implementation of the IPPC, ISPMs and CPM-R through providing:

- Accurate and easy to understand technical information
- Best practices to facilitate the establishment and operation of national phytosanitary systems
- A basis for countries, NPPOs and relevant stakeholders, to develop national strategies, policies, legislation, guides, SOPs, training materials and courses
- A basis for building national phytosanitary capacities.

#### II - Guiding principles for the development of IPPC implementation and capacity development guides and training materials are:

- **Reliability:** compliance with the IPPC, ISPMs and CPM-R and technical accuracy monitored through the incorporation of best practices and peer review
- **Integration:** information is presented in an integrated manner to support implementation and capacity development and improve national phytosanitary systems
- **Efficiency:** materials are easily accessible and are presented logically
- **Continual improvement and updating:** information is updated as per established timeline taking into account feedback provided by users or through the monitoring and evaluation framework of the IPPC Secretariat
- **Standardization and consistency:** a unified, simple and consistent language is used in all materials. Established templates are followed.
- **Sustainability:** the development of IPPC implementation and capacity development guides and training materials is supported by adequate and appropriately trained IPPC Secretariat staff with the required levels of competency and access to adequate resources, including funds
- **Transparency:** an open, transparent and inclusive documented process is followed to assist in the development of high quality and consistent guides and training
- **Workflow:** standard operating procedures are developed, followed and continuously improved

<sup>6</sup> Approved by IC 2018-11 see Appendix 15 to report

<sup>7</sup> IPPC guides and training materials - guides, training materials and courses, eLearning, standard operational procedures (SOPs) and etc.

### 1.3.2 Process for the Development of IPPC Implementation and Capacity Development Guides and Training Materials<sup>8</sup>

#### I – Objective:

- Outline stages, methods and processes to develop globally applicable IPPC implementation and capacity development guides and training materials<sup>9</sup>.
- Define roles, responsibilities and involvement of the IPPC Secretariat, Commission on Phytosanitary Measures (CPM), Implementation and Capacity Development Committee (IC), Standards Committee (SC) and Strategic Planning Group), national plant protection organizations (NPPOs), regional plant protection organizations (RPPOs), other relevant organizations and selected phytosanitary experts in the development process.
- Ensure that outputs and outcomes of the Phytosanitary Capacity Evaluation (PCE) tool, contributes to the development of guides and training materials.
- Ensure the development of guides and training material is guided by the Framework for Standards and Implementation, the IPPC Community Monitoring and Evaluation Framework (M&E) and the outcome of the Call for Topics for: Standards and Implementation (adopted by the CPM)
- Ensure that high quality, consistent IPPC guides and training materials are developed through an open, transparent and inclusive documented process.

#### II - Scope

- [1] Describe the process for the development and presentation of implementation and capacity development guides and training materials, developed under the auspices of the IPPC Secretariat.

#### III - Development Stages

##### 3.1 Overview

- [2] The development of IPPC guides and training materials follows the stages below:

1. Topic selection
2. Development of an Outline
3. Establishment of the working group
4. Development of the product
5. Publication and language versions
6. Periodic update

##### 3.2 Description of stages

###### 1. Topic selection

- Topics for the development and/or revision of IPPC guides and training materials are selected from the submissions to the Call for Topics: Standards and Implementation as per CPM

---

<sup>8</sup> Approved by IC 2018-11 see Appendix 16 to report

<sup>9</sup> IPPC guides and training materials - guides, training materials and courses, eLearning, standard operational procedures (SOPs) and etc.



established procedures<sup>10</sup>. All submissions for topics are posted on the International Phytosanitary Portal.

- Submissions for topics should be accompanied by a draft Outline of the guide and/or training material that defines its scope and purpose or include an already developed draft for a specific guide and/or training material. A literature review and justification that the proposed topic meets the CPM-approved criteria for topics, as well as commitment for resources to support the development of materials (non-obligatory) would ideally be included.
- Topics could be submitted by NPPOs and RPPOs through the Call for Topics. In exceptional circumstances, the IC or SC may also submit topics.
- The CPM considers the Task Force on Topics recommendations and decides which topics will be added to the list of topics.

## 2. Development of an Outline

- The IPPC Secretariat considers CPM and TFT comments and revises the draft Outline if needed and sends it to NPPOs and RPPOs for consultation.
- The IC nominates an IC lead to facilitate the development of the material.
- The IC, at its May meeting, reviews and if needed, revises the draft Outline considering consultation comments and approves the Outline. The IC also develops criteria for the selection of experts for the guide or training material.
- The IC approved Outline is posted on the IPP.
- The IPPC Secretariat issues a call (through the IPP) for submission of any existing relevant materials (Call N1).
- Based on the information collected from Call N1, the IPPC Secretariat and the designated IC lead draft a work plan (WP) that includes information about the proposed timeline, meetings, venues and tasks. A draft implementation plan is also drafted to identify activities (training events, workshops, symposia, etc.) and timeline for implementation, *inter alia* communication and public awareness activities. The IC reviews WP and implementation plan through eForum and provides comments.
- The IPPC Secretariat issues a call, through the IPP (Call N2) for funds for the development of the approved topics considering the work plan and implementation plan.
- Once funds have been secured, the Secretariat issues a call for nominations of experts, through the IPP (Call N3), to draft, revise and/or review and edit the proposed material. Experts are nominated by NPPOs, RPPOs and relevant scientific or regulatory institutions.
- When nominations are submitted, they must be accompanied by a summary of expertise, an up to date CV and a signed Statement of Commitment.

## 3. Establishment of the working group (WG)

- The WG should be composed of experts with relevant technical and practical expertise in the subject matter and have a wide geographical representation from both developing and developed countries to ensure that the material developed is globally applicable and reflects best practices from all over the world. It is advisable to include at least one member of the Expert Working

<sup>10</sup> Link to the Process of the Call for topics: Standards and Implementation: <https://www.ippc.int/en/publications/85794/>

Group involved in the development of the ISPM on the same topic, to ensure a coordinated approach and collaboration between those two groups.

- WG experts are selected from submissions received from Call N3 by the IPPC Secretariat, in consultation with the IC lead using criteria specified by the IC. The IPPC Secretariat informs the IC on selection results and the IC may comments on the composition of the WG group through an eForum, IC comments are considered by IPPC Secretariat and IC lead.
- The WG can recommend the addition of experts at any stage if gaps in the expertise are identified; additions are subject to confirmation by the IPPC Secretariat in consultation with the IC lead.
- Where appropriate, the WG can appoint alternate experts with relevant specialties as deemed necessary and in consultation with the IPPC Secretariat and the IC Lead. The IPPC Secretariat keeps the IC informed through updates.
- The IPPC Secretariat will cover travel costs and daily expenses of the WG members applying the *Criteria used for prioritizing participants to receive travel assistance to attend meetings organized by the IPPC Secretariat* that was in place on the date the Statement of Commitment was signed.<sup>11</sup>
- The WG members are expected to actively contribute both in between and at meetings (both virtual and face-to-face) and respond to email communications (including forum discussions) in a timely manner unless there are exceptional circumstances.

#### 4. Development of the product

- The WG should review and revise the Outline and the work plan, as needed, in consultation with the IC lead and IPPC Secretariat and the IC is informed by the IPPC Secretariat in their update.
- The WG members are responsible for most of the writing, however if financial resources or in-kind contributions allow it and it is deemed necessary, additional authors, with particular expertise, may be requested to write certain parts of the material.
- The WG should reach consensus on the content through consultations and discussions.
- The IPPC Secretariat, IC and SC members should be invited to provide comments on the draft. The duration of the review period is determined by the WG. The WG reviews comments and revises the draft based on the comments as appropriate.
- The product is professionally edited.
- Professional editing might be undertaken before the peer review as needed.
- The product is peer reviewed.
- The layout, presentation and style should follow the IPPC style guide.<sup>12</sup>

<sup>11</sup> As recommended by the second session of the Interim Commission on Phytosanitary Measures (1999), whenever possible, those participating in IPPC activities voluntarily fund their travel and subsistence to attend meetings. Participants may request financial assistance, with the understanding that resources are limited and the priority for financial assistance is given to developing country participants. Requests for financial assistance will be assessed by the *Criteria used for prioritizing participants to receive travel assistance to attend meetings organized by the IPPC Secretariat* that is in place at the time this statement of commitment (<https://www.ippc.int/publications/criteria-used-prioritizing-participants-receive-travel-assistance-attend-meetings>). The statistical information in place at the time of signing this statement of comment will be applied for the duration of the term of membership in the relevant IPPC body.

<sup>12</sup> Link to IPPC Style Guide: <https://www.ippc.int/en/publications/132/>

- Technical resources should be written clearly in plain English. A review by non- phytosanitary individuals prior to publication is advisable.

## **5. Publication and language versions**

- The publication of guides and training materials is led by the IPPC Secretariat in collaboration with relevant service providers as deemed necessary and funds allow.
- The final version of the guide or training material will be posted on the IPP.
- Electronic means for distributing the materials will be also used. The IPPC Official Contact points should be notified when electronic versions are available and should be encouraged to make use of electronic versions wherever possible.
- The language versions are to be produced as financial resources allow. Contracting parties, RPPOs, donors and international organizations are encouraged to provide in-kind contributions or financial support for translations. The IPPC Secretariat staff, IC and SC members should make every possible effort to encourage translation of technical resources within the framework of other projects such as FAO, STDF or any other national, regional and international projects they are aware of.

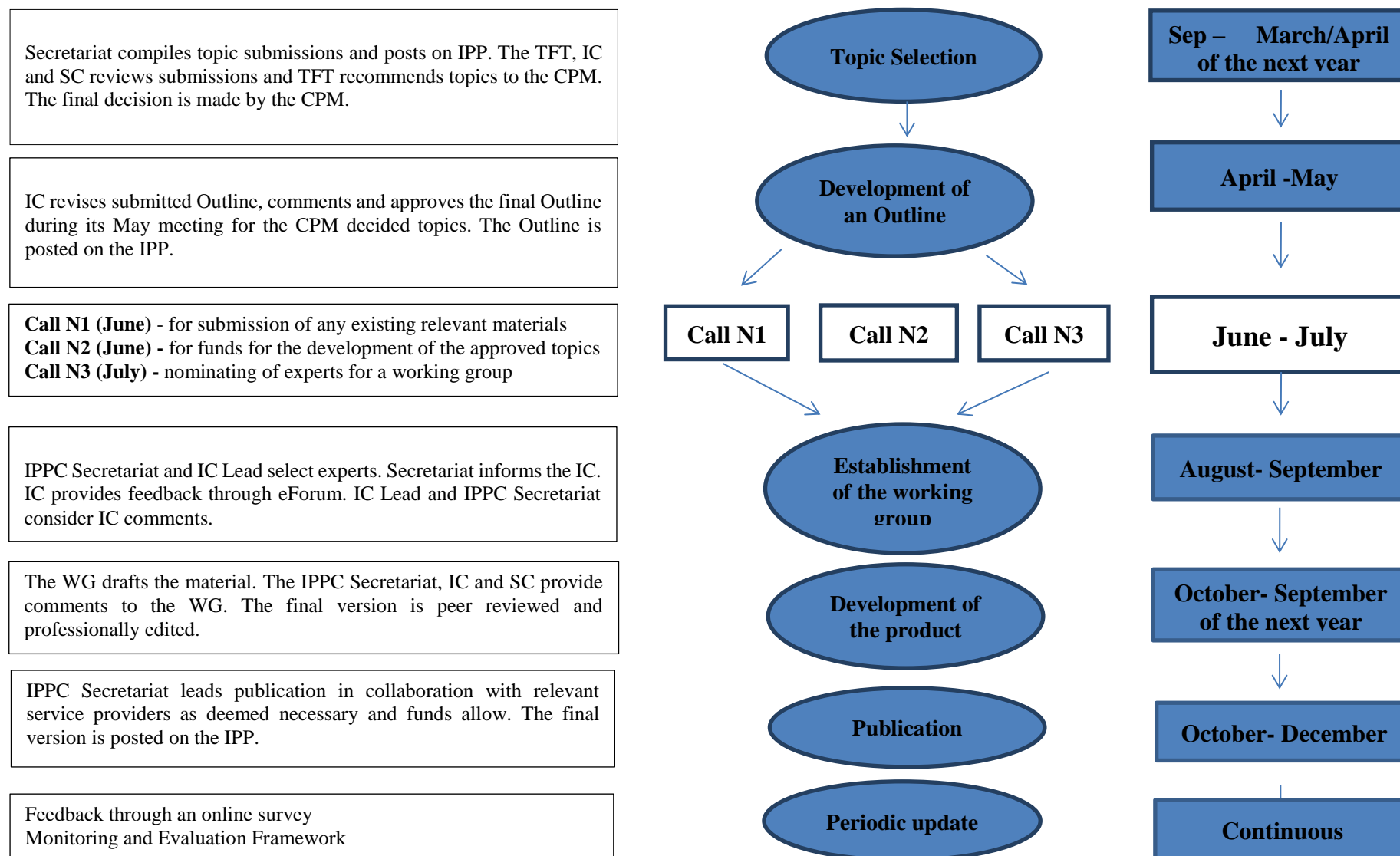
## **6. Periodic update**

- The update of materials is conducted based on:
  - o feedback provided by users through an online surveys or
  - o information collected through the IPPC Community's Monitoring and Evaluation Framework

## **IV – Financial considerations**

- Financial resources for the development of IPPC technical resources may come from :
  - o funds made available to the IFU of the IPPC Secretariat for the work programme (from regular programme funds or specific trust funds and/or
  - o earmarked resources contributed to the IPPC Multi-donor trust fund for the development of the IPPC technical resources contributed by contracting parties, donors and international organizations.
- Partners and donors are encouraged to make contributions for the development of IPPC technical resources as per topics and priorities set by the CPM.
- Whenever possible, WG members should voluntarily fund their travel and subsistence to attend WG meetings.

### Flowchart of the Process for the Development of IPPC Guides and Training Materials



## 1.4 Managing Projects

The IFU has several implementation projects of different nature in its portfolio and manages them in different ways:

- backstopping is provided to FAO projects having a phytosanitary component
- managing donors projects with guidance from the IC
- managing IPPC Secretariat projects from country contributions, mostly via the IPPC Multi-donor trust fund
- reviewing and ensuring synergies with projects being implemented by other organizations (e.g. IICA).

A template will be produced in the course of 2018 to report on projects in a consistent way. The IC will help ensure their relevance to the IPPC Secretariat activities, , promote them and help build synergies and avoid duplication. A summary of these projects will be posted on the IPP.

### 1.4.1 Strategy and process on how the IC reviews and analyses Implementation and Capacity Development projects<sup>13</sup>

#### 1. Strategy on how the IC reviews and analyses ICD projects

##### Purpose

The purpose and intent of the ‘Strategy on how the IC reviews and analyses ICD projects’ is to identify how to collect, consolidate and share implementation and capacity development (ICD) project information from CP’s, RPPO’s, the IFU, donors and implementing organizations in a centralized IC managed repository to promote global ‘best practice’ principles, maximize research and development investment, promote project synergies, minimize duplication and facilitate networking opportunities amongst plant health professionals.

##### Components of the strategy

The strategy encompasses the following activities:

1. Collect worldwide phytosanitary ICD projects information from CP’s, RPPO’s, IFU, donors and implementing organizations;
2. Analyse whether these projects have relevant technical resources (i.e. guides, training materials, tools), experts and best practices to be shared and promoted through the IC;
3. Review relevant technical resources, experts and best practices to be shared and promoted through the IC and make them available in a centralized IC repository;
4. Develop communication plans to promote and share the relevant technical resources, experts and best practices on ICD projects to maximize research and development investment, promote project synergies, minimize duplication and facilitate networking opportunities amongst plant health professionals.

#### 2. Process on how the IC reviews and analyses ICD projects

##### 2.1 Categorization of the different types of ICD projects

There are 6 different types of projects and the role of the IC and the updates to be made vary as detailed in Table 1.

Table 1: Role of the IC and processing of information for the different types of ICD projects.

<sup>13</sup> Agreed by IC 2019-05 see Appendix 14 to IC report.

Type of ICD project	Role of the IC	Accountability	Update prepared for November IC meeting	Project Reporting Template (annex 1)
1 <b>New ICD projects managed by IFU</b>	Review and recommend	To the donor	Concept note presented by the IPPC Secretariat to the IC to ensure that that new project is aligned with the IPPC strategic objectives, has strategic value and a competitive advantage	/
2 ICD projects <b>managed by IFU</b> for which <b>the IC is the steering committee</b> (e.g. STDF Beyond Compliance project)	Steering committee	To the IC and to the donor	Presented by the IPPC Secretariat to the IC for guidance  Virtual consultation as necessary	Filled in by the IC member assigned
3 <b>ICD projects managed by IFU</b> (e.g. IPPC China South South Cooperation)	Analyze	To the donor	Presented by the IPPC Secretariat to the IC for information	Filled in by the IC member assigned
4 ICD projects managed by other institutions for which IFU is providing <b>backstopping</b> (e.g. FAO projects)	Analyze	To the donor	Presented by the IPPC Secretariat to the IC for information	Filled in by the IFU as appropriate
5 ICD projects managed by other institutions in which an <b>IC member or observer is part of the project team</b> (e.g. STDF project on surveillance)	Analyze	To the donor	Presented by the IC member or observer in charge to the IC for information	Filled in by the IC member assigned
6 ICD projects managed by other institutions in which <b>no IC member or observer is part of the project team</b>	Analyze	To the donor	Presented by the IC member or observer in charge to the IC for information	Filled in by the IC member assigned

### Proposed IC Project Responsibilities

- **IC Project Review and Recommend** – the IC and relevant experts review a new project plan, proposal or concept note in detail against the IPPC Strategic Framework (2020-2030) and IPPC Framework for Standards and Implementation in order to evaluate and provide recommendations for endorsing the project.
- **Project Analysis** – Individual IC members examine the summary reports and detailed reports of ICD related projects to provide update reports in the form of presentations to the IC as part of November IC Meeting project reporting activities.
- **IC Project Steering Committee** – The key body of the project which is responsible for the oversight of governance and technical issues to ensure the successful delivery of the project outcomes and outputs. The IC Project steering committee will:
  - Ensure the project's scope aligns with the IPPC Strategic Framework (2020-2030) and the IPPC Framework for Standards and Implementation, and agreed requirements of the key stakeholder groups

- Provide those directly involved in the project with guidance on project governance and technical issues
- Ensure effort and expenditure are appropriate to stakeholder expectations
- Ensure that strategies to address potential threats to the project's success have been identified, costed and approved, and that the threats are regularly re-assessed
- Address any issue which has major implications for the project
- Keep the project scope under control as emergent issues force changes to be considered
- Reconcile differences in opinion and approach and resolve disputes arising from them
- Report on project progress to those responsible at a high level meetings such as Bureau, SPG and CPM.

## **2.2 Collect worldwide phytosanitary ICD projects information**

A call will be issued on the IPP every year in September by the IPPC Secretariat to collect worldwide phytosanitary projects from CP's, RPPOs, FAO offices, donors and implementing organizations.

This process does not intent to capture all phytosanitary projects in the world but is based on the good will of the contributors willing to share information on their projects.

The IPPC Secretariat will aggregate all information on projects received.

## **2.3 Analyse relevance of projects**

Following the call for projects, IC members and observers are assigned to individual projects to:

- coordinate with donors or implementing organizations to fill in the parts 1, 2 and 3 of the IC project reporting template;
- complete the parts 4 to 9 of the IC project reporting template;

The IPPC Secretariat will complete the project reporting template for the projects it is managing.

For new ICD projects, the IPPC Secretariat will present a project concept note to the IC who will review it to ensure the project is aligned with the IPPC strategic objectives, has strategic value and a competitive advantage. The project reporting template should not be filled as the information it requests would not be available.

## **2.4 Discuss and agree upon the relevance of the projects within the IC**

During the IC November meeting, the IC members and observers shall discuss, on the basis of the information provided in the project reporting template, the following:

- whether the project's technical resources are relevant to share;
- whether the project's experts are relevant to share;
- whether the project's successes and challenges are relevant to share;
- what action should be concretely taken to share the project's technical resources, experts and successes and challenges and what should be the IPPC network involvement;
- what are the targeted beneficiaries.

## **2.5 Review the technical resources, experts and successes and challenges of the projects by the IC**

The IC members will carefully review the technical resources (guides, training materials, tools, etc.), experts curriculum and successes and challenges of projects to consider whether these are consistent with the IPPC, its ISPMs and recommendations.

## 2.6 Communicate the technical resources, experts and successes and challenges of the projects

Once technical resources, experts and successes and challenges of projects have been reviewed by the IC, a clear and targeted communication plan should be developed by the IC member assigned to the project, as suggested in Table 2.

Table 2: action to be undertaken and stakeholders to be identified for information from a project.

Information from a project	Communication action to be taken	Stakeholders to be targeted
Technical resources (guides, factsheets, training material, tools)	Posted on the IPP as contributed resources	Specific regions: RPPOs, NPPOs, FAO Offices Specific organizations
Experts	Internal roster of experts	Specific regions: RPPOs, NPPOs, FAO Offices Specific organizations
Successes and challenges	IPP news CPM session on successes and challenges	IPPC Networks

This information will not be made available publicly but will remain internal documents used for the processing of information.

Technical resources will be reviewed by the IC and if deemed relevant posted as contributed resources on the IPP.

IC members should use their networks to promote the resources.



**IC project reporting template as part of the strategy and process on how the IC reviews and analyses ICD projects****Project Title:****Reporter: for IPPC Secretariat use****IC Member in charge: for IPPC Secretariat use****Project Code (if applicable):****Submitted Date:****IC PROJECT REPORTING TEMPLATE**  
(NOT TO EXCEED TWO PAGE)

To be filled in by the submitter	<b>1. Project Profile</b>	
	Recipient Region(s)/ Countries	
	Donor/ Resource Partner	
	IC Representative (if applicable)	
	IPPC Secretariat Representation (if applicable)	
	RPPO Representation (if applicable)	
	Collaboration / Participating Organizations	
	Project Budget (detailed funds and/or in-kind)	
	Project Timing	YYYY-MM – YYYY-MM
	<b>2. Project Scope and Relevance to the IPPC and main outputs (max 200 words)</b>	
To be filled in by the assigned IC member and revised by the IC		
	<b>3. Project Supporting Materials [e.g. hyperlinks]</b>	
	<b>4. List project technical resources (i.e. guides, training materials, tools) that could be useful and used by other stakeholders</b>	
	<b>5. Provide a list of project experts that could be recommended to other stakeholders and describe why</b>	

	<b>6. Describe successes and challenges that could be promoted for the benefit of other stakeholders</b>
	<b>7. List targeted beneficiaries</b> <i>[i.e. regions, countries, RPPOs, NPPOs and other institutions]</i>
	<b>8. List actions to be taken and describe IPPC network involvement</b> <i>[i.e. the technical resources to be reviewed by the IC; the experts curriculum to be reviewed by the IC; the successes and challenges of the project to be reviewed by the IC, possible project collaboration with the relevant IPPC governing bodies, subsidiary bodies or other committees].</i>
To be filled in by the assigned IC member and revised by the IC <u>once outputs have been reviewed by the IC</u>	<b>9. Communication plan: on the basis of answers to questions 7 and 8, develop a detailed and targeted communication plan</b> <i>[indicate communication actions to be undertaken and stakeholders to be targeted and means for doing so].</i>

**IC Project Review and Recommend** – the IC and relevant experts evaluate a project plan, proposal or concept note in detail against the *IPPC Strategic Framework (2020-2030)* and *IPPC Framework for Standards and Implementation* in order to evaluate and provide recommendations for endorsing the project.

**Analyse** – the IC members examine the summary reports and detailed reports of ICD related projects to provide update reports to the IC as part of November IC Meeting project reporting activities.

**IC Project Steering Committee** – IC body responsible for the oversight of business and technical issues associated with IC projects that are essential to the ensuring the delivery of the project outputs and the attainment of project outcomes.

The IC Project Steering Committee is the key body within the IC which is responsible for the governance and technical issues associated with the project that are essential to the ensuring the delivery of the project outputs and the attainment of project outcomes. This includes approving the budgetary strategy, defining and realising outcomes, monitoring risks, quality and timelines, making policy and resourcing decisions, and assessing requests for changes to the scope of the project.

Take on responsibility for the project's feasibility, business plan and achievement of outcomes

Ensure the project's scope aligns with the agreed requirements of the key stakeholder groups

Provide those directly involved in the project with guidance on project governance and technical issues

Ensure effort and expenditure are appropriate to stakeholder expectations

Ensure that strategies to address potential threats to the project's success have been identified, costed and approved, and that the threats are regularly re-assessed

Address any issue which has major implications for the project

Keep the project scope under control as emergent issues force changes to be considered

Reconcile differences in opinion and approach and resolve disputes arising from them

Report on project progress to those responsible at a high level meetings such as Bureau, SPG and CPM.

The components of the project that are to be monitored by the Steering Committee are documented in a Project Business Plan. Once developed, the plan defines the project scope and the Steering Committee as a whole must own the document.

## 1.5 Role of regional plant protection organizations in implementation and capacity development

Article IX of the IPPC recognizes the role of RPPOs as coordinating bodies in the area they cover.

A procedure to recognize a RPPO has been set by the IPPC in accordance with FAO rules.

Roles and functions of RPPOs in relationship with the CPM have been revised and adopted by CPM-12 in 2017<sup>14</sup>.

The IPPC Secretariat is in contact with specific RPPO as necessity arises.

<sup>14</sup> Roles and functions of RPPOs in their relationship with CPM:

[https://www.ippc.int/static/media/files/publication/en/2017/03/11\\_CPM\\_April\\_2017-RPPOs\\_RoP\\_Rev\\_01-2017-03-13\\_inl9tPB.pdf](https://www.ippc.int/static/media/files/publication/en/2017/03/11_CPM_April_2017-RPPOs_RoP_Rev_01-2017-03-13_inl9tPB.pdf)

## 1.6 Coordinating the IPPC Regional workshops

Regional technical consultations on draft ISPMs have been organized annually since 2005 in seven regions, involving a large number of countries. The content and focus of these regional workshop evolved over the years at the request of countries.

The IPPC Secretariat has standardized the organization of these regional workshop to ensure both and flexibility in each region.

The CPM Bureau approved Guidelines for IPPC Regional Workshop with clearly defined roles and responsibilities of the different parties involved as below.

SOPs were agreed upon and are implemented at the IPPC Secretariat level for the coordination and organization of the regional workshops.

### Guidelines for IPPC Regional Workshops<sup>15</sup>

The objectives of IPPC regional workshops are:

- 1) To analyze and prepare comments on draft ISPMs;
- 2) To build phytosanitary capacity and raise awareness on various activities of the IPPC Community; and
- 3) To provide a forum to exchanging experiences and ideas at the regional level.

The workshop is normally for three days and the agenda includes the following:

- 1) IPPC Secretariat updates;
- 2) Discussion and formulation on draft International Standards for Phytosanitary Measures (ISPMs) for first and second consultation;
- 3) Phytosanitary capacity and raising awareness on all activities related to the IPPC community and exchanging regional experiences.

Some regions may include additional day(s) for a field visit and/or to discuss issues of regional importance.

#### General:

Each IPPC Regional Workshop has organizational, logistical and funding peculiarities and efforts should be made to find a balance between addressing global and regional issues.

The organization of the workshops include the following:

- 1) A regional workshop organizing committee should be established for each workshop and should be composed of the IPPC Secretariat, a representative from the Standards Committee (SC) and the Implementation and Capacity Development Committee (IC) and co-organizers which are representatives of RPPO(s), FAO regional and sub-regional offices, hosting country and any other relevant organizations supporting the workshop;
- 2) Each organizing committee and participant are encouraged to make efforts to help secure funding for their workshop;
- 3) These workshops will be named “IPPC Regional Workshop” for consistency and to help ensure the globally visibility of the IPPC. When other governments or institutions provide substantial financial support, their name may be inserted after IPPC, e.g. IPPC-[Institution’s Name] Joint Regional Workshop.
- 4) Efforts should be made to ensure that at least one SC and one IC member are present.
- 5) Workshops comments on draft ISPMs should be submitted through the Online Comment System (OCS).

---

<sup>15</sup> Agreed by the CPM Bureau 2018-06 see Appendix 07 to report.

**Roles and responsibilities of the different parties involved:*****IPPC Contact Point:***

- 1) Nominates an individual(s) with the appropriate expertise to attend the workshop;
- 2) Mobilizes resources (full or at least partial) for the attendance of the designated participant;
- 3) Ensures that the participant selected to represent the NPPO in the workshop has analysed, before attending the workshop, the draft ISPMs and other documents and completed pre workshop exercises;
- 4) Ensures the NPPO's comments on draft ISPMs are entered into the Online Comment System (OCS) before the workshop;
- 5) If applicable, after the workshop, provides additional NPPO's comments on draft ISPMs to the IPPC Secretariat, by 30 September of each year or at least submits one general comment for each draft ISPM.

***Workshop participant:***

- 1) Mobilizes resources (full or at least partial) for his/her participation in the workshop;
- 2) Analyses draft ISPMs and other documents available and works towards agreed country comments, before attending the workshop;
- 3) Attends all sessions planned in the program of the workshop and participates actively in the discussions;
- 4) Provides comments on the draft ISPMs, and shares them within their region using the OCS before attending the workshop;
- 5) Practices using the OCS before attending the workshop. Guidelines on how to use the OCS are available at <https://www.ippc.int/en/online-comment-system>;
- 6) Conducts all pre-training activities and prepares all the requested information to be shared and discussed during the workshop;
- 7) Provides feedback to the workshop evaluation;
- 8) Shares information and results on the workshop within their NPPO after the workshop.

***Standard Committee Steward for draft ISPMs*** prepares a concise presentation on the draft ISPM explaining the key issues discussed during the development of the draft. This presentation should be provided to the IPPC Secretariat by the 15<sup>th</sup> of June.

***Standards Committee representative*** is designated to attend the workshop, as agreed by the SC. They deliver the presentations related to the draft ISPMs and participate in discussions related to the standard setting procedures.

***Implementation and Capacity Development Committee representative*** is designated to attend the workshop, as agreed by the IC. They deliver the presentation related to implementation and capacity development activities and exercises, and participate in discussions related to implementation and capacity development.

***A Chair and a rapporteur*** are to be elected by the participants. The role of the Chair is to facilitate discussions, the role of the rapporteur is to prepare the workshop report jointly with the Chair and the IPPC Secretariat. The report should be approved by the participants during or shortly after the meeting.

**Online Comment System (OCS) expert** is selected by the organizing committee. They are responsible to ensure that contracting parties provide comments through the OCS prior to the workshop, present and/or demonstrate how to best utilize the OCS, gather comments during the workshop and provide support to countries to submit comments after the workshop.

**Co-organizer:**

- 1) liaises with contracting parties to comment on the draft agenda;
- 2) provides the facilities needed for the workshop;
- 3) provides additional logistical arrangements, as agreed with the IPPC Secretariat;
- 4) provides funds or help mobilize resources;

**Resource person:** may be invited by the organizing committees, these includes Bureau members, stewards or experts from their regions or other regions and they may participate in discussions. A resource person should not influence discussions on regional issues, particularly comments on draft ISPMs.

**Observer:** the organizing committee may agree to invite observers from relevant international organizations and NPPOs outside the region. Observers should not influence discussions on regional issues, particularly comments on draft ISPMs.

**The IPPC Secretariat:**

- 1) Develops a draft agenda through a consultation process with the SC, IC and Technical Consultation of Regional Plant Protection Organizations (TC-RPPOs). Subsequently, a draft agenda is circulated within the IPPC Secretariat and to all regional workshop co-organizers for further consultation;
- 2) Establishes an organizing committee for each workshop;
- 3) Establishes strong collaboration with co-organizers in the regions and discusses all logistical and financial arrangements well in advance;
- 4) Provides templates and prepares relevant presentations, training material and videos;
- 5) Coordinates the overall organization of IPPC Regional Workshops. This requires a consistent coordination at the IPPC Secretariat level including joint work between all units of the Secretariat, and between administrative and professional staff;
- 6) Organizes internal meetings for all IPPC Secretariat staff to become familiar with the regional workshops presentations, as well as training on the use of the OCS;
- 7) Drafts invitation letters; regions may wish to send their own invitation letter, if so, a copy of their regional letter should be sent to the Secretariat. In addition, a list of intended recipients should be sent to the IPPC Secretariat to help ensure that all contracting parties from the region are invited (regardless of whether they are funded or not);
- 8) Templates and publishes the report on the IPP up to two months after the workshop;
- 9) Develops and publishes a news item about the workshop on the IPP no later than 2 weeks after the workshop;
- 10) Develops and delivers a survey to collect feedback from participants to be used for improving the content and organization of the workshops;
- 11) Provides a summary of the workshops and information from the evaluation to the Commission on Phytosanitary Measures.

## 1.7 Coordinating the Technical Consultation of the RPPOs (TC-RPPO)

Article IX of the IPPC recognizes the role of RPPOs as coordinating bodies in the area they cover and provides the provision for the organization of regular technical consultations for RPPOs.

The Technical Consultations of Regional Plant Protection Organizations (TC RPPOs) occurs annually with representatives from each RPPO and the IPPC Secretariat in attendance. There is a rotation of Chairs hosting the TC-RPPO. The agenda is jointly developed by the Chair of the previous and future TC RPPOs in consultation with the other RPPOs and the IPPC Secretariat.

The IPPC Secretariat takes notes and reviews these with the help of a designated rapporteur and assists the RPPO chosen to host the next TC-RPPO by facilitating the FAO processes. An official procedure to convene the TC-RPPO through the FAO protocol is underway since many years.

The IPPC Secretariat facilitates conference calls in between TC-RPPOs when needed and normally representatives of the RPPOs have a meeting on the margins of CPM facilitated by the Secretariat.

## 1.8 External Cooperation

CPM-09 (2014) considered a paper on the IPPC's Secretariat's different types of relationship and which organizations are entitled to these: partnership, cooperation<sup>16</sup>.

### 1.8.1 Liaison activities with research and educational institutions

The need to strengthen cooperation with research and education institutions has been highlighted during the SPG in 2013. The IFU is the lead for this activity.

Education activities are being conducted with the International Center for Advanced Mediterranean Agronomic Studies (CIHEAM). A 2 weeks intensive training has been organized for 3 years at the CIHEAM Bari entitled "Building phytosanitary capacities" for the students of the Integrated Pest Management Master programme as well as to NPPOs.

The IPPC Secretariat is considering to take a wider approach for education programme and will investigate other relevant training structures to liaise with.

### 1.8.2 Liaison activities with relevant organizations

The IPPC Secretariat liaises with various relevant organization. Some arrangements are more formal with a Memorandum of Understanding or Cooperation and others are more informal. The IPPC Secretariat maintains a web page on the IPP<sup>17</sup> that lists the organization we mainly cooperate with and in some cases; these organizations have a web page on the IPP that details our cooperation.

---

<sup>16</sup> CPM 2014/21 Rev 1. IPPC Secretariat's relationship with other organizations. [https://www.ippc.int/static/media/files/publications/2014/03/05/cpm\\_2014\\_21\\_rev1\\_ippcs\\_relationship\\_other\\_organizations\\_2014\\_03\\_05.pdf](https://www.ippc.int/static/media/files/publications/2014/03/05/cpm_2014_21_rev1_ippcs_relationship_other_organizations_2014_03_05.pdf)

<sup>17</sup> External Cooperation: <https://www.ippc.int/en/core-activities/external-cooperation/>

## 2. IMPLEMENTATION AND CAPACITY DEVELOPMENT COMMITTEE

To assist the CPM in addressing implementation and capacity development issues, CPM-12 (2017) established the Implementation and Capacity Development Committee (IC) and dissolved the previous Capacity Development Committee (IC).

The Implementation and Capacity Development Committee (IC) was established by CPM-12 (2017) to provide overall strategies and to oversee some of the work in this area that is assigned to them by the CPM. The IC held its first meeting in December 2017. Some of this work was previously carried out by the Capacity Development Committee which functioned between December 2012 and May 2017, when it was dissolved and its functions transferred to the IC.

The CPM sets priorities for the IC.

A list of IC members is updated and posted on the IPP<sup>18</sup>.

The list of IC Sub-group members is posted on the IPP [see sections below on each IC Sub-group].

A list of IC members supporting IC Sub-groups and IC teams is also posted on the IPP<sup>19</sup>

### 2.1 Terms of Reference of the IPPC Subsidiary Body Implementation and Capacity Development Committee – A Subsidiary Body of the CPM<sup>20</sup>

Note on interpretation, references to implementation mean implementation of the International Plant Protection Convention (IPPC), including standards, guidelines and recommendations adopted by the Commission on Phytosanitary Measures (CPM).

#### 1. Purpose

The IC develops, monitors and oversees an integrated programme to support the implementation of the IPPC and strengthen the phytosanitary capacity of contracting parties.

#### 2. Scope of the IPPC Implementation and Capacity Development Committee (IC)

The IC, under the guidance of the CPM, provides technical oversight of activities to enhance the capacities of contracting parties to implement the IPPC and meet the strategic objectives agreed by CPM. The IC:

- Identifies and reviews the baseline capacity and capability required by contracting parties to implement the IPPC.
- Analyses issues constraining the effective implementation of the IPPC and develops innovative ways to address impediments.
- Develops and facilitates delivery of an implementation support programme to enable contracting parties to meet and surpass the baseline capacity and capability.
- Monitors and evaluates the efficacy and impact of implementation activities and reports on progress which indicates the State of Plant Protection in the World.
- Oversees dispute avoidance and settlement processes.
- Oversees national reporting obligation processes.
- Works with the Secretariat, potential donors and the CPM to secure sustainable funding for its activities.

<sup>18</sup> Link to list of IC members: <https://www.ippc.int/en/publications/85670/>

<sup>19</sup> Link to IC webpage: <https://www.ippc.int/en/core-activities/capacity-development/capacity-development-committee/>

<sup>20</sup> Report from CPM-12 (2017) see Appendix 10 to report: [https://www.ippc.int/static/media/files/publication/en/2017/05/CPM-12\\_Report-2017-05-30\\_withISPMs.pdf](https://www.ippc.int/static/media/files/publication/en/2017/05/CPM-12_Report-2017-05-30_withISPMs.pdf)



### 3. Composition

- The IC is composed of twelve experts with relevant skills and experience in implementation of phytosanitary-related instruments and/or capacity development. The Bureau, taking account of the balance of skills and experience required, and geographical representation, selects and appoints the members.
- In addition, one representative from the regional plant protection organizations (RPPOs) and one from the Standards Committee (SC).

### 4. Functions

The IC has the following functions:

#### i) Technical work programme

- Identify and keep under review baseline capacity and capability required by contracting parties to implement the IPPC.
- Identify and propose strategies for contracting parties to enhance their implementation of the IPPC, including national reporting obligations, taking into account their specific capacities and needs.
- Review the Secretariat's analyses of contracting parties' challenges associated with the implementation of the IPPC.
- Based on an analysis of outputs from the above activities, recommend priorities to CPM.
- Identify and assess new technologies which could enhance implementation.
- Monitor and evaluate actions under the IPPC Strategic Framework, other related strategies, frameworks and work plan(s).

#### ii) Effective and efficient management of the IC

- Develop, agree and maintain a work plan in alignment with CPM priorities.
- Develop procedures and criteria for the production, oversight and approval of technical resources for implementation.
- Establish, dissolve and provide oversight of sub-groups, undertaking specific activities and tasks.
- Seek advice and/or input on matters relevant to its work programme from technical panels (through the SC) and other groups or organisations that assist the IPPC.
- Periodically review its functions, procedures and outcomes.
- Monitor and evaluate the effectiveness of its activities and products.

#### iii) Working with the Secretariat

- Develop and manage projects that contribute to achieving the implementation priorities agreed by CPM.
- Provide guidance on implementation and capacity development activities for inclusion in the Secretariat's work plan.
- Assess and prioritize for inclusion in the International Phytosanitary Portal (IPP) or the Phytosanitary Resources website, as appropriate, technical resources that are relevant for developing capacity to implement the IPPC.
- Promote dispute avoidance as an outcome of effective implementation.
- Oversee the dispute settlement process as required.
- Contribute to the development and maintenance of links with donors, partners and other public and private organizations concerned with implementation and capacity development in the phytosanitary area.

#### iv) Working with other subsidiary bodies

- Work in close collaboration with the SC to make standards setting and implementation complementary and effective.
- Review the Framework for Standards and Implementation annually and recommend changes to the CPM through the SPG.
- Work with other subsidiary bodies and RPPOs regarding areas of mutual interest.

v) Actions directed by CPM

- Contribute to the delivery of the IPPC Communications Strategy.
- Provide oversight of bodies that have been established by CPM and entrusted to the IC.
- Undertake other functions as directed by the CPM.
- Report to the CPM on its activities.

5. Relationship with the IPPC Secretariat

- The Secretariat is responsible for coordinating the work of the IC and providing administrative, editorial operational and technical, support. The Secretariat advises the IC on the availability and use of financial and staff resources.

6. Relationship with the Standards Committee

The IC collaborates with the SC on the basis of aligned work plans for the implementation of the IPPC. This collaboration will take place at a number of levels (e.g. Secretariat, chairs, members, stewards and sub-groups). The IC includes an SC representative and also selects a representative for participation in SC meetings. Subjects for collaboration will include at least:

- Alignment of work programmes
- Development of implementation plans for standards
- Analysis of responses to calls for topics and issues to be addressed
- Review of the Framework for Standards and Implementation
- Development and implementation of joint projects.

7. Relationship with the RPPOs

RPPOs provide a regional perspective on issues, challenges and the region operating context impacting contracting parties and their NPPOs. RPPOs provide support to contracting parties to enhance their phytosanitary capacities and capabilities. The IC includes an RPPO representative. Areas for collaboration include:

- Exchange of draft work programmes
- Sharing of technical resources and information
- Identification and provision of experts
- Coordination of activities and events, including IPPC Regional Workshops
- Development and implementation of joint projects.

## 2.2 Rules of Procedure of the IPPC Implementation and Capacity Development Committee (IC) – A Subsidiary Body of the CPM<sup>21</sup>

### Rule 1. Membership

<sup>21</sup> Report from CPM-12 (2017) see Appendix 10 to report:

[https://www.ippc.int/static/media/files/publication/en/2017/05/CPM-12\\_Report-2017-05-30\\_withISPMs.pdf](https://www.ippc.int/static/media/files/publication/en/2017/05/CPM-12_Report-2017-05-30_withISPMs.pdf)

The IC is composed of 12 members plus one representative from the regional plant protection organizations (RPPOs) and one from the Standards Committee (SC) of the International Plant Protection Convention (IPPC).

Members are selected on the basis of a balance of expertise with at least one from each Food and Agriculture Organization of the United Nations (FAO) region and representation from developing countries. Members should have experience of either implementation of phytosanitary related instruments and/or capacity development and will be selected and appointed by the Commission on Phytosanitary Measures (CPM) Bureau.

The Technical Consultation (TC) among RPPOs and the SC each appoints a representative to the IC through their own processes.

The members and representatives will serve with utmost integrity, impartiality, and independence and will prevent and disclose in advance possible conflicts of interest that may arise in the course of carrying out their duties. If they occur, the Bureau will resolve cases of a conflict of interest.

## **Rule 2. Qualification for membership**

Nominations for members will include documented evidence of their experience in implementation and/or capacity development. This experience should include at least one of the following:

- Demonstrated experience in managing phytosanitary systems;
- Demonstrated experience in delivering phytosanitary capacity development activities;
- In depth knowledge of the IPPC and International Standards for Phytosanitary Measures;
- Experience in the implementation of phytosanitary regulations;
- Other specific knowledge, qualifications and/or experience, for example in developing and delivering training.

Nominees will also have a level of English which will allow them to actively participate in IC meetings and discussions.

## **Rule 3. Procedure for selection of members**

The Secretariat will issue a call for members when vacancies arise. Member nominations, including supporting information and a letter of commitment as specified in the call, may be formally submitted by contracting parties or RPPOs.

The CPM Bureau will review nominations against the list of requirements outlined in Rule 2.

Members serve for a term of three years which may be renewed on acceptance of the CPM Bureau.

## **Rule 4. Alternate and replacement members**

At least one alternate for each FAO region should be appointed following the selection process detailed in Rule 3 and serves for a term of three years which may be renewed in accordance with that Rule.

An alternate may attend a meeting of the IC in place of a member who is unable to attend.

If a member resigns, no longer meets the qualifications for membership set forth in these Rules, or fails to attend two consecutive meetings of the IC, the member will be replaced. The replacement will be decided by the Bureau maintaining the balance of expertise, and the need to have at least one member from each FAO region. A replacement member will serve for a term of three years starting from the time of appointment.

## **Rule 5. Chairperson and Vice-Chairperson**

The chairperson and vice-chairperson of the IC are elected by its members and serve for a term of three years with the possibility of re-election on acceptance of the CPM Bureau.

### **Rule 6. Meetings**

The IC will hold two physical meetings a year. Additional meetings may be held when necessary, subject to available staff and financial resources. Meetings of the IC may also be held through electronic means, including by video and teleconference, as necessary.

A majority of members will constitute the quorum to hold meetings.

### **Rule 7. Observers and participation of invited experts to IC meetings**

Subject to the provisions of the below paragraph, meetings of the IC will be open, in accordance with the applicable FAO and CPM rules and procedures.

The IC may determine that certain meetings, or part thereof, be conducted without observers, in consideration of the sensitivity or confidentiality of the subject.

With the prior agreement, or at the request, of the IC members, the Secretariat may invite individuals or representatives of organizations with specific expertise, to participate as observers in a specific meeting or part thereof.

### **Rule 8. Bodies established by CPM**

A subsidiary body established by the CPM may be entrusted to the oversight of the IC. These bodies will have their own terms of reference and rules of procedure which will have been agreed by the CPM during their establishment.

### **Rule 9. IC Sub-groups**

The IC may establish sub-groups to address specific implementation and capacity development issues subject to availability of financial resources. The IC will determine in their terms of reference the tasks, duration, membership and reporting duties of these sub-groups.

The IC may dissolve subgroups when they are no longer required.

### **Rule 10. Decision-making**

The IC will endeavour to make decisions on the basis of consensus between members.

Situations where consensus is required but cannot be reached shall be described in the meeting reports detailing all positions maintained and presented to the CPM for discussion and appropriate action.

### **Rule 11. Reporting**

The IC will report to the CPM.

## **2.3 Functions of the IC Chairperson, Vice-Chairperson and Rapporteur (in session and inter-sessionally)<sup>22</sup>**

The IC has agreed on the functions of the IC Chairperson, Vice-Chairperson and Rapporteur.

### **2.3.1 Chairperson**

The Chairperson of the IC is elected in accordance with the Rules of Procedure for the IC. The main functions of the Chairperson are to:

<sup>22</sup> Approved by SC 2008-11 see Appendix 3 to report, IC agreed they also apply to ICD activities at IC 2018-05, the section on rapporteur was approved by IC 2018-11 see Appendix 17 to report and modified by IC 2019-05 see Appendix 17 to report

- 1) manage the IC during meetings and inter-sessionally
- 2) provide guidance on the affairs of the IC
- 3) help ensure participation of IC members and facilitate dialogue and understanding among IC members
- 4) help the Secretariat to prepare the agenda and report of the meetings
- 5) represent the IC at IPPC meetings
- 6) upon request by the Secretariat, represent the Secretariat at other meetings
- 7) assist the Secretariat to liaise with technical panels to identify and resolve overlaps in their work programmes and functions
- 8) report to the Commission on IC activities and provide the IC with guidance on how to implement Commission decisions
- 9) finalize decisions taken via electronic means and address cases of lack of consensus during IC discussions via electronic means.

### 2.3.2 Vice-Chairperson

The Vice-Chairperson of the IC is elected in accordance with the Rules of Procedure for the IC. The main function of the Vice-Chairperson is to assist and replace the IC Chairperson as necessary.

### 2.3.3 Rapporteur

All Implementation and Capacity Development related meetings select a Rapporteur if a meeting report will be produced. The Rapporteur of an IC meeting is elected by the IC members participating in that meeting. The main functions of the Rapporteur are to:

- ensure that the report prepared by the Secretariat is an accurate record of the discussions and decisions of the meeting
- assist the Secretariat in drafting, reviewing and finalizing the IC meeting report
- facilitate the IC e-mail discussions in relation to points of the IC reports.

## 2.4 Financial considerations<sup>23</sup>

Whenever possible, IC members and those participating in implementation and capacity development activities should voluntarily fund their travel and subsistence to attend meetings. Members may request financial assistance from the FAO for meetings other than those associated with the Commission meeting, with the understanding that the priority for financial assistance is given to representatives from developing countries.

The financial resources made available to the Secretariat for the work programme, including savings realized by members and others voluntarily accepting costs for participation in the IC or activities associated with implementation and capacity development activities, be directed as far as possible to expanding the work programme for additional implementation and capacity development activities and assisting the participation of representatives from CPs from developing countries.

Sponsors and donors be encouraged to make contributions to the work programme.

### 2.4.1 Rules for directed financial assistance for implementation and capacity development activities (sponsorship)<sup>24</sup>

The provision of external resources for implementation and capacity development activities should:

- be applied only for topics that are approved as priorities by the Commission
- not create an undue resource drain on the work programme of the Secretariat
- not displace core programme priorities

<sup>23</sup> Noted by ICPM-2 (1999), modifications agreed by the IC for ICD activities at IC 2018-05.

<sup>24</sup> ICPM-2 (2002) see Appendix XI to report, modifications agreed by the IC for ICD activities May 2018.

- follow the normal procedures, policies and practice of implementation and capacity development activities with no modifications according to the preferences of the funding entity.

The IPPC Secretariat also applies the criteria used for prioritizing participants to receive travel assistance to attend meetings organized by the IPPC Secretariat<sup>25</sup>

The organization that employs a meeting participant is responsible for funding the travel and daily subsistence allowance for that person to be able to attend an International Plant Protection Convention (IPPC) meeting. If the employer is unable to allocate sufficient funds, participants are encouraged to seek assistance from other sources. Where such demonstrated efforts to secure assistance have been unsuccessful, requests for assistance (i.e. travel and subsistence costs) from the IPPC Secretariat may be made. IPPC Secretariat funds may be made available to help assist attendance at meetings but are limited and if so Criteria used for prioritizing participants to receive travel assistance to attend meetings organized by the IPPC Secretariat will be used.

Exceptions are at the discretion of the IPPC Secretariat.

## **2.5 Duties and associated tasks of IC members**<sup>26</sup>

IC members have a number of duties directly concerned with IC activities by virtue of their membership of the IC. Normally, however, IC members also undertake any one or several of a number of other roles IC-Sub-group Rules of Procedures. The other duties of IC members are listed in the following sections.

### **2.5.1 Basic duties directly related to the evaluation of IC activities**

The basic duties of the IC member include contribution to the work that the IC:

- 1) Identifies and reviews the baseline capacity and capability required by contracting parties to implement the IPPC.
- 2) Analyses issues constraining the effective implementation of the IPPC and develops innovative ways to address impediments.
- 3) Develops and facilitates delivery of an implementation support programme to enable contracting parties to meet and surpass the baseline capacity and capability.
- 4) Monitors and evaluates the efficacy and impact of implementation activities and reports on progress
- 5) Oversees dispute avoidance and settlement processes.
- 6) Oversees national reporting obligation processes.
- 7) Works with the Secretariat, potential donors and the CPM to secure sustainable funding for its activities.

### **2.5.2. Time requirements**

The participation as an IC member may involve a considerable time input. The estimate of this time

Input would be, as a minimum:

- 2 meetings per year.
- Average of 4 hours per week to review draft materials (e.g. guides and training materials, strategies)

This may be increased if the member is an IC lead and/or they participate in any IC Sub-groups or IC working groups, regional workshops and/or other IPPC meetings.

<sup>25</sup> IPPC criteria for receiving travel assistance: <https://www.ippc.int/en/publications/1036/>

<sup>26</sup> Approved by SC. (SC 2006-11, Paragraph 104, modified by the SC 2008-11 see Appendix 5 to report.) Modifications were approved by the IC for ICD activities (IC 2018-11 see Appendix 18 to report).

IC members should have the required time available to participate in IC meetings. In addition to this time commitment, member governments should ensure that their members can attend IC meetings.

### 2.5.3. Regional communication

IC members are requested, where possible, to assist with the communication of information regarding the implementation and capacity development activities to countries within their region. This could be done by discussing the issues with other regional experts, attending regional workshops, or contributing to supplementary written information on implementation and capacity development activities. IC members should also be available to official contact points about inquiries on the IC activities.

If a region considers it valuable, the region could be encouraged to assign one or more members of the IC from its region to help play a role in facilitating the communication between the IC and NPPO and RPPO within their region.<sup>27</sup>

### 2.5.4. Duties of IC members the IC Sub group when they are not an IC lead

Each IC Sub-group should have an IC lead, selected by the IC<sup>28</sup>. The IC member can be a basic member of the group (see Guidelines for the operation of expert working groups) or can be an IC lead (see Duties and associated tasks of IC members and Guidelines on the role of lead and assistant IC lead s). The IC member may assist with the IC Sub-group more than an ordinary member because of their experience. The duties of a SCIC member of the IC Sub group who is not an IC lead may include:

- Prior to the meeting of the IC Sub group:
  - assist with the arrangements for the meeting
  - offer their advice to others organizing the meeting.
- During the IC Sub group meeting:
  - explain any processes, as necessary
  - act as the Chairperson or rapporteur if required
  - participate as an expert
  - assist the lead as required.
- At the IC meeting:
  - act as a backup to the IC lead to explain the draft Sub-group activities and the main discussion points during the IC Sub group meeting

### 2.5.5. Duties of IC Sub-group leads

It is intended that most IC Sub-groups will have an IC lead that is a IC member. The functions of an IC lead are described in detail in *Guidelines for the role of a IC lead*. A brief summary of these duties are:

- participate in the selection of Sub-group members
- explain the IC activities process to the IC Sub-group
- assist the IC and Secretariat in the development of discussion papers
- assist the Secretariat in the organization and running of the meeting
- explain the main points of the IC Sub-group discussion and answer questions assist in the analysis of comments.
- Participate and follow up to activities of the Sub-group

<sup>27</sup> For SC, adopted by CPM-7 (2012) see Appendix 4 to report (Decision 18).

<sup>28</sup> Rules of procedure for IC Sub-groups

### 2.5.6. Examination of outlines of implementation resources

The IC member carefully reviews the outlines of implementation resources that are prepared by, or under the auspices of, the Secretariat.

The IC member reviews the outlines of implementation resources by:

- discussing to ensure the outlines of implementation resources will produce a globally acceptable implementation resources
- ensuring the outlines of implementation resources accurately describe the title and the scope and purpose of the intended-implementation resources
- ensuring the tasks and other elements of the outlines of implementation resources are correctly identified
- proposing modifications if necessary assisting in the analysis of comments.

### 2.5.7. The examination of procedural and administrative documents

Procedural and administrative documents (e.g. terms of reference and rules of procedure of various groups) are reviewed by the IC to ensure they are consistent, flexible and feasible.

### 2.5.8. Other duties of other IC members

These include:

- approval of the membership of IC Sub-groups on a regular basis
- approval of IC leads
- approval of subjects for specific area as proposed by IC Sub-groups
- establishment of open-ended discussion groups
- review of priorities for IC activities proposed by the SPG (formerly SPTA) with the opportunity to add other priorities
- Collaboration with other relevant organizations
- undertake other duties as requested by the Commission.

## 2.6 Duties and associated tasks of RPPO and SC representatives on the IC<sup>29</sup>

SC and RPPO representatives in the IC are encouraged to work in close collaboration with the IC to make standards setting and implementation complementary and effective. Work with the IC regarding areas of mutual interest.

### *SC representative Duties and associated tasks*

The SC representative collaborates with the IC on the basis of aligned work plans for the implementation of the IPPC. This collaboration will take place at a number of levels (e.g. Secretariat, chairs, members, stewards and subgroups).

The IC includes an SC representative and also selects a representative for participation in SC meetings.

Subjects for collaboration will include at least:

- Alignment of work programmes
- Development of implementation plans for standards
- Analysis of responses to calls for topics and issues to be addressed
- Review of the Framework for Standards and Implementation
- Development and implementation of joint projects.

### *RPPOs representative Duties and associated tasks*

<sup>29</sup> Approved by IC 2018-11 see Appendix 19 to report



RPPOs provide a regional perspective on issues, challenges and the region operating context impacting contracting parties and their NPPOs. RPPOs provide support to contracting parties to enhance their phytosanitary capacities and capabilities. The IC includes an RPPO representative.

Areas for collaboration include:

- Exchange of draft work programmes
- Sharing of technical resources and information
- Identification and provision of experts
- Coordination of activities and events, including IPPC Regional Workshops
- Development and implementation of joint projects.

## 2.7 Guidelines on the role of IC lead and assistant lead <sup>30</sup>

IC leads should assist the work of the IC on the activity that the IC lead is responsible for and that the Secretariat should supply editorial expertise to assist an IC lead in carrying out their role.

These guidelines were revised in response to changes in the responsibilities of IC leads based on CPM or CPM Subsidiary body approved procedures and the decision to encourage the IC to assign an IC lead and one or two assistant leads for each activity.

### 2.7.1 Selection of the IC lead and assistant IC lead(s)

The IC lead(s) should be a member of the IC or the SC and RPPOs representatives to the IC. They are selected by the IC.

Proposed IC lead should recognize that considerable time may be required.

For IC Sub-groups, the IC should endeavour to select replacement IC leads in time to allow for overlap at one meeting with the outgoing IC lead.

### 2.7.2. Roles, responsibilities, duties and tasks of the IC lead(s)

The role of the IC lead is to oversee an IC Sub-groups and lead the development of the associated draft implementation resource(s), from the moment the IC lead is assigned to the development of the implementation resource. The IC lead is the IC representative and has the responsibility to liaise between the IC Sub-group and the IC. The functions of an IC lead vary according to the nature and complexity of the IC Sub-group or team tasks. The IC lead and IC should assist the Secretariat to ensure that the IC Sub-group and team follows the relevant procedures.

The IC lead is expected to attend the IC Sub-group meeting when the IC Sub-group activity is first discussed. The IC lead is invited to meetings where the IC activity, draft outline of the implementation resources or draft implementation resource will be discussed (i.e. IC, IC Subgroup and CPM meetings). If attending the meeting is not possible, the IC lead should consider attending virtually or request the assistant lead attend in his or her place.

The IC lead may seek assistance from the assistant IC lead with any of the following responsibilities.

#### Time commitment

The estimated time requirements for the involvement of IC lead in a single activity is at least eight weeks, including, but not limited to, the following activities:

- (1) reading documents;
- (2) revising the draft outline of the implementation resources;
- (3) developing discussion papers;
- (4) attending IC sub-group meetings;
- (5) preparing a presentation for regional workshops on the IPPC;
- (6) attending IC meetings and briefing IC members as appropriate.
- (7) The IC lead may be present at least one day before the IC meeting to consult and arrange for upcoming meeting with the secretariat staff

Contracting parties (and the regional plant protection organizations (RPPOs)) are encouraged to support the work of the IC lead whenever possible.

<sup>30</sup> Agreed by IC 2019-05 see Appendix 18 to IC report.

Upon request of the IC lead, the Secretariat will communicate to the FAO representative of the IC lead's respective country the responsibilities and time needed for the role.

#### Prior to the IC Sub-group meeting

The IC lead may be asked to:

- provide guidance to the Secretariat and IC in relation to the selection of experts for the IC Sub-group;
- liaise with the Secretariat to ensure that discussion papers are produced for the required meeting.

The IC lead may also prepare a draft work plan prior to the IC Sub-group meeting with the assistance and help of the IPPC secretariat. This draft work plan should be submitted by the IC lead to the Secretariat at least two weeks before the IC Sub-group meeting, to allow sufficient analysis and review by all meeting participants.

#### During the IC Sub-group meeting

The IC lead is expected to:

- explain the Rules of Procedure of the Sub-group;
  - Have a good understanding of the history, background, important discussion points and previous decisions on the activity. If some issues are unclear, the IC lead should discuss the matters with the Secretariat, assistant IC lead or members of the IC;
  - assist the Secretariat in the Sub-group related activities;
- assist the Secretariat in drafting the meeting report.

After the IC Sub-group meeting, the IC lead is responsible for reviewing the meeting report.

### **2.7.3 Role of the assistant IC lead(s)**

The role of the IC assistant lead is to assist the IC lead in his or her responsibilities on all aspects of the activity as described in these guidelines as requested by the IC lead.

The IC assistant lead is not expected to attend meetings. However, if, at any time, IC lead is not able to attend a meeting or if he/she is no longer available, the assistant lead may be asked to undertake the IC lead role during a meeting.

The IC assistant lead should provide written comments, if any, at appropriate times to assist the IC lead in the Implementation process.

## **2.8 e-decisions: Implementation and Capacity Development Committee procedures for discussing and making decisions by electronic means<sup>31</sup>**

### **Initiation of electronic discussion and decision-making**

Issues for electronic communication do not need to be first identified at a face-to-face meeting of the IC.

To initiate a discussion via electronic means, an IC member may submit the proposed topic and a proposed timeline for discussion to the Secretariat. In consultation with the IC lead, the Secretariat communicates the topic for discussion and the timeline to the IC. If a decision is needed as a result of

<sup>31</sup> IC 2018-05 modified SC e-decision process and approved. Further modification was approved by IC 2018-11 and IC 2019-06 e-decision.

the discussion, the IC lead will provide a summary of the discussion and a proposed decision to the IC to be taken.

### **Types of discussion and decisions that the IC can make by electronic means**

The types of discussions and decisions listed below may be made through the use of electronic communication:

- approval of recommended IC Sub-groups members and experts
- comment on documents in the reviewing process
- clearance of draft outlines of the implementation resources submitted by NPPO/RPPO
- approval of draft outlines of the implementation resources
- comment on the draft implementation resources
- any other tasks decided by the CPM or the IC during a face to face meeting
- exceptional cases determined in consultation with the Secretariat and the IC lead.

### **Rules for agreement**

If there are no objections by the deadline, the IC is considered to be in agreement and a course of action in line with the decision should be taken.

Tacit acceptance is considered as a way of formally adopting decisions if no amendments are proposed (if no one 'breaks the silence') before the deadline. The decision is then considered adopted by all members.

If one or more IC members raise objection before the deadline, there is no consensus.

If there is no consensus, the IC lead should summarize the issues and try to reformulate the proposed decision and submit for another round of consultation among IC members in order to try to reach consensus.

If there is still no consensus, the IC lead should communicate what he/she feels are the main points to the IC.

### **Timeframe for response**

Normally three weeks (except in urgent cases and for simple decisions).

Combined duration of a forum followed by a poll should be three weeks (two-week forum, one-week poll) and that three weeks would be allowed if a poll was used alone. In exceptional circumstances, this duration could be shortened by the Secretariat in consultation with the IC lead.

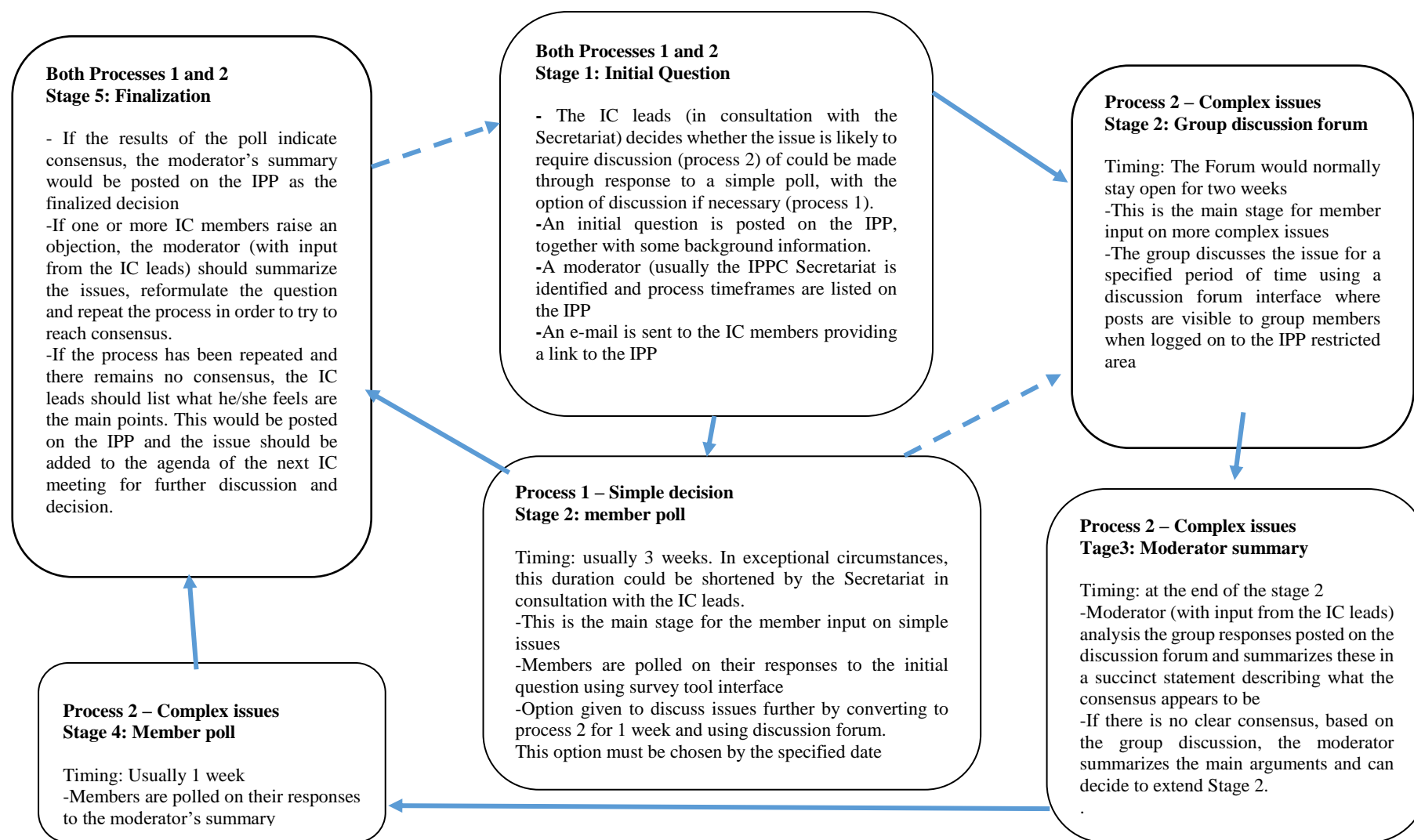
### **Secretariat email notice to IC members**

The IC decided that the IC members would receive email notice of forums and polls (including the passage from a forum to a poll), and would continue receiving automatic notification emails when members have contributed in a forum or in a poll.

### **Communication of decisions made electronically**

Final decisions taken during discussions via electronic means should be communicated to all IC members so that they are aware of the final outcome.

.



**Figure 1:** This diagram presents the process for an electronic decisions mechanism to implement the IC procedures for electronic discussion and decision-making<sup>32</sup>

<sup>32</sup> SC 2010-11 see Appendix 6 to report, updated SCs 2011-05. Modification was approved by IC 2018-11.

## 2.9 Deadlines for meetings (invites, funding, papers and reports) for IC related meetings<sup>33</sup>

The following due dates apply for IC related meetings:

- Invites, 3 months prior
- Requests for funds for travel assistance, 6 weeks prior
- Discussion papers to Secretariat, 4 weeks prior
- Discussion papers posted on IPP, 2 weeks prior
- Meeting reports: eight weeks after the meeting for CPM Subsidiary bodies and 4 week after the meeting for other meetings

## 2.10 Call for Topics: Standards and Implementation<sup>34</sup>.

The CPM-13 (2018) agreed that a combined call for topics for Standards and Implementation resources is made every two years. Topic proposals are submitted to the IPPC Secretariat (IPPC@fao.org) within the deadlines established by the Secretariat that year (normally until August). The submission form for topics is available on the IPP<sup>35</sup> (see ANNEX 6). Submissions should address the Criteria for justification and prioritization of the proposed topic (see 2.10.4), and, where possible, information should be provided to support the justification and that assist in the prioritization. Submissions should preferably be made in an electronic format.

Topics are solicited include the following:

Standards:

- new topics for International Standards for Phytosanitary Measures (ISPMs)
- new components to existing ISPMs, such as supplements, annexes or appendices
- revisions or amendments to adopted ISPMs, supplements, annexes, appendices or glossary terms
- pests for which a new diagnostic protocol should be developed

Implementation:

- new implementation resources (e.g. guides, training materials, e-Learning modules)
- revisions to existing implementation resources

### Submission of Topic proposals

CPs and RPPOs are invited to submit detailed proposals for new topics or for the revision of existing material to the IPPC Secretariat.

The CPM-13 (2018) requested CPs and RPPOs to use the Framework for Standards and Implementation as a reference when responding to the call for topics in order to fill gaps identified by the Framework. The CPM-11 (2016) agreed that any submission in response to a call for topics should clearly define the problem needing resolution in sufficient detail to determine how it fits into the Framework of Standards and implementation and the cost/benefit of the development of the standard or implementation tool.

<sup>33</sup> Deadlines 2011-06 Bureau see Appendix 3 to report, with some additions by IPPC Secretariat.

<sup>34</sup> Agreed by CPM-13(2018) see Appendix 7 to report.

<sup>35</sup> Call for topics: Standard and Implementation webpage : <https://www.ippc.int/en/core-activities/standards-and-implementation/call-for-topics-standards-and-implementation/>

Submissions should be accompanied by a draft specification for standards or a draft outline for implementation resources, and also include a literature review and a justification how the proposed topic meets the CPM-13 approved criteria for justification and prioritization of proposed topics. To indicate a broader need for the proposed topic, submitters are encouraged to gain support from other contracting parties and/or RPPOs and to provide letters of support from them.

Submitters are requested to review the documents below:

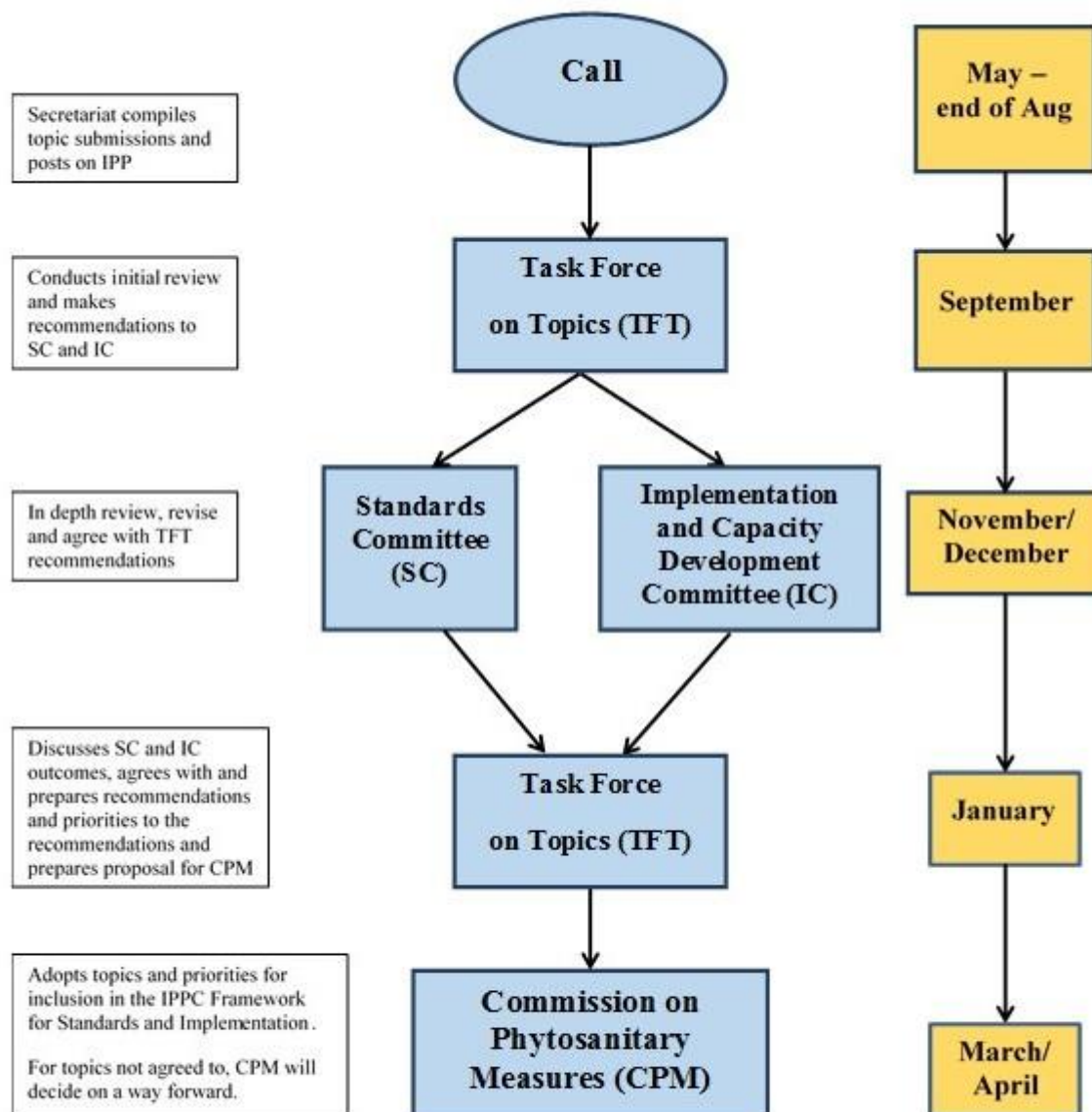
- (1) Submission form for topics for standards and implementation
- (2) Criteria for justification and prioritization of proposed topics
- (3) Framework for Standards and Implementation
- (4) List of Topics for IPPC Standards

After the call closes, the Secretariat will compile the list of proposed work programme topics from the received submissions and post them on the IPP. Submissions from previous calls will not be considered unless resubmitted in the year. In a process agreed to by CPM-13 (see 2.10.1), the Task force for Topics (TFT) will screen the submitted topics against established criteria for justification and prioritization of proposed topics and develop recommendations to the Standards Committee (SC) and Implementation and Capacity Development Committee (IC) for in-depth review. After evaluating the entire list of submissions and associated recommendations, the SC and IC will recommend topics for the development of standards and/or implementation resources and suggest an associated position in the Framework for Standards and Implementation. The TFT will discuss SC and IC outcomes, agree with and prepare recommendations and priorities to the recommendations to be presented to the CPM for adoption.

### 2.10.1 Flow chart for the process of the Call for topics: standards and implementation

#### The Process of the Call for Topics: Standards and Implementation<sup>1</sup>

(The Call to be issued once in two years)



<sup>1</sup> As agreed by CPM-13 (2018)

### 2.10.2 Terms of Reference and Rules of Procedure of the Task Force on Topics<sup>36</sup>

#### 1. Scope of the Task Force on Topics

The Task Force on Topics (TFT) assists the Implementation and Capacity Development Committee (IC) and the Standards Committee (SC) in the process of the Call for Topics: Standards and Implementation.

The functions of the TFT are:

<sup>36</sup> Agreed by CPM-13(2018) see Appendix 09 to report.



- to screen the submitted topics against established criteria for justification and prioritization of proposed topics, using a clear prioritization score scheme agreed on by the TFT and develop recommendations to the IC and SC on the better way to address the topics: by a standard or by an implementation resource.
- to review if the submitted topics could be addressed jointly between the IC and the SC
- to discuss the topics recommended by the SC and IC and prepare the final paper on recommended topics for adoption by CPM

## 2. Structure of TFT

TFT consists of seven members, three of whom are members of the IC (including the Chair of the IC), three are members of the SC (including the Chair of the SC), and one is a CPM Bureau member.

## 3. Establishment of TFT

Members of the TFT are selected by the IC, the SC and by the CPM Bureau. IC, SC and CPM Bureau should each select one replacement member, to participate in the work of the TFT when members are not available.

### 2.10.3 Rules of procedure for the Task Force on Topics<sup>37</sup>

#### Rule 1. Membership

Members of the Task Force on Topics (TFT) should be members of the Implementation and Capacity Development Committee (IC) or the Standards Committee (SC) or the Commission on Phytosanitary Measures (CPM) Bureau, and should be able to participate in the work of TFT.

The IC, the SC and the CPM Bureau should review the membership of TFT as necessary, taking into account, in particular, changes in the membership of the IC, the SC or the CPM Bureau.

#### Rule 2. Procedure for nomination and selection of TFT members

Members of TFT are selected by the IC (three members and one replacement) and by the SC (three members and one replacement) and by the CPM Bureau (one member and one replacement).

The Secretariat maintains the membership list of TFT on the IPP.

#### Rule 3. Period of membership

Members of TFT may serve for the period of their membership in the IC, the SC or the CPM Bureau. The IC, the SC or the CPM Bureau may, in accordance with Rule 2 of these Rules of Procedure, change or amend the respective membership of TFT at any time. Members may at any time withdraw from the TFT.

#### Rule 4. Chairperson and Vice-Chairperson

Meetings of the TFT are chaired by the CPM Bureau member.

The Vice-Chairperson of TFT is elected from the TFT membership by the TFT members for a two years' term.

The Chairperson, or in the absence of the Chairperson or the CPM Bureau replacement member, the Vice-Chairperson, shall preside at meetings of the TFT and shall exercise such other functions as may be required to facilitate the work of the TFT. A Vice-Chairperson acting as a Chairperson shall have the same powers and duties as the Chairperson.

#### Rule 5. Observers

TFT should not allow observers.

<sup>37</sup> Agreed by CPM-13(2018) see Appendix 09 to report.

***Rule 6. The IPPC Secretariat***

The IPPC Secretariat provides administrative, technical and editorial support for the TFT meetings.

***Rule 7. Meetings***

TFT should work as necessary, generally after each call for topics. E-mail, teleconferencing, e-decisions and other virtual communication methods should be used where possible to prepare and conduct the meetings of TFT. Face-to-face meetings will be held as needed.

A meeting of the TFT shall not be declared open unless there is a quorum. The presence of a majority of the members of the TFT (four members) is necessary to constitute a quorum.

***Rule 8. Approval***

Decisions of TFT are taken by its members only. Approvals relating to draft documents and agreement on recommendations provided to the IC and the SC should be by consensus and communicated to the IC and the SC. If consensus is not reached, contentious issues should be mentioned and positions explained in the meeting report and brought to the attention of the IC and the SC.

***Rule 9. Reports***

The report of each TFT meeting should be published on the IPP. The reports should be presented to the IC and the SC and the CPM Bureau

***Rule 10. Working language***

English should be the working language of TFT meetings.

***Rule 11. Amendments***

Amendments to the Terms of Reference and Rules of Procedures, if required, should be adopted by the CPM.

A web page for the Call for Topics: Standards and Implementation (<https://www.ippc.int/en/core-activities/standards-and-implementation/call-for-topics-standards-and-implementation/>) has been created and the form for submitting topics to the IPPC Secretariat is attached as Annex 06.

**2.10.4 Criteria for Justification and Prioritization of Proposed Topics<sup>38</sup>**

Priority will be given to topics with the largest global impact.

Core criteria (must provide information. It is expected that all submissions meet the following core criteria):

- Contribution to the purpose of the IPPC as described in article I.1.
- Linkage to IPPC Strategic Objectives (SOs) and Organizational results demonstrated.
- Feasibility of implementation at the global level (consider ease of implementation, technical complexity, capacity of NPPO(s) to implement, relevance for more than one region).
- Clear identification of the problems that need to be resolved through the development of the standard or implementation resource.
- Availability of, or possibility to collect, information in support of the proposed standard or implementation resource (e.g. scientific, historical, technical information, experience).

Supporting criteria (provide information as appropriate)

***Practical***

- (1) Is there a regional standard and/or implementation resource on the same topic already available and used by NPPOs, RPPOs or international organizations.

<sup>38</sup> Agreed by CPM-13(2018) see Appendix 08 to report.

- (2) Availability of expertise needed to develop the proposed standard and/or implementation resource.

*Economic*

- (1) Estimated value of the plants protected.
- (2) Estimated value of trade including new trade opportunities affected by the proposed standard and/or implementation resource (e.g. volume of trade, value of trade, the percentage of Gross Domestic Product of this trade) if appropriate.

*Environmental*

- (1) Utility to reduce the potential negative environmental consequences of certain phytosanitary measures, for example reduction in global emissions for the protection of the ozone layer.
- (2) Utility in the management of non-indigenous species which are pests of plants (such as some invasive alien species).
- (3) Contribution to the protection of the environment, through the protection of wild flora, and their habitats and ecosystems, and of agricultural biodiversity.

*Strategic*

- (1) Extent of support for the proposed standard and/or implementation resource (e.g. one or more NPPOs or RPPOs have requested it, or one or more RPPOs have adopted a standard on the same topic).
- (2) Frequency with which the issue to be addressed, as identified in the submission emerges as a source of trade disruption (e.g. disputes or need for repeated bilateral discussions, number of times per year trade is disrupted).
- (3) Relevance and utility to developing countries.
- (4) Coverage (application to a wide range of countries/pests/commodities).
- (5) Complements other standards and/or implementation resources (e.g. potential for the standard to be used as part of a systems approach for one pest, complement treatments for other pests).
- (6) Conceptual standard and/or implementation resource to address fundamental concepts (e.g. treatment efficacy, inspection methodology).
- (7) Urgent need for the standard and/or implementation resource.

### 3. IC SUB-GROUPS

Under rule 9 of the IC ROP, the IC may establish sub-groups to address specific implementation and capacity development issues. When doing this, the IC will determine, in their terms of reference the:

- tasks,
- duration,
- membership and
- reporting duties

The IC may dissolve subgroups when they are no longer required.

The IC has approved Rules of Procedure (ROP) that apply to all IC Sub-groups.

#### 3.1 Implementation and Capacity Development Committee Sub-groups

##### Rules of Procedure<sup>39</sup>

##### Rule 1. Membership

Members of Implementation and Capacity Development Committee(IC) Sub-groups are selected from the IC, but may also be selected from outside of the IC when required. Members should have the necessary technical and subject matter experience, and should be able to participate and contribute to the proceedings. The IC Sub-group Lead is considered a member.

Membership of Sub-groups should be reviewed by the IC on a regular basis and may be adjusted as necessary. The IC should take into account changes in the needs for scientific or other expertise or changes in the professional duties required of the members.

##### Rule 2. Procedure for nomination and selection of Sub-groups members

Members of Sub-groups are nominated and selected according to the following:

1. the IPPC Secretariat requests nominations for Contracting Parties(CPs) and Regional Plant Protection Organizations (RPPOs) through a call, as directed by the IC, requesting a signed Statement of Commitment and an updated Curriculum Vitae;
2. the call is primarily addressed to CPs and RPPOs, but may also be addressed to other international organizations and targeted industry stakeholder groups in cases where specific relevant expertise is required;
3. the IPPC Secretariat compiles and, summarizes the nominations, and then submits them to the IC. The IC selects the members based on the selection criteria from the terms of reference and their demonstrated expertise. This is communicated to the IPPC Secretariat . Nominees who are not selected will be informed by the IPPC Secretariat ; and
4. the IPPC Secretariat maintains lists of Sub-group members on the IPP.

##### Rule 3. IC Sub-group Lead

The IC will select a Lead for each Sub-group from IC members and under exceptional circumstances, it may select someone who is not a member of the IC. Exceptional circumstances include cases where changes to the IC Sub-group Lead would jeopardize progress of the work of the Sub-group.

<sup>39</sup> IC November 2018 agreed to the IC Sub-groups Rules of Procedure (ROP) and to recommend the ROP to CPM for adoption via the CPM Bureau. The CPM Bureau December 2018 agreed that the ROP was under the oversight of the IC and that the IC had the authority to approve the ROP and they did not need to be presented to the CPM. First revision (Rule 7) was agreed by IC 2019-05.

The IC Sub-group Lead is responsible for liaising between the IC and the Sub-group ensuring the Sub-group follows their terms of reference and guidance given by the IC.

In some cases, the IC may appoint an assistant IC Sub-group Lead.

#### **Rule 4. Participation and contribution of members to Sub-group meetings**

The IC may replace the Sub-group members who fail to attend two consecutive meetings or do not contribute to the work of the Sub-group. Replacement members may be drawn from the pool of nominations and selected as per Rule 2.4.

#### **Rule 5. Participation to meetings by observers**

Observers may attend a Sub-group meeting by invitation only. The Sub-group recommends which observers should be invited and requests approval from the IC. The Sub-group may determine that certain meetings, or part thereof, be conducted without observers, in consideration of the sensitivity or confidentiality of the subject.

Contracting parties or organizations hosting a meeting may send up to a maximum of two observers to attend a meeting.

#### **Rule 6. Meetings**

Members elect a Chairperson and a Rapporteur at each Sub-group meeting.

Sub-groups should meet virtually using E-mail, teleconferencing and other modern communication methods. Meetings should be planned well in advance, in consultation with the IC Sub-group Lead. The Sub-group may meet face-to-face, subject to availability of funds.

Sub-group members should work according to their Terms of Reference, or guidance given by the IC and follow IC approved procedures

The Sub-group will elect a Rapporteur from its membership. Major discussion issues should be noted in the report and the rationale for conclusions should be recorded. The Rapporteur shall ensure that the report prepared by the IPPC Secretariat is an accurate record of the discussions and decisions of the meeting assist the IPPC Secretariat in drafting, reviewing and finalizing the Sub-group meeting report. A report of each Sub-group meeting should be published on the IPP once approved by the rapporteur. The Rapporteur serves until the meeting report is finalized.

#### **Rule 7. Recommendations**

The IC Sub-group makes recommendations to the IC. The IC reviews these recommendations, and as appropriate, formulates proposals to the CPM.

#### **Rule 8. Reporting**

An update on the activities of the Sub-group should be presented at an IC meeting by the IC Sub-group Lead. The update may advise the IC of specific actions that they are requested to take.

Out of session updates may be requested by the IC as necessary.

#### **Rule 9. Working Language**

English should be the working language of Sub-groups.

#### **Rule 10. Amendments**

Amendments to these Rules of Procedure shall be approved by the IC.

### 3.2 Guidelines for the organization of IC Sub-groups and expert groups

Once the CPM approves a topic (and the IC approves an Outline for the topic) or the IC establishes an IC Sub-group (and the IC approves their TOR), the IPPC Secretariat organizes a meeting, normally after resources are identified to hold the meeting and a date and venue have been set.

Contracting parties or organizations are encouraged to host these meetings. The meetings should be held in an area that could offer the group exposure to the issue(s) they will be addressing in their drafting. Hosting normally entails making all local logistical arrangements (local transport, conference facilities and arranging local dinners, lunches and coffee breaks as needed), arranging for a relevant field trip (normally half day), an official hosted reception and/or dinner and in some cases some funding to support the Secretariat (staff) and meeting costs (including travel costs).

#### Procedure for nomination and selection of participants:

- nominations are requested in response to a call opened by the IPPC Secretariat;
- nominations may be submitted by contracting parties (CPs), NPPOs or RPPOs, through their IPPC official contact points;
- nominees are requested to provide (online when possible) an up to date copy of their CV and provide a summary of their expertise (in line with the Outline or TOR and on a specific form provided by the Secretariat). In addition, experts must sign a Statement of Commitment<sup>40</sup> which is also countersigned by their supervisor and the financial manager.
- the Secretariat reviews the nominations to ensure the proper documentation has been submitted. In addition, the documentation is reviewed and analyzed by the Secretariat, in consultation with the IC lead, for recommendation of experts to the IC.
- the IC reviews the recommendations and decides which nominees will be selected: when reviewing and selecting experts, the IC:
  - should aim to have members representing a wide geographic area (including developing country participation);
  - should have a IC lead, who is normally an IC member;
  - should allow the organizer to designate two observers who can attend the meeting, regardless of the group's composition;
  - may have observers or invited experts as agreed by the IC
- lists of the IC Sub group members, including invited experts and observers approved by the IC, are made available on the IPP.

Participants are invited to a meeting where they work on the tasks approved by the IC. The participants address their tasks and a meeting report is prepared and submitted to the IC.

The organization of these meetings is normally done by the IPPC Secretariat, with varying levels of assistance from an organizer.

There is some need for flexibility and deviations from the procedures on a case-by-case basis for administrative contingencies.

#### ***Funding***

All costs connected to the participation in the meeting should, wherever possible, be funded by the governments or employers of the participant. IC Sub group members may be entitled to travel assistance,

---

<sup>40</sup> Link to the statement of Commitment: <https://www.ippc.int/en/publications/ippc-statement-commitment/>

according to the *Criteria used for prioritizing participants to receive travel assistance to attend meetings organized by the IPPC Secretariat*<sup>41</sup>

Participation of observers designated by the organizer is funded by the organizer.

### ***Location of the meeting***

The meetings may be held in Rome, Italy at FAO headquarters or at FAO offices located around the world (e.g. regional) or they can be arranged in other locations depending on the organizer.

For meetings organized outside FAO, the organizer should propose a location in a country deemed to be acceptable for the organization of UN meetings. The location should preferably be in a city that is easy to reach by international flights (e.g. that does not require several in-country flights or flight and train), but may be in another location provided logistical arrangements have been put in place. Meetings to be held in developing countries are encouraged.

### ***Meeting venue***

For meetings held at the FAO Headquarters in Rome or in other FAO Offices, the IPPC Secretariat, in general, uses FAO offices to make logistical arrangements.

For meetings organized outside FAO, the organizer is expected to find a suitable meeting room for the expert group to meet (usually Monday to Friday from 9:00 to 17:00) which provides for adequate space for the participants. The meeting venue is normally an office provided by the organizer but may be in a hotel meeting room.

In cases where FAO pays for the meeting venue, the organizer is requested to solicit estimates from three venues. When there is a “FAO preferred hotel programme (PHP)” in the city where the meeting will be held, the hotel chosen should be preferably a hotel on the FAO PHP and in this case, three quotes may not be needed. The estimates should include the costs, including taxes, gratuity and any other additional expense for:

- the meeting room per day
- two coffee breaks per day (when there are various options, these should be detailed)
- lunch (if so desired)
- projector and screen, and any additional items such as flip charts, white boards, water, printing and similar
- the cost of accommodation for a standard hotel room, both with and without breakfast.

### ***Meeting resources***

The usual meeting resources required for an expert group meeting include:

- A quiet room large enough to accommodate the meeting participants, with natural lighting where possible
- white boards, flip chart and marker pens
- adequate internet connection
- computer, projector and a screen
- coffee/tea making facilities for work breaks
- possibility to print documents and make copies (e.g. 20-30 pages long documents) for all participants.

If a printer in the meeting room has a high cost, other printing options should be investigated which may include printing at the hotel’s business center or in an external service provider. Coffee breaks

<sup>41</sup> Criteria used for prioritizing participants to receive travel assistance to attend meetings organized by the IPPC Secretariat: <https://www.ippc.int/en/publications/1036/>

should be arranged twice a day and they may include either just hot drinks or hot and cold drinks, and snacks. The decision on this should be made in conjunction with the IPPC Secretariat, when the Secretariat is funding the meeting. Otherwise, the organizer may determine the best option directly.

### ***Hotel bookings***

The organizer should identify a suitable hotel for participants for their accommodation, which may ideally be the hotel where the meeting is taking place or close to the meeting venue, so that people do not lose time in transports.

The organizer should assist in booking or pre-booking hotel rooms for participants. The hotel should be able to hold pre-booked rooms for a certain time. The IPPC Secretariat or FAO cannot be liable for hotel rooms (for instance in case of no show of some participants), except for hotel rooms for the IPPC Secretariat or experts from developing countries entitled to funding by the IPPC Secretariat (as per the *Criteria used for prioritizing participants to receive travel assistance to attend meetings organized by the IPPC Secretariat*). It is therefore essential that the block booking is made to allow for adequate flexibility for changes or cancellations, and that the hotel is arranged for well in advance.

For meetings at the FAO Headquarters in Rome, the IPPC Secretariat does not make hotel bookings. Names and addresses of accommodation are provided on the IPP<sup>42</sup>.

### ***Time schedule for the organisation of expert drafting group meetings***

The Secretariat, in consultation with potential organizers schedules meeting dates and venues and posts them on the IPP Calendar<sup>43</sup>.

#### **At least 3 months prior to the meeting**

The organizer:

provides detailed local information to the IPPC Secretariat

The IPPC Secretariat:

invites meeting participants to the meeting, indicating the date and place of the meeting

makes a call for discussion papers

Meeting participants:

undertake necessary arrangements to obtain travel authorization from their authorities, if appropriate

ensure their visa and travel arrangements are completed in time

#### **At least 6 weeks prior to the meeting**

Meeting participants:

confirm attendance in the meeting and register for the meeting via the IPPC online registration system.

request financial assistance if needed, taking into account the Criteria used for prioritizing participants to receive travel assistance to attend meetings organized by the IPPC Secretariat.

<sup>42</sup> Names and addresses of accommodation: <https://www.ippc.int/en/publications/1035/>

<sup>43</sup> Link to IPP Calendar: <https://www.ippc.int/en/year/calendar/>



At least 2 weeks prior to the meeting

The IPPC Secretariat:

posts all meeting documents

## 2.11.4 Roles of meeting organisers and participants

***Roles and responsibilities***IPPC Secretariat

The IPPC Secretariat is expected to:

- plan a meeting date and seek an organizer
- provide resources for the meeting, if held on FAO premises
- approve budget being paid by the Secretariat for meetings organized outside the FAO premises
- send a letter of invitation to participants (especially for the purpose of obtaining visas) and interact with the FAO visa office if needed
- liaise with organizer, IC lead and meeting participants as appropriate
- arrange with the IC lead and the meeting participants for the production of discussion papers
- coordinate the organization of the meeting and be responsible for the delivery of the meeting report
- be responsible for the processing of the draft ISPM(s).

Organizer

The organizer is expected to:

- select the location for the meeting in consultation with the Secretariat, make local arrangements, book meeting rooms and arrange for coffee breaks
- assist in hotel bookings and obtaining visas, if needed (for instance, by liaising with national embassies or other government services involved, providing support letters as needed)
- arrange for local transportation as appropriate, including transfer from/to airport and from the hotel to the meeting venue (this would depend on the availability of public transports, reliable taxis, safety conditions and where the meeting room is located in respect to the hotels) or provide a suitable information
- work with the IPPC Secretariat to develop a local information document providing detailed information on: meeting venue, hotels (address and booking conditions), airport, local transportation, list of eating places in the vicinity of the venue/hotel, local conditions, maps as needed, medical information, safety, weather, etc. (the IPPC Secretariat will provide a template for this document to the organizer)
- have facilities to provide copies of working papers and of documents drafted during the meeting, as appropriate
- arrange (usually) for a half day field trip for the experts to visit something related to the topic of the meeting (usually on Wednesday afternoon); the field trip may be followed by a dinner for the group; a welcome cocktail may also be organized on Monday when the meeting starts
- Provide, where possible, a rapporteur (who could be regarded as a resource outside of the expert drafting group).

The IC lead is expected to:

- have a good understanding of the Outline or ToFR and explain the requirements of the Outline or ToFR. If some issues are unclear, the IC lead should interpret, to the best of their ability what is expected from the IC perspective
- liaise with the IPPC Secretariat to ensure that discussion papers are produced
- assist with the running of the meeting
- assist the IPPC Secretariat to complete the draft standard, when necessary
- assist the IPPC Secretariat in the delivery of the meeting report.

The duties of the IC lead and assistant lead are discussed in more detail in Guidelines on the role of IC lead and assistant lead (see section 2.7)

### Chairperson

The Chairperson of the meeting is selected at the meeting. The function is: to keep the meeting running smoothly and ensure participation by all participants.

The Chairperson is expected to:

- act as facilitator for the meeting participants
- assist the IPPC Secretariat, IC lead and rapporteur to prepare the meeting report
- be involved, where appropriate, with the IC lead in incorporating the comments of the participants into the document being developed
- facilitate the meeting discussions and ensure everyone has a chance to speak
- find compromises, agreements and to summarize conclusions.

### Members

The members should:

- Take responsibility for their travel and accommodation arrangements and visa requirements. Experts are expected to be in attendance for the entirety of the meeting and should plan to arrive before the meeting starts and depart after the meeting concludes. They should undertake whatever needs to be done in a timely manner so there are no urgent arrangements to be made by the organizers.
- prepare discussion papers, consulting with national or regional experts, as required
- actively participate in the expert drafting group meeting, and in e-mail or forum discussions prior to and after the meeting, if appropriate
- study discussion papers prior to the meeting and develop specific comments and text as appropriate
- in reflecting their individual viewpoints, aim to produce globally acceptable standards
- assist IC lead as needed, particularly when reviewing comments
- respond, as appropriate, to comments to draft ISPMs within the agreed time.

### Rapporteur

This is an extremely important supporting function. Each meeting requires a rapporteur to ensure the meeting report accurately reflects the discussions. The rapporteur, where possible, should assist the IPPC Secretariat with the meeting report and should review the report, acting with the final clearance on its content.

### Observers designated by the organizer

At least one of these observers should be the key contact for local matters. They would be expected to provide local information to participants and to the IPPC Secretariat, and make all local logistical arrangements (such as booking the meeting room and equipment, pre-booking the hotel rooms, booking

restaurants as needed, taking people to the doctor if needed, etc.). In addition they should provide emergency support when needed.

### *Output of the meeting*

The meeting should complete the drafting of the document and the meeting report.

In exceptional circumstances, the draft document may not be finalized and further discussions via e-mail are required. The IPPC Secretariat will then distribute the draft to the meeting participants and request them to submit comments within the agreed time. These discussions should be limited to one month after the meeting and the draft document should then be submitted to the IPPC Secretariat. Participants are requested not to share the draft document outside of the group until it is presented to the IC.

Where substantial work still needs to be done on the draft document the IPPC Secretariat, in consultation with the IC lead and IC and subject to resources, may arrange for an additional meeting.

The meeting report should note major discussion points or contentious issues. When finalized, usually after the meeting, the report should be made available on the IPP.

The IC lead should be familiar enough with the issues of the draft(s) discussed in the meeting to be able to attend an IC meeting and discuss the draft with the IC.

Guidance on drafting documents is available in the IPPC Style Guide<sup>44</sup>.

### **3.3 Deadlines for posting expert drafting group meeting papers and report<sup>45</sup>**

The following deadlines apply for posting on the IPP the meeting papers and reports for expert drafting group meetings:

- Papers: 2 weeks prior to the meeting
- Meeting reports: 8 weeks after the meeting.

<sup>44</sup> Link to the IPPC Style Guide: <https://www.ippc.int/en/publications/132/>

<sup>45</sup> 2011-06 Bureau see Appendix 3 to report.

## 4. SPECIFIC IC SUB-GROUPS

The IC has established the following three Sub-groups:

- Dispute Avoidance and Settlement (DAS)
- Implementation, Review and Support System (IRSS)
- Sea Containers Task Force (SCTF)

### 4.1 Dispute Avoidance and Settlement (DAS)

#### 4.1.1 Dispute Avoidance and Settlement Implementation and Capacity Development Committee (IC) Sub-group Terms of Reference<sup>46</sup>

##### 1. Purpose

The IC Sub-group will provide support, guidance and advice on phytosanitary related disputes to the IC and IPPC Secretariat in accordance with the relevant CPM procedures.

##### 2. Duration

The IC Sub-group will operate until May 2020. Term duration may be lengthened upon agreement by the IC

##### 3. Membership

The IC Sub-group should consist of 4 to 6 members with combined technical, phytosanitary and if possible legal experience, considering wide geographic representation (including developing country participation)

##### 4. Conflict of interest

The IC Sub-group will take the necessary measures to avoid any conflicts of interest that may arise from the operations of the IC Sub-group.

##### 5. Tasks

The IC Sub-group operates under the guidance and supervision of the IC, and serves as a forum to:

##### 5.1 Dispute avoidance:

1. Provide guidance on options for dispute avoidance.
2. Provide support and inputs for the development of advocacy and guidance materials to promote dispute avoidance.
3. Support capacity development activities which promote dispute avoidance.
4. Identify and analyze case studies and lessons learned from publicly available disputes and specific trade concerns to be used in the development of a work plan for dispute avoidance.
5. Provide advice on the actions or ways to promote dispute avoidance procedures.
6. Undertake other functions related to dispute avoidance as directed by the IC.

##### 5.2 Dispute settlement:

1. Oversee the revision of the CPM adopted procedures for dispute settlement, as needed.

<sup>46</sup> IC Sub-group on DAS TOR approved by IC 2018-11 see Appendix 12 to report

2. Review nominations of independent experts based on the relevant CPM procedures and make recommendations to the IC.
3. Provide advice on the actions or ways to promote the dispute settlement procedures.
4. Undertake other functions related to dispute settlement as directed by the IC.

## 6. Reporting

The IC Sub-group reports to the IC annually and if necessary, upon request.

## 7. Rules of Procedure

The IC Sub-group Rules of Procedure will apply to the IC Sub-group on Dispute Avoidance and Settlement.

## 8. Amendments

Amendments to these Terms of Reference, if required, shall be approved by the IC.

### 4.1.2 Dispute Settlement Procedures

#### IPPC Dispute Settlement Procedures<sup>47</sup>

##### A. INTRODUCTION

1. At its Second Session in October 1999, the ICPM adopted general considerations and dispute settlement procedures proposed by the Informal Working Group on Dispute Settlement Procedures to fulfil one of the functions charged to the ICPM in its Terms of Reference (ICPM INF-2). The ICPM also agreed that the Informal Working Group would undertake to further elaborate certain aspects associated with the procedures as follows:

- a) undertake to develop rules and procedures for the approval of Expert Committee reports by the ICPM or its subsidiary body;
- b) analyze the need for the establishment of a subsidiary body on dispute settlement and make recommendations on structure, functions, and membership;
- c) undertake to develop rules and procedures for the establishment of expert rosters and the selection process;
- d) develop standard formats for dispute settlement reports;
- e) examine the possible roles and functions of regional plant protection organizations (RPPOs) in IPPC dispute settlement procedures;
- f) develop standard terms of reference that may be used by the Expert Committee;
- g) develop rules concerning the attendance of observers in Expert Committee procedures;
- h) explore the possibilities for enhancing developing countries' ability to participate effectively in dispute settlement procedures;
- i) consider guidelines concerning the sharing of expenses associated with dispute settlement;
- j) address any other matters referred to it by the ICPM regarding dispute settlement.

2. The Informal Working Group met 9-12 May 2000 at FAO Headquarters in Rome. Representatives of the governments of Brazil, Finland, New Zealand, Portugal, and the United States were in attendance. Documents provided by the Chairperson (Finland) and the United States served as references. Discussions followed the outline of charges given to the group by the ICPM. Proposals from

<sup>47</sup> ICPM03 (2001) see Appendix XI to report. Link to Dispute Settlement Procedures: [https://www.ippc.int/static/media/files/publication/en/2015/02/ippc\\_ds\\_procedures\\_2014-10-09legn\\_201410091726--493.85\\_KB.pdf](https://www.ippc.int/static/media/files/publication/en/2015/02/ippc_ds_procedures_2014-10-09legn_201410091726--493.85_KB.pdf)

the meeting were subsequently reviewed, modified for correctness, and approved by the FAO Legal Office for submission to the ICPM as presented below.

## **B. General considerations**

3. In considering the need for a subsidiary body of the ICPM devoted specifically to oversight, administration, and support of IPPC dispute settlement procedures, the Informal Working Group considered several factors. In particular, it noted that a subsidiary body would provide needed support to the role of the ICPM with regard to dispute settlement in the WTO and other organizations while generally strengthening and specializing the dispute settlement function of the IPPC. It would promote a high level of consistency and professionalism in procedures and reports, including all points in Expert Committee procedures (point 4 of the existing dispute settlement procedure). In addition, it is envisioned that a subsidiary body would reduce workload pressures on the Secretariat.

4. In considering the nature of a subsidiary body, the Informal Working Group suggests that the group should not be large, as it should be cost-effective and be able to respond quickly when necessary. It was considered that expertise and a balance of perspectives were essential elements. In particular, it was agreed that the group should be composed of individuals with the qualifications and commitment to assist in guiding a global phytosanitary dispute settlement system that considers the needs and perspectives of both developing and developed countries.

5. In considering options for the composition and structure of a subsidiary body, the Informal Working Group noted a number of possibilities including the option of using only the ICPM and Secretariat as is currently the practice. This was considered to be inadequate to meet future needs of Members if the IPPC dispute settlement procedures were to be made attractive as an option for dispute settlement. In particular it was considered difficult and awkward to manage many aspects of the dispute settlement procedures based on annual meetings of all Members. In addition, it was anticipated that direct support to the Secretariat would be minimal in such a scenario.

6. As an option it was considered that the Bureau of the ICPM could be used as the subsidiary body for dispute settlement. This was deemed more appropriate but was found to have the disadvantage of uncertainty regarding the level of interest and expertise that may be found in the Bureau and the membership would lack continuity beyond two years. Likewise, the idea of ad hoc working groups formed at ICPM meetings had limited appeal as this approach also did not encourage continuity or account for expertise.

7. The most viable options considered by the Informal Working Group were to either form a subgroup selected from the membership of the Standards Committee (proposed seven members) or establish a subsidiary body of the similar size directly from the membership of the ICPM (see recommendations below).

## **C. FUNCTIONS OF A SUBSIDIARY BODY ON DISPUTE SETTLEMENT**

[See the SBDS Terms of Reference [below](#) for the functions.]

## **D. STRUCTURE AND MEMBERSHIP OF A SUBSIDIARY BODY**

[See the SBDS Terms of Reference [below](#) for the Structure and the Rules of Procedure [below](#) for the membership.]

## **E. RULES OF PROCEDURE OF THE SUBSIDIARY BODY**

[See the SBDS Rules of Procedure [below](#).]

## **F. PROCEDURE FOR APPROVAL OF EXPERT COMMITTEE REPORTS**

The procedure for approval of Expert Committee reports is as follows (see also Decision-making above):

- (a) an initial report, including dissenting views, if any, is prepared by the Expert Committee;

- (b) the Expert Committee may make the initial report available to the disputing governments for informal consultation;
- (c) the initial report is transmitted to the Secretariat and the FAO Legal Office in English;
- (d) comments from FAO are transmitted to the Expert Committee;
- (e) a 2<sup>nd</sup> draft report is prepared by the Expert Committee, if necessary, considering comments from FAO;
- (f) the 2<sup>nd</sup> draft report is submitted to the subsidiary body for approval (verifying that the steps of the Expert Committee procedure and standard review and reporting format have been followed); and
- (g) the final report as approved by the subsidiary body is submitted by Expert Committee to the Director-General of FAO for distribution to the disputing parties.

## G. EXPERT ROSTERS

22. Establishment of rosters. The expert roster is established and maintained by the Secretariat. The roster is composed of phytosanitary experts and other individuals with expertise relevant to plant protection or the application of phytosanitary measures. Rosters are made available on request to official contact points.

23. Experts for the roster are nominated by ICPM Members through official contact points. The Secretariat may also seek or accept through official contact points other specialized expertise as necessary for additions to the roster. RPPOs or other organizations may provide advice in this regard.

24. Applications for inclusion on the roster are made by submission through contact points of a completed FAO Personal History Form (PHF) and/or Curriculum Vitae. Minimum information to be supplied includes:

- name, age and contact information;
- current position;
- nationality;
- language ability;
- period of availability;
- scientific and technical (including phytosanitary) background;
- professional experience; and
- knowledge, experience or qualifications with dispute settlement procedures.

25. The roster will be validated by the Secretariat every three years by requesting that the nominating organization or individual provide updated information. Experts may be removed from the roster based on a request by the expert or ICPM Members, or where information is not verified or updated when requested by the Secretariat.

## H. SELECTION OF EXPERTS

26. Experts designated by the disputing parties. Each disputing party designates a representative for the Expert Committee. Where several parties are involved in a dispute, parties initiating or responding to the dispute consult to choose only one expert (ensuring that the Expert Committee consists of only two experts nominated by disputing parties and only five members total).

27. Selection of independent experts

- (a) Criteria used by the IPPC Secretariat. In selecting independent experts to propose for an Expert Committee, the IPPC Secretariat considers the following factors:
  - i) scientific/technical background relevant to the dispute;
  - ii) independence (no financial or other personal interest in the outcome of the dispute); and

- iii) ability to serve in his/her individual capacity as an expert.

The Secretariat should avoid nominating experts from the disputing parties, recognizing that at times it may be necessary to nominate experts from the disputing parties to obtain the most appropriate expertise.

- (b) b) Selection procedure. The Secretariat and parties propose independent experts for selection by parties. Where parties cannot agree on experts, the subsidiary body may nominate experts. Where the parties cannot agree on experts nominated by the subsidiary body, no expert committee can be formed.

## **I. FINANCIAL CONSIDERATIONS**

28. Costs associated with specific dispute settlement procedures between parties. Parties determine the distribution of all costs when developing the Terms of Reference for the dispute. It is recommended that parties adopt a flexible attitude toward the provision of resources to facilitate the dispute settlement process, including the provision of assistance to developing countries to increase the possibilities for their use of IPPC dispute settlement procedures.

29. Costs associated with the experts include:

- i) administration and arrangements for expert meetings;
- ii) interpretation/translation where necessary;
- iii) travel and subsistence (includes fees and salaries for the three independent experts unless agreed otherwise).

## **J. RULES FOR OBSERVERS IN THE EXPERT COMMITTEE PROCEDURE**

30. The disputing parties and the Chairman of the Expert Committee agree on observers to be included and the rules of conduct for observers in Expert Committee proceedings. Where there is no agreement on the number and type of observers, no observers are allowed. Where the presence of observers is agreed, but there is not agreement on the conduct of such observers, observers will only be allowed to attend but cannot participate.

## **K. ENHANCING PARTICIPATION OF DEVELOPING COUNTRIES**

31. The ICPM and disputing parties are encouraged to consider the special needs of developing countries, in particular to identify technical assistance for dispute settlement. Dispute settlement procedures of the IPPC may involve:

- Secretariat assistance subject to available resources;
- developed countries voluntarily provide all or partial funding for dispute settlement with developing countries when the developed country has initiated the dispute; and
- Training on dispute settlement procedures may be added to other training activities.

## **L. ROLE OF RPPO'S**

32. RPPOs may have any role in dispute settlement that is agreed by disputing parties and the RPPO. It is recommended that RPPOs assuming such a role develop the capability to adequately administer such procedures.

33. In the case of IPPC Expert Committee procedures, RPPOs may:

- assist in obtaining nominations for expert rosters;
- assist with administrative support and provision of facilities or resources for dispute settlement among parties within their region;
- facilitate consultations for contracting parties within their region; and
- provide technical or other support on request of member governments.



## M. GENERAL FORMAT FOR EXPERT COMMITTEE TERMS OF REFERENCE

34. If Parties do not agree on the Terms of Reference for the Expert Committee, no Expert Committee can be established.

35. Principle Terms of Reference. The Expert Committee is required to:

- obtain a signed agreement between parties on the procedure;
- arrange for the presentation of information;
- evaluate the information and formulate recommendations; and
- prepare IPPC Dispute Settlement Expert Committee Report

36. Elements of these tasks:

(a) Obtain a signed agreement between parties which covers the following:

- i) Identification of parties and issues
  - 1) identify party(ies) initiating the dispute settlement procedures;
  - 2) identify party responding to the dispute;
  - 3) identify Expert Committee and Chairperson;
  - 4) identify observers (according to Rule I);
  - 5) initiating party identifies and defines the issue(s) at dispute, specifying the points alleged to be in conflict with the interpretation or application of the IPPC or ISPMs; and
  - 6) Parties identify tasks of the expert committee – clarify expectation.
- ii) Proceedings:
  - 1) means of presentation of information;
  - 2) language(s) to be used for documents and discussion (note: report must be in English);
  - 3) conduct of Observers;
  - 4) distribution of costs (subject to provisions of Section H);
  - 5) location and facilities;
  - 6) administrative support arrangements, including whether/how proceedings are recorded; and
  - 7) timetable, including submission of information, number of meetings, and presentation of report.

b) Arrange for presentation of information.

The Expert Committee solicits the submission of information from disputing parties. Methods of presentation may include documents only, and/or verbal presentations as agreed in advance. The Expert Committee may seek additional information from the disputing parties or other sources, as it deems necessary and contingent upon explicit agreement of the disputing parties.

c) Evaluate information and formulate recommendations:

- i) review scientific and other information;
- ii) assess relationship of the issue and information to the specified provisions of the IPPC and ISPMs; and
- iii) formulate conclusions and recommendations as required.

d) Prepare IPPC Dispute Settlement Expert Committee Report

The Expert Committee prepares the IPPC Dispute Settlement Expert Committee Report with the following elements:

Executive summary  
Introduction

- identify disputing parties;
- statement of background and issue(s) at dispute;  
Technical aspects of the dispute
- summary of positions of disputing parties;
- summary of Expert Committee analyses of scientific and technical aspects
- assessment of the relationship of the issue to the specified provisions of the IPPC and ISPMs
- conclusions of the Expert Committee
- Dissenting views (if any)
- Recommendations
- proposal(s) for resolution and options if appropriate
- Attachments
- ToR
- identity of Expert Committee
- list of documents and source (if not confidential)
- other information deemed useful by the Expert Committee

## **N. FORMAT FOR IPPC SECRETARIAT REPORTS ON FORMAL CONSULTATIONS AND OTHER DISPUTE SETTLEMENTS THAT MEMBERS WISH TO HAVE RECORDED**

37. Results of consultations: The Secretariat's report on the results of informal or formal consultations includes the following elements:

- statement of background and issue(s) under consultation;
- identity of consulting parties;
- summary of positions of consulting parties; and
- outcome.

38. Other disputes Members wish to have recorded: Reports of the Secretariat on other disputes Members wish to have recorded by the ICPM follow the format for the IPPC Dispute Settlement Expert Committee Report described above and is based on information supplied by Members in this format.

## **TERMS OF REFERENCES FOR THE SUBSIDIARY BODY ON DISPUTE SETTLEMENT (SBDS)<sup>48</sup>**

The SBDS was dissolved by CPM-12 (2017) but these TOR are maintained as they are referred to in the CPM Dispute Settlement Procedure.

### **1. Scope of the Subsidiary Body on Dispute Settlement**

The Subsidiary Body on Dispute Settlement manages the dispute settlement functions of the CPM and provides assistance to the CPM with regard to dispute settlement in the WTO and other organizations.

### **2. Objective**

The main objective of the Subsidiary Body on Dispute Settlement is the oversight, administration and support of the IPPC dispute settlement procedures.

### **3. Structure of the Subsidiary Body on Dispute Settlement**

<sup>48</sup> CPM 04 (2009) see Appendix 16 to report

The Subsidiary Body on Dispute Settlement consists of 7 members, one member drawn from each of the FAO Regions.

#### 4. Functions of the Subsidiary Body on Dispute Settlement

The Subsidiary Body on Dispute Settlement has the following functions:

1. Provide guidance to the Secretariat and disputing parties in selecting appropriate dispute resolution methods and may assist in conducting or administering consultation, good offices, mediation, or arbitration.
2. Propose nominations for independent experts using Expert Committee procedures (see the report of the second session of the ICPM, Appendix IX, Section 4 and the report of the third session of the ICPM, Appendix XI, Section H, paragraph 27b) where the disputing parties cannot agree on experts proposed by the Secretariat.
3. Approve reports of Expert Committees including verification of all points in Expert Committee procedures (see the report of the second session of the ICPM, Appendix IX, Section 4 and the report of the third session of the ICPM, Appendix XI, Section F); and
4. Undertake other functions as directed by the CPM, which may include:
  - a) assist the Secretariat with requests from WTO or other organizations;
  - b) report on IPPC dispute settlement activities as well as dispute settlement activities undertaken or completed by other organizations that have implications for the phytosanitary community;
  - c) assist in identifying appropriate experts (e.g. for WTO dispute settlement);
  - d) assist in review and maintenance of expert rosters; and
  - e) identify appropriate training opportunities.

#### 5. IPPC Secretariat

The Secretariat provides administrative, technical and editorial support as required by the Subsidiary Body on Dispute Settlement. The Secretariat is responsible for reporting and record keeping regarding the dispute settlement activities.

### **RULES OF PROCEDURE FOR THE SUBSIDIARY BODY ON DISPUTE SETTLEMENT (SBDS)<sup>49</sup>**

The SBDS was dissolved by CPM-12 (2017) but this ROP is maintained as they are referred to in the CPM Dispute Settlement Procedure.

#### **Rule 1. Membership**

Membership of the SBDS is open to contracting parties. Members serve for terms of two years, with a maximum of six years unless a region submits a request to the CPM for an exemption to allow a member from within its region to serve an additional term. In that case, the member may serve an additional term. Regions may submit requests for additional exemptions for the same member on a term-by-term basis. Partial terms served by replacements shall not be counted as a term under these Rules.

#### **Rule 2. Replacement of members**

Each FAO region shall, following its own procedures, nominate a potential replacement for members of the SBDS and submit it to the CPM for confirmation. Once confirmed, potential replacements are valid for the same period of time as specified in Rule 1. These potential replacements should meet the qualifications for membership set forth in these Rules.

<sup>49</sup> CPM04 (2009) see Appendix 16 to report

A member of the SBDS will be replaced by a confirmed potential replacement from within the same region if the member resigns, no longer meets the qualifications for membership set forth in these Rules, or fails to attend two consecutive meetings of the SBDS.

The national IPPC contact point should communicate to the Secretariat any circumstances where a member from its country needs to be replaced. The Secretariat should then inform the relevant FAO regional chair.

A replacement will serve through the completion of the term of the original member, and may be nominated to serve additional terms.

### **Rule 3. Chair**

The subsidiary body shall elect its Chairperson and Vice-Chairperson from among its membership.

### **Rule 4. Qualifications of subsidiary body members**

Experts shall have:

1. experience in phytosanitary systems;
2. familiarity with the IPPC and International Standards for Phytosanitary Measures;
3. experience with regulations/legislation; and
4. preferably some form of dispute settlement or conflict resolution knowledge, qualifications and/or experience.

### **Rule 5. Sessions**

Meetings to accomplish the functions of the SBDS, in particular for the review and approval of Expert Committee reports and the development of reports for the CPM, shall be set by the SBDS in consultation with the Secretariat as required. The subsidiary body will normally work by mail, facsimile and e-mail, and in the most cost-effective manner within the available resources.

A meeting of the SBDS shall not be declared open unless there is a quorum. The presence of a majority of the members of the SBDS is necessary to constitute a quorum.

### **Rule 6. Observers**

Meetings of the subsidiary body are generally open according to Rule VII of the Rules of Procedure for the CPM, but the subsidiary body may determine that certain meetings or business need to be conducted without observers, in particular where confidential or controversial information is involved.

### **Rule 7. Decision-making**

The subsidiary body shall strive for consensus on all decisions but may vote where necessary using a 2/3 majority to take decisions. Decisions shall include dissenting opinions where requested.

### **Rule 8. Amendments**

Amendments to the functions and procedures of the subsidiary body will be promulgated by the CPM as required.

### **Rule 9. Confidentiality**

The subsidiary body shall exercise due respect for confidentiality where sensitive information is identified by disputing parties.

## **4.2 Implementation, Review and Support System (IRSS)**

The purpose of the IC Sub-group is to monitor and evaluate the work undertaken under the IRSS project and prepare work plans and reports for the IC review and approval. As the IRSS works on the cross-

cutting issues the IC Sub-group on IRSS advises on the IRSS work programme based on the ideas solicited from the CPM Bureau, Standards Committee and RPPOs.

#### **4.2.1 Implementation Review and Support System Implementation and Capacity Development Committee (IC) Sub-group Terms of Reference<sup>50</sup>**

##### **1. Purpose**

The IC Sub-group on Implementation Review and Support System (IRSS) will prepare IRSS work plans in collaboration with the IPPC Secretariat, monitor and evaluate the work undertaken under the IRSS project and prepare reports for the IC review and approval. In addition, the IRSS Sub-group will develop its own work plans and provide reports on its meetings and activities to the IC.

##### **2. Duration**

The IC Sub-group will operate until the end of the third IRSS cycle (planned March 2021).

##### **3. Membership**

The IC Sub-group will be composed of members with the necessary technical and subject matter experience in phytosanitary issues. The IC Sub-group will be composed of five members: two selected from the IC (one of which will be the IC lead) and one representative from each of the following groups: the Bureau, the SC and RPPOs.

##### **4. Tasks**

The IC Sub-group operates under the guidance and supervision of the IC, and serves as a forum to:

- (1) Solicit from the Bureau, SC, RPPOs, and IPPC Secretariat ideas for IRSS activities for consideration by the IC and set priorities
- (2) Review and recommend to the IC:
  - annual Work Plan for IRSS including how to address priority topics adopted by the Commission on Phytosanitary Measures (CPM)
  - annual IRSS progress reports
  - IRSS reports to donors, prior to submission
  - the project proposal for sequential cycles of the IRSS project
- (3) Provide direction and guidance for the IRSS work, as necessary
- (4) Monitor and evaluate the implementation of IRSS activities, making recommendations to the IC

##### **5. Reporting**

The IC Sub-group reports to the IC annually and if necessary, upon request.

##### **6. Rules of Procedure**

The IC Sub-groups Rules of Procedure will apply to the IC Sub-group on IRSS.

##### **7. Amendments**

Amendments to these Terms of Reference, if required, shall be approved by the IC.

#### **4.2.2 Procedure for the submission of IRSS Topics <sup>51</sup>**

##### **Background**

<sup>50</sup> IC Sub-group for IRSS TOR approved by IC 2018-11 see Appendix 10 to report

<sup>51</sup> Approved by IC (2019-07) e-decision

The IRSS is an evaluation tool that focuses on identifying contracting parties' challenges and opportunities for implementation of the Convention and its ISPMs. The objective of the IRSS is to facilitate and to promote the implementation of the IPPC and its ISPMs.

The IRSS entered its third cycle in March 2018 and is scheduled to end in March 2021. At the IC May 2018, an IC IRSS sub-group was created to monitor and evaluate the work done under the IRSS project and report back to the IC. A call for topics was issued to the IC, SC, CPM Bureau, and IPPC Secretariat shortly thereafter, in June 2018, and the received topics were reviewed and compiled in a preliminary list of topics by the IC IRSS Sub-Group in September 2018. The list was presented to the IC in November 2018 and was prioritized according to the relevance to the IRSS project.

At the IC May 2019, new topics were presented for consideration by the IC. Taking the cyclical and time-limited (3 years) nature of the funding of the IRSS project into consideration, the IC requested that a procedure for topic submission under IRSS be developed by the IC IRSS Sub-Group to guide the submission of future topics.

### Scope

This procedure applies to topics submitted by the IC, SC, CPM Bureau, and IPPC Secretariat in the context of the IRSS project.

### Criteria

Proposed topics should focus on identifying contracting parties' challenges and opportunities for implementation of the Convention and its ISPMs.

### Process<sup>52</sup>

- A call for IRSS topics is issued to the IC, SC, CPM Bureau, RPPOs and IPPC Secretariat, within three months from the beginning of a cycle, typically in May-June.
- IRSS topics should be submitted along with the following information:
  - Name of the IPPC Body;
  - Contact information;
  - Topic title;
  - Topic summary (scope, purpose, rationale, expected outcome);
  - Link to IPPC Strategic Objectives;
  - Proposed priority level (from 1 to 4).
- Received topics are reviewed by the IRSS IC Sub-Group usually during the annual IRSS sub-group virtual meeting held in September. A list of topics is prepared, based on merit and relevance to the IPPC Strategic Framework, for submission to the IC at the November meeting.
- The IC reviews and assigns priorities to the topics at its November meeting.
- Topics may be submitted beyond the initial call for topics and may be considered for inclusion in the IRSS work programme by the IC. Criteria for inclusion should include the feasibility to complete the topic within the current IRSS cycle without compromising the progress and completion of other priority 1 topics.

<sup>52</sup> The continuation of the IRSS project beyond 2021 is unclear at the moment. Should the project not be funded after 2021, this procedure should be rescinded and future "IRSS-type" topics should be incorporated into the general "call for topics: standards and implementation" stream.

### 4.3 Sea Containers Task Force

Sea containers are a significant pathway for the potential entry of pests, as they move large volumes of internationally traded goods and personal effects. Entry and spread of pests to new areas via sea containers could result in important control and eradication costs, losses in yields and access to export markets, and threaten food security, agriculture, as well as the environment.

The CPM-12 (2017), discussed and endorsed the Complementary Action Plan for Assessing and Managing the Pest Threats Associated with Sea Containers and noted the priority actions to be undertaken, including the establishment of the International Plant Protection Convention (IPPC) Sea Containers Task Force (SCTF).

#### 4.3.1 Sea Containers Task Force Implementation and Capacity Development Committee (IC) Sub-group Terms of Reference<sup>53</sup>

##### 1. Purpose

The Sea Containers Task Force (SCTF) will supervise the actions contained in the Sea Container Complementary Action Plan<sup>54</sup> for Assessing and Managing the Pest Threats Associated with Sea Containers, under the oversight of the IC.

##### 2. Duration

The SCTF will operate until a final report is submitted to CPM-16 (2021).

##### 3. Membership

SCTF members should have experience relevant to the pest risks on sea containers and their management. The membership consists of nominated members.

The SCTF nominated members may be drawn from contracting parties, RPPOs, international organizations, as follows:

- Up to three representatives of contracting parties
- One representative from the CPM Bureau
- One Lead from the IC
- One representative of the SC
- One representative from the International Maritime Organization (IMO)
- One representative from the RPPOs
- One representative from the World Customs Organization (WCO)
- One Former Sea Container Expert Working Group (EWG) member

##### 4. Observers

The IC may invite observers from the following organizations:

- One representative from the World Bank (WB)
- One representatives from industry
- One representative from the Container Owners Association (COA)
- One representative from World Shipping Council (WSC)
- One representative from Global Shippers Forum (GSF)

##### 5. Tasks

The SCTF operates under the guidance and supervision of the IC, and will undertake the following tasks:

##### 1. Measuring the impact of the CTU code through:

- 1.1. The development of a joint IPPC/International Maritime Organization (IMO)/industry protocol for the collection of data related to contamination of sea containers to be completed by CPM-16 (2021)

<sup>53</sup> Noted by CPM-13 (2018) see Appendix 13 to report, modified by IC 2018-05 see Appendix 6 to report and further modified by IC 2018-11 see Appendix 7 to report, modified by IC 2018-11 see Appendix 7 to report, adjusted by the IPPC Secretariat in February, 2019 in the parts of membership and observers to reflect the IC November 2018 meeting decision on the membership of IC Sub-groups see Appendix 6 to report.

<sup>54</sup> Sea Containers Complementary Action Plan endorsed by CPM 12 (2017) - [https://www.ippc.int/static/media/files/publication/en/2017/05/CPM-12\\_Report-2017-05-30\\_withISPMs.pdf](https://www.ippc.int/static/media/files/publication/en/2017/05/CPM-12_Report-2017-05-30_withISPMs.pdf)

- 1.2. Monitoring the uptake and implementation of the IMO/ILO/United Nations Economic Commission for Europe (UNECE) Code of Practice for Packing of Cargo Transport Units through:
  - 1.2.1. Industry reporting
  - 1.2.2. NPPO monitoring
- 1.3. Verifying the efficacy of the CTU code in ensuring the arrival of clean sea container through:
  - 1.3.1. Monitoring for pest contamination and freedom of soil by NPPOs;
  - 1.3.2. Assisting NPPOs manage pest risks associated with sea containers,
2. Increasing awareness of pest risks of sea container through:
  - 2.1. Publication of the data of the Sea Container Task Force;
  - 2.2. A request for countries having data on contamination of sea containers to make it publically available;
  - 2.3. Calling for and publication of pest risk management guidance material for sea containers;
  - 2.4. Encouraging NPPOs to inform industry on the risks and possible international actions to manage pest risks associated with sea containers;
3. Providing information on pest risks of sea containers and their management;
4. Coordinating with contracting parties, regional plant protection organizations (RPPOs), industry and other international organizations;
5. Establishing a mechanism for contracting parties to report to Commission on Phytosanitary Measures (CPM) on their progress and achievements;
6. Providing advice on how the Cargo Transport Unit (CTU) code or any other instrument could be updated;

## 6. Reporting

The SCTF reports to the IC annually and if necessary, upon request. A final report of the SCTF will be prepared in time to be reviewed and approved by the IC to submit it to CPM-16 (2021).

## 7. Rules of Procedure

The IC Sub-group Rules of Procedure will apply to the SCTF.

## 8. Amendments

Amendments to these Terms of Reference, if required, shall be approved by the IC.

### 4.3.2 Complementary Action Plan for assessing and managing the pest threats associated with sea containers<sup>55</sup>

The CPM Bureau proposes a number of actions to reduce the pest risks associated with sea containers, pending extra-budgetary resources provided by contracting parties (CPs) or industry. These actions will measure the impact of the IMO/ILO/UNECE Code of Practice for Packing of Cargo Transport Units (CTU Code) during the next five years, increase awareness of pest risks of sea containers and information to assist NPPOs better manage these risks, and establish oversight and governance arrangements for their implementation.

The Bureau encourages CPs or industry to provide resources to the IPPC Secretariat to facilitate this work, and suggested that the funding model of the ePhyto project could be applied to progress it.

#### (i) Measuring the impact of the CTU shipping code through:

- The development of a joint IPPC/IMO/industry protocol for the collection of data related to contamination of sea containers to be completed by CPM-16 (2021);
- Monitoring the uptake and implementation of the IMO/ILO/UNECE Code of Practice for Packing of Cargo Transport Units (CTU Code) through:
  - industry reporting
  - NPPO monitoring;
- Verifying the efficacy of the CTU Code in ensuring the arrival of clean sea container through:

<sup>55</sup> Noted by CPM 12-(2017) see Appendix 05 to report



- monitoring for pest contamination and freedom of soil by NPPOs;
- Assisting NPPOs manage pest risks associated with sea containers,

**(ii) Increasing awareness of pest risks of sea container through**

- publication of the data of the Expert Working Group (EWG) by the IPPC Secretariat;
- a request by the IPPC Secretariat for countries having data on contamination of sea containers to make it publicly available;
- calling for and publication of pest risk management guidance material for sea containers;
- encouraging NPPOs to inform industry on the risks and possible international actions to manage pest risks associated with sea containers;
- ensuring that any regulations on sea containers that are developed and implemented by NPPOs are based on pest risk analysis and consistent with Recommendation CPM 10/2015\_01 on Sea Containers.

**Oversight and governance**

Establishment of a Task Force that will operate under the oversight of the CDC/IC, to supervise the above actions and complement them with any other actions through:

- providing information on pest risks of sea containers and their management;
- coordinating with CPs, RPPOs, industry and other international organizations;
- establishing a mechanism for CPs to report to CPM on their progress and achievements;
- providing advice on how the CTU Code or any other instrument could be updated;
- providing, through the CDC/IC, updates on its activities to be presented annually to the CPM, as well as a final report for presentation to CPM-16 (2021).

The Bureau will select members and invited experts to take part in the task force. Members of the task force should be nominated by contracting parties or RPPOs and have expertise in IPPC matters and sea container logistics. At least one member of the task force should be an EWG member on sea containers. In addition, industry experts and representatives of relevant international organizations could also be part of the task force as invited experts.

The Task Force should have members from CPs knowledgeable in IPPC matters and sea container logistics. It should have industry experts and other relevant international organizations. The Task Force may consult experts on sea containers, such as ex EWG members, as required.

## 5. IC SPECIFIC TEAMS

For more established activities, more focused tasks, the IC decided to establish IC Teams that would support the IPPC Secretariat or work together in small teams. Often the tasks, duration, membership and reporting duties can be simply stated in one or two sentences.

The IC has established only once IC team to deal with National Reporting Obligations.

### 5.1 National Reporting Obligations (NRO)<sup>56</sup>

The purpose of the International Plant Protection Convention (IPPC) is “international cooperation in controlling pests of plants and plant products and in preventing their international spread, and especially their introduction into endangered areas” (Preamble of the Convention). The IPPC was first adopted in 1951 and underwent a major revision in 1997.

The Convention includes numerous provisions regarding reporting obligations, so called National Reporting Obligations (NROs), which help Contracting Parties achieve the objectives of the Convention. All countries that signed the Convention are obliged to and are responsible for the implementation of all reporting obligations. All reporting obligations have the same legal value and are of equal importance.

The reason for having NROs is to ensure that a minimum amount of official phytosanitary information is available that can be used as the basis for ensuring safe trade, safeguarding food security and protecting the environment from plant pests. In order to be most useful the phytosanitary information should be accurate, up-to-date, clearly presented, consistent with the

IPPC guidance and in a format that is easily accessible and understandable.

Timely and accurate reporting should:

- facilitate safe trade and increase market access;
- facilitate the protection of cultivated and wild plants by preventing the introduction and spread of pests;
- enable importing countries to more accurately determine phytosanitary requirements;
- allow countries to ensure increased protection of the world’s biodiversity, environment and ensure food security;
- contribute to a decrease in the number of interceptions and rejections of (non-compliant) consignments;
- facilitate the resolution of instances of non-compliance between countries through an agreed non-compliance feedback system;
- positively contribute to the avoidance of phytosanitary disputes;
- establish transparent communication which will facilitate cooperation and coordination between IPPC Contracting Parties;
- build trust in bilateral relationships between IPPC Contracting Parties over time;
- provide an indication of an establishment of the National Plant Protection Organization and its effective functioning.

There are seven public and six bilateral National Reporting Obligations. Public NROs should be reported via the International Phytosanitary Portal (IPP – <https://www.ippc.int>). The Commission on Phytosanitary Measures (CPM), a governing body of the Convention, agreed that the International Phytosanitary Portal is the preferred mechanism through which Contracting Parties meet their NROs.

<sup>56</sup> Link to Guide to National Reporting Obligations:

[https://www.ippc.int/static/media/files/publication/en/2017/06/170331\\_IPPC\\_NRO\\_Guide\\_W\\_high\\_en.pdf](https://www.ippc.int/static/media/files/publication/en/2017/06/170331_IPPC_NRO_Guide_W_high_en.pdf)

Bilateral NROs should be communicated directly between Contracting Parties, however they could also be displayed on the IPP if a country wishes to do so.

The IPP is an internet-based information system designed to hold phytosanitary information published in accordance with the Convention and the decisions of the Commission on Phytosanitary Measures. The majority of the information on the IPP, including all NRO reports, is available to all users of the site. However, only officially nominated individuals with password-protected user accounts have the ability to enter and edit information, ensuring its accuracy and validity.

All IPPC Official Contact Points once appointed to that function receive access to the IPP together with editing rights to upload and update all required reports. Therefore, IPPC Official

Contact Points are in practice responsible for keeping their country's information on the IPP up to date.

Contracting Parties can post other information (apart from National Reporting Obligations) on the IPP that they deem beneficial to other Contracting Parties, but meeting NROs should be given priority.

As regards the countries that are not IPPC Contracting Parties they are also encouraged to use the IPP.

In April 2016, CPM-11 adopted General and Specific IPPC National Reporting Obligations Procedures (Annex III) that Contracting Parties should follow while reporting NROs. They are based on recommendations and inputs provided by the National Reporting Obligations Advisory Group taking into account the IPPC provisions and the previous CPM decisions.

When countries do not meet their NROs, some of the following consequences may occur:

- The lack of an IPPC contact point isolates countries and prevents them from fully participating in and benefitting from interaction with the international plant protection community – this will indirectly affect trade, food security and the protection of the environment.
- When countries do not satisfy reporting obligations related to pests or measures, or provide information that is inaccurate, unclear or incomplete, it may be difficult, and even impossible, to come to agreement, or possible agreements may be delayed, on the measures required for safe trade or protecting food security and the environment.
- Lack of information on pest status or regulated pests could lead to unwarranted protective measures.
- Unwarranted protective measures, or lack of technical justification for protective measures, resulting from poor or lack of phytosanitary information, could lead to lengthy trade negotiations, limited market access and/or potential disputes.
- Inaccurate or unclear information about pest status or regulated pests could also result in ineffective measures. Ineffective measures could result in dissemination of pests with negative consequences for agricultural and environmental resources.
- Some countries perceive official reporting as an indication of successful and efficiently functioning NPPO. If lack of reporting is observed it can lead to loss of or reduction of trust in non-reporting countries.
- Not meeting their NROs is perceived by some countries as a possible attempt to hide phytosanitary issues from trading partners or neighbours by the non-reporting countries.

In total there are 13 National Reporting Obligations:

- Designation of an Official IPPC Contact Point;
- Description of the NPPO;
- Phytosanitary requirements, restrictions and prohibitions;
- List of entry points;
- List of regulated pests;
- Pest reports;

- Organizational arrangements for plant protection;
- Rationale for phytosanitary requirements, restrictions and prohibitions;
- Significant instances of non-compliance with phytosanitary certification;
- The result of investigation regarding significant instances of non-compliance with phytosanitary certification;
- Information on the pest status;
- Emergency action;
- Technical and biological information necessary for pest risk analysis.

### 5.1.1 Oversight mechanism for National Reporting Obligation activities<sup>57</sup>

#### 1 Reporting

The IPPC Secretariat presents an annual report to the Implementation and Capacity Development Committee (IC) in May of each year outlining the National Reporting Obligations (NRO) activities that have been completed, specifically related to the maintenance of the current system and awareness raising. Trends and figures on national reports will also be presented to the IC.

If, there is a sudden change in reporting or a specific need is identified, the IC may determine how to address the issue, including the establishment of a NRO IC Sub-group if necessary.

A report from the IPPC Secretariat will be a standing item on the May IC agenda and if urgent matters arise, the IPPC Secretariat may seek additional advice or guidance from the IC via e-Decision or at its November meeting.

The IC may request a progress report as needed.

#### 2 NRO work plan

The IPPC Secretariat will present an annual work plan to the IC in May of each year. The IC provides advice on these activities (current or planned), revises the work plan as needed and approves it.

### 5.1.2 Other NRO approved procedures

#### **General and Specific IPPC NRO Procedures<sup>58</sup>**

General and Specific IPPC NRO Procedures were adopted during the CPM-11(2016). They contain recommendations of the National Reporting Obligations Advisory Group and decisions taken by CPM in previous years. The tables form Appendix 9 to the Report from CPM-11.

<sup>57</sup> Approved by IC 2018-05 see Appendix 9 to report

<sup>58</sup> Link to General and Specific IPPC NRO Procedures on the IPP: <https://www.ippc.int/en/publications/82547/>

## 6. ADDITIONAL USEFUL PROCEDURES- INTRODUCTION

Other procedures may be adopted by the CPM, approved by the IC or developed by the IPPC Secretariat. For the convince of the IC, these are gathered and presented here.

### 6.1 Framework for Standards and Implementation

The CPM-11 (2016) adopted the Framework for Standards and Implementation and agreed 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. The CPM also agreed the framework is updated and maintained by the Secretariat, with responsibility for review and amendment resting jointly with the SC and CDC/IC and reviewed by Strategic Planning Group (SPG) and then presented to the CPM for endorsement.

At the IC May meetings, the IC reviews the framework to update the implementation part by adding newly developed implementation resources since the last May IC meeting and changing the status of the development of the implementation resources according to their progress. The IC assigns a champion for the framework to work with the SC champion and Secretariat.

In the CPM-13 (2018), CPs and RPPOs were requested to use the Framework as a reference when responding to the Call for Topics. The CPM also requested that the Task Force on Topics use the Framework for standards and implementation when reviewing submissions in response to the Call for Topics.

The Framework for Standards and Implementation is publicly available on the IPP<sup>59</sup>.

---

<sup>59</sup> Link to Framework for Standards and Implementation web page: <https://www.ippc.int/en/core-activities/standards-and-implementation/ippc-framework-for-standards-and-implementation/>

## LIST OF ANNEXES

- [Annex 1: The International Plant Protection Convention](#)
- [Annex 2: Rules of Procedure of the Commission on Phytosanitary Measures](#)
- [Annex 3: Draft IPPC Strategic Framework 2020-2030](#)
- [Annex 4: IPPC National Phytosanitary Capacity Development Strategy](#)
- [Annex 5: Statement of Commitment for Implementation and Capacity Development Activities](#)
- [Annex 6: Submission form for topics for Standards and Implementation](#)
- [Annex 7 : List of approved Guides and training material](#)
- [Annex 8: List of adopted ISPM.](#)

## ANNEX 1: The International Plant Protection Convention

### PREAMBLE

The contracting parties,

- *recognizing* the necessity for international cooperation in controlling pests of plants and plant products and in preventing their international spread, and especially their introduction into endangered areas;
- *recognizing* that phytosanitary measures should be technically justified, transparent and should not be applied in such a way as to constitute either a means of arbitrary or unjustified discrimination or a disguised restriction, particularly on international trade;
- *desiring* to ensure close coordination of measures directed to these ends;
- *desiring* to provide a framework for the development and application of harmonized phytosanitary measures and the elaboration of international standards to that effect;
- *taking into account* internationally approved principles governing the protection of plant, human and animal health, and the environment; and
- *noting* the agreements concluded as a result of the Uruguay Round of Multilateral Trade Negotiations, including the Agreement on the Application of Sanitary and Phytosanitary Measures;

have agreed as follows:

### ARTICLE I

#### Purpose and responsibility

1. With the purpose of securing common and effective action to prevent the spread and introduction of pests of plants and plant products, and to promote appropriate measures for their control, the contracting parties undertake to adopt the legislative, technical and administrative measures specified in this Convention and in supplementary agreements pursuant to Article XVI.
2. Each contracting party shall assume responsibility, without prejudice to obligations assumed under other international agreements, for the fulfilment within its territories of all requirements under this Convention.
3. The division of responsibilities for the fulfilment of the requirements of this Convention between member organizations of FAO and their member states that are contracting parties shall be in accordance with their respective competencies.
4. Where appropriate, the provisions of this Convention may be deemed by contracting parties to extend, in addition to plants and plant products, to storage places, packaging, conveyances, containers, soil and any other organism, object or material capable of harbouring or spreading plant pests, particularly where international transportation is involved.

### ARTICLE II

#### Use of terms

1. For the purpose of this Convention, the following terms shall have the meanings hereunder assigned to them:  
“Area of low pest prevalence” - an area, whether all of a country, part of a country, or all or parts of several countries, as identified by the competent authorities, in which a specific pest occurs at low levels and which is subject to effective surveillance, control or eradication measures;

“Commission” - the Commission on Phytosanitary Measures established under Article XI;

“Endangered area” - an area where ecological factors favour the establishment of a pest whose presence in the area will result in economically important loss;

“Establishment” - perpetuation, for the foreseeable future, of a pest within an area after entry;

“Harmonized phytosanitary measures” - phytosanitary measures established by contracting parties based on international standards;

“International standards” - international standards established in accordance with Article X, paragraphs 1 and 2;

“Introduction” - the entry of a pest resulting in its establishment;

“Pest” - any species, strain or biotype of plant, animal or pathogenic agent injurious to plants or plant products;

“Pest risk analysis” - the process of evaluating biological or other scientific and economic evidence to determine whether a pest should be regulated and the strength of any phytosanitary measures to be taken against it;

“Phytosanitary measure” - any legislation, regulation or official procedure having the purpose to prevent the introduction and/or spread of pests;

“Plant products” - unmanufactured material of plant origin (including grain) and those manufactured products that, by their nature or that of their processing, may create a risk for the introduction and spread of pests;

“Plants” - living plants and parts thereof, including seeds and germplasm;

“Quarantine pest” - a pest of potential economic importance to the area endangered thereby and not yet present there, or present but not widely distributed and being officially controlled;

“Regional standards” - standards established by a regional plant protection organization for the guidance of the members of that organization;

“Regulated article” - any plant, plant product, storage place, packaging, conveyance, container, soil and any other organism, object or material capable of harbouring or spreading pests, deemed to require phytosanitary measures, particularly where international transportation is involved;

“Regulated non-quarantine pest” - a non-quarantine pest whose presence in plants for planting affects the intended use of those plants with an economically unacceptable impact and which is therefore regulated within the territory of the importing contracting party;

“Regulated pest” - a quarantine pest or a regulated non-quarantine pest;

“Secretary” - Secretary of the Commission appointed pursuant to Article XII;

“Technically justified” - justified on the basis of conclusions reached by using an appropriate pest risk analysis or, where applicable, another comparable examination and evaluation of available scientific information.

2. The definitions set forth in this Article, being limited to the application of this Convention, shall not be deemed to affect definitions established under domestic laws or regulations of contracting parties.

### ARTICLE III

#### Relationship with other international agreements

Nothing in this Convention shall affect the rights and obligations of the contracting parties under relevant international agreements.

### ARTICLE IV

#### General provisions relating to the organizational arrangements for national plant protection

1. Each contracting party shall make provision, to the best of its ability, for an official national plant protection organization with the main responsibilities set out in this Article.



2. The responsibilities of an official national plant protection organization shall include the following:

- (a) the issuance of certificates relating to the phytosanitary regulations of the importing contracting party for consignments of plants, plant products and other regulated articles;
- (b) the surveillance of growing plants, including both areas under cultivation (*inter alia* fields, plantations, nurseries, gardens, greenhouses and laboratories) and wild flora, and of plants and plant products in storage or in transportation, particularly with the object of reporting the occurrence, outbreak and spread of pests, and of controlling those pests, including the reporting referred to under Article VIII paragraph 1(a);
- (c) the inspection of consignments of plants and plant products moving in international traffic and, where appropriate, the inspection of other regulated articles, particularly with the object of preventing the introduction and/or spread of pests;
- (d) the disinfection or disinfection of consignments of plants, plant products and other regulated articles moving in international traffic, to meet phytosanitary requirements;
- (e) the protection of endangered areas and the designation, maintenance and surveillance of pest free areas and areas of low pest prevalence;
- (f) the conduct of pest risk analyses;
- (g) to ensure through appropriate procedures that the phytosanitary security of consignments after certification regarding composition, substitution and reinfestation is maintained prior to export; and
- (h) training and development of staff.

3. Each contracting party shall make provision, to the best of its ability, for the following:

- (a) the distribution of information within the territory of the contracting party regarding regulated pests and the means of their prevention and control;
- (b) research and investigation in the field of plant protection;
- (c) the issuance of phytosanitary regulations; and
- (d) the performance of such other functions as may be required for the implementation of this Convention.

4. Each contracting party shall submit a description of its official national plant protection organization and of changes in such organization to the Secretary. A contracting party shall provide a description of its organizational arrangements for plant protection to another contracting party, upon request.

## ARTICLE V

### Phytosanitary certification

1. Each contracting party shall make arrangements for phytosanitary certification, with the objective of ensuring that exported plants, plant products and other regulated articles and consignments thereof are in conformity with the certifying statement to be made pursuant to paragraph 2(b) of this Article.

2. Each contracting party shall make arrangements for the issuance of phytosanitary certificates in conformity with the following provisions:

- (a) Inspection and other related activities leading to issuance of phytosanitary certificates shall be carried out only by or under the authority of the official national plant protection organization. The issuance of phytosanitary certificates shall be carried out by public officers who are technically qualified and duly authorized by the official national plant protection organization to act on its behalf and under its control with such knowledge and information available to those officers that the authorities of importing contracting parties may accept the phytosanitary certificates with confidence as dependable documents.

- (b) Phytosanitary certificates, or their electronic equivalent where accepted by the importing contracting party concerned, shall be as worded in the models set out in the Annex to this Convention. These certificates should be completed and issued taking into account relevant international standards.
- (c) Uncertified alterations or erasures shall invalidate the certificates.

3. Each contracting party undertakes not to require consignments of plants or plant products or other regulated articles imported into its territories to be accompanied by phytosanitary certificates inconsistent with the models set out in the Annex to this Convention. Any requirements for additional declarations shall be limited to those technically justified.

## **ARTICLE VI**

### **Regulated pests**

1. Contracting parties may require phytosanitary measures for quarantine pests and regulated non-quarantine pests, provided that such measures are:
  - (a) no more stringent than measures applied to the same pests, if present within the territory of the importing contracting party; and
  - (b) limited to what is necessary to protect plant health and/or safeguard the intended use and can be technically justified by the contracting party concerned.
2. Contracting parties shall not require phytosanitary measures for non-regulated pests.

## **ARTICLE VII**

### **Requirements in relation to imports**

1. With the aim of preventing the introduction and/or spread of regulated pests into their territories, contracting parties shall have sovereign authority to regulate, in accordance with applicable international agreements, the entry of plants and plant products and other regulated articles and, to this end, may:
  - (a) prescribe and adopt phytosanitary measures concerning the importation of plants, plant products and other regulated articles, including, for example, inspection, prohibition on importation, and treatment;
  - (b) refuse entry or detain, or require treatment, destruction or removal from the territory of the contracting party, of plants, plant products and other regulated articles or consignments thereof that do not comply with the phytosanitary measures prescribed or adopted under subparagraph (a);
  - (c) prohibit or restrict the movement of regulated pests into their territories;
  - (d) prohibit or restrict the movement of biological control agents and other organisms of phytosanitary concern claimed to be beneficial into their territories.
2. In order to minimize interference with international trade, each contracting party, in exercising its authority under paragraph 1 of this Article, undertakes to act in conformity with the following:
  - (a) Contracting parties shall not, under their phytosanitary legislation, take any of the measures specified in paragraph 1 of this Article unless such measures are made necessary by phytosanitary considerations and are technically justified.
  - (b) Contracting parties shall, immediately upon their adoption, publish and transmit phytosanitary requirements, restrictions and prohibitions to any contracting party or parties that they believe may be directly affected by such measures.
  - (c) Contracting parties shall, on request, make available to any contracting party the rationale for phytosanitary requirements, restrictions and prohibitions.
  - (d) If a contracting party requires consignments of particular plants or plant products to be imported only through specified points of entry, such points shall be so selected as not to

unnecessarily impede international trade. The contracting party shall publish a list of such points of entry and communicate it to the Secretary, any regional plant protection organization of which the contracting party is a member, all contracting parties which the contracting party believes to be directly affected, and other contracting parties upon request. Such restrictions on points of entry shall not be made unless the plants, plant products or other regulated articles concerned are required to be accompanied by phytosanitary certificates or to be submitted to inspection or treatment.

- (e) Any inspection or other phytosanitary procedure required by the plant protection organization of a contracting party for a consignment of plants, plant products or other regulated articles offered for importation, shall take place as promptly as possible with due regard to their perishability.
- (f) Importing contracting parties shall, as soon as possible, inform the exporting contracting party concerned or, where appropriate, the re-exporting contracting party concerned, of significant instances of non-compliance with phytosanitary certification. The exporting contracting party or, where appropriate, the re-exporting contracting party concerned, should investigate and, on request, report the result of its investigation to the importing contracting party concerned.
- (g) Contracting parties shall institute only phytosanitary measures that are technically justified, consistent with the pest risk involved and represent the least restrictive measures available, and result in the minimum impediment to the international movement of people, commodities and conveyances.
- (h) Contracting parties shall, as conditions change, and as new facts become available, ensure that phytosanitary measures are promptly modified or removed if found to be unnecessary.
- (i) Contracting parties shall, to the best of their ability, establish and update lists of regulated pests, using scientific names, and make such lists available to the Secretary, to regional plant protection organizations of which they are members and, on request, to other contracting parties.
- (j) Contracting parties shall, to the best of their ability, conduct surveillance for pests and develop and maintain adequate information on pest status in order to support categorization of pests, and for the development of appropriate phytosanitary measures. This information shall be made available to contracting parties, on request.

3. A contracting party may apply measures specified in this Article to pests which may not be capable of establishment in its territories but, if they gained entry, cause economic damage. Measures taken against these pests must be technically justified.

4. Contracting parties may apply measures specified in this Article to consignments in transit through their territories only where such measures are technically justified and necessary to prevent the introduction and/or spread of pests.

5. Nothing in this Article shall prevent importing contracting parties from making special provision, subject to adequate safeguards, for the importation, for the purpose of scientific research, education, or other specific use, of plants and plant products and other regulated articles, and of plant pests.

6. Nothing in this Article shall prevent any contracting party from taking appropriate emergency action on the detection of a pest posing a potential threat to its territories or the report of such a detection. Any such action shall be evaluated as soon as possible to ensure that its continuance is justified. The action taken shall be immediately reported to contracting parties concerned, the Secretary, and any regional plant protection organization of which the contracting party is a member.

## ARTICLE VIII

### International cooperation

1. The contracting parties shall cooperate with one another to the fullest practicable extent in achieving the aims of this Convention, and shall in particular:

- (a) cooperate in the exchange of information on plant pests, particularly the reporting of the occurrence, outbreak or spread of pests that may be of immediate or potential danger, in accordance with such procedures as may be established by the Commission;
- (b) participate, in so far as is practicable, in any special campaigns for combatting pests that may seriously threaten crop production and need international action to meet the emergencies; and
- (c) cooperate, to the extent practicable, in providing technical and biological information necessary for pest risk analysis.

2. Each contracting party shall designate a contact point for the exchange of information connected with the implementation of this Convention.

## **ARTICLE IX**

### **Regional plant protection organizations**

1. The contracting parties undertake to cooperate with one another in establishing regional plant protection organizations in appropriate areas.

2. The regional plant protection organizations shall function as the coordinating bodies in the areas covered, shall participate in various activities to achieve the objectives of this Convention and, where appropriate, shall gather and disseminate information.

3. The regional plant protection organizations shall cooperate with the Secretary in achieving the objectives of the Convention and, where appropriate, cooperate with the Secretary and the Commission in developing international standards.

4. The Secretary will convene regular Technical Consultations of representatives of regional plant protection organizations to:

- (a) promote the development and use of relevant international standards for phytosanitary measures; and
- (b) encourage inter-regional cooperation in promoting harmonized phytosanitary measures for controlling pests and in preventing their spread and/or introduction.

## **ARTICLE X**

### **Standards**

1. The contracting parties agree to cooperate in the development of international standards in accordance with the procedures adopted by the Commission.

2. International standards shall be adopted by the Commission.

3. Regional standards should be consistent with the principles of this Convention; such standards may be deposited with the Commission for consideration as candidates for international standards for phytosanitary measures if more broadly applicable.

4. Contracting parties should take into account, as appropriate, international standards when undertaking activities related to this Convention.

## **ARTICLE XI**

### **Commission on Phytosanitary Measures**

1. Contracting parties agree to establish the Commission on Phytosanitary Measures within the framework of the Food and Agriculture Organization of the United Nations (FAO).

2. The functions of the Commission shall be to promote the full implementation of the objectives of the Convention and, in particular, to:

- (a) review the state of plant protection in the world and the need for action to control the international spread of pests and their introduction into endangered areas;
- (b) establish and keep under review the necessary institutional arrangements and procedures for the development and adoption of international standards, and to adopt international standards;
- (c) establish rules and procedures for the resolution of disputes in accordance with Article XIII;
- (d) establish such subsidiary bodies of the Commission as may be necessary for the proper implementation of its functions;
- (e) adopt guidelines regarding the recognition of regional plant protection organizations;
- (f) establish cooperation with other relevant international organizations on matters covered by this Convention;
- (g) adopt such recommendations for the implementation of the Convention as necessary; and
- (h) perform such other functions as may be necessary to the fulfilment of the objectives of this Convention.

3. Membership in the Commission shall be open to all contracting parties.

4. Each contracting party may be represented at sessions of the Commission by a single delegate who may be accompanied by an alternate, and by experts and advisers. Alternates, experts and advisers may take part in the proceedings of the Commission but may not vote, except in the case of an alternate who is duly authorized to substitute for the delegate.

5. The contracting parties shall make every effort to reach agreement on all matters by consensus. If all efforts to reach consensus have been exhausted and no agreement is reached, the decision shall, as a last resort, be taken by a two-thirds majority of the contracting parties present and voting.

6. A member organization of FAO that is a contracting party and the member states of that member organization that are contracting parties shall exercise their membership rights and fulfil their membership obligations in accordance, *mutatis mutandis*, with the Constitution and General Rules of FAO.

7. The Commission may adopt and amend, as required, its own Rules of Procedure, which shall not be inconsistent with this Convention or with the Constitution of FAO.

8. The Chairperson of the Commission shall convene an annual regular session of the Commission.

9. Special sessions of the Commission shall be convened by the Chairperson of the Commission at the request of at least one-third of its members.

10. The Commission shall elect its Chairperson and no more than two Vice-Chairpersons, each of whom shall serve for a term of two years.

## ARTICLE XII

### Secretariat

1. The Secretary of the Commission shall be appointed by the Director-General of FAO.

2. The Secretary shall be assisted by such secretariat staff as may be required.

3. The Secretary shall be responsible for implementing the policies and activities of the Commission and carrying out such other functions as may be assigned to the Secretary by this Convention and shall report thereon to the Commission.

4. The Secretary shall disseminate:
  - (a) international standards to all contracting parties within sixty days of adoption;
  - (b) to all contracting parties, lists of points of entry under Article VII paragraph 2(d) communicated by contracting parties;
  - (c) lists of regulated pests whose entry is prohibited or referred to in Article VII paragraph 2(i) to all contracting parties and regional plant protection organizations;
  - (d) information received from contracting parties on phytosanitary requirements, restrictions and prohibitions referred to in Article VII paragraph 2(b), and descriptions of official national plant protection organizations referred to in Article IV paragraph 4.
5. The Secretary shall provide translations in the official languages of FAO of documentation for meetings of the Commission and international standards.
6. The Secretary shall cooperate with regional plant protection organizations in achieving the aims of the Convention.

### **ARTICLE XIII**

#### **Settlement of disputes**

1. If there is any dispute regarding the interpretation or application of this Convention, or if a contracting party considers that any action by another contracting party is in conflict with the obligations of the latter under Articles V and VII of this Convention, especially regarding the basis of prohibiting or restricting the imports of plants, plant products or other regulated articles coming from its territories, the contracting parties concerned shall consult among themselves as soon as possible with a view to resolving the dispute.
2. If the dispute cannot be resolved by the means referred to in paragraph 1, the contracting party or parties concerned may request the Director-General of FAO to appoint a committee of experts to consider the question in dispute, in accordance with rules and procedures that may be established by the Commission.
3. This Committee shall include representatives designated by each contracting party concerned. The Committee shall consider the question in dispute, taking into account all documents and other forms of evidence submitted by the contracting parties concerned. The Committee shall prepare a report on the technical aspects of the dispute for the purpose of seeking its resolution. The preparation of the report and its approval shall be according to rules and procedures established by the Commission, and it shall be transmitted by the Director-General to the contracting parties concerned. The report may also be submitted, upon its request, to the competent body of the international organization responsible for resolving trade disputes.
4. The contracting parties agree that the recommendations of such a committee, while not binding in character, will become the basis for renewed consideration by the contracting parties concerned of the matter out of which the disagreement arose.
5. The contracting parties concerned shall share the expenses of the experts.
6. The provisions of this Article shall be complementary to and not in derogation of the dispute settlement procedures provided for in other international agreements dealing with trade matters.

### **ARTICLE XIV**

#### **Substitution of prior agreements**

This Convention shall terminate and replace, between contracting parties, the International Convention respecting measures to be taken against the *Phylloxera vastatrix* of 3 November 1881, the additional

Convention signed at Berne on 15 April 1889 and the International Convention for the Protection of Plants signed at Rome on 16 April 1929.

## ARTICLE XV

### **Territorial application**

1. Any contracting party may at the time of ratification or adherence or at any time thereafter communicate to the Director-General of FAO a declaration that this Convention shall extend to all or any of the territories for the international relations of which it is responsible, and this Convention shall be applicable to all territories specified in the declaration as from the thirtieth day after the receipt of the declaration by the Director-General.
2. Any contracting party which has communicated to the Director-General of FAO a declaration in accordance with paragraph 1 of this Article may at any time communicate a further declaration modifying the scope of any former declaration or terminating the application of the provisions of the present Convention in respect of any territory. Such modification or termination shall take effect as from the thirtieth day after the receipt of the declaration by the Director-General.
3. The Director-General of FAO shall inform all contracting parties of any declaration received under this Article.

## ARTICLE XVI

### **Supplementary agreements**

1. The contracting parties may, for the purpose of meeting special problems of plant protection which need particular attention or action, enter into supplementary agreements. Such agreements may be applicable to specific regions, to specific pests, to specific plants and plant products, to specific methods of international transportation of plants and plant products, or otherwise supplement the provisions of this Convention.
2. Any such supplementary agreements shall come into force for each contracting party concerned after acceptance in accordance with the provisions of the supplementary agreements concerned.
3. Supplementary agreements shall promote the intent of this Convention and shall conform to the principles and provisions of this Convention, as well as to the principles of transparency, non-discrimination and the avoidance of disguised restrictions, particularly on international trade.

## ARTICLE XVII

### **Ratification and adherence**

1. This Convention shall be open for signature by all states until 1 May 1952 and shall be ratified at the earliest possible date. The instruments of ratification shall be deposited with the Director-General of FAO, who shall give notice of the date of deposit to each of the signatory states.
2. As soon as this Convention has come into force in accordance with Article XXII it shall be open for adherence by non-signatory states and member organizations of FAO. Adherence shall be effected by the deposit of an instrument of adherence with the Director-General of FAO, who shall notify all contracting parties.
3. When a member organization of FAO becomes a contracting party to this Convention, the member organization shall, in accordance with the provisions of Article II paragraph 7 of the FAO Constitution, as appropriate, notify at the time of its adherence such modifications or clarifications to its declaration of competence submitted under Article II paragraph 5 of the FAO Constitution as may be necessary in light of its acceptance of this Convention. Any contracting party to this Convention may, at any time, request a member organization of FAO that is a contracting party to this Convention to provide information as to which, as between the member organization and its member states, is

responsible for the implementation of any particular matter covered by this Convention. The member organization shall provide this information within a reasonable time.

## **ARTICLE XVIII**

### **Non-contracting parties**

The contracting parties shall encourage any state or member organization of FAO, not a party to this Convention, to accept this Convention, and shall encourage any non-contracting party to apply phytosanitary measures consistent with the provisions of this Convention and any international standards adopted hereunder.

## **ARTICLE XIX**

### **Languages**

1. The authentic languages of this Convention shall be all official languages of FAO.
2. Nothing in this Convention shall be construed as requiring contracting parties to provide and to publish documents or to provide copies of them other than in the language(s) of the contracting party, except as stated in paragraph 3 below.
3. The following documents shall be in at least one of the official languages of FAO:
  - (a) information provided according to Article IV paragraph 4;
  - (b) cover notes giving bibliographical data on documents transmitted according to Article VII paragraph 2(b);
  - (c) information provided according to Article VII paragraph 2(b), (d), (i) and (j);
  - (d) notes giving bibliographical data and a short summary of relevant documents on information provided according to Article VIII paragraph 1(a);
  - (e) requests for information from contact points as well as replies to such requests, but not including any attached documents;
  - (f) any document made available by contracting parties for meetings of the Commission.

## **ARTICLE XX**

### **Technical assistance**

The contracting parties agree to promote the provision of technical assistance to contracting parties, especially those that are developing contracting parties, either bilaterally or through the appropriate international organizations, with the objective of facilitating the implementation of this Convention.

## **ARTICLE XXI**

### **Amendment**

1. Any proposal by a contracting party for the amendment of this Convention shall be communicated to the Director-General of FAO.
2. Any proposed amendment of this Convention received by the Director-General of FAO from a contracting party shall be presented to a regular or special session of the Commission for approval and, if the amendment involves important technical changes or imposes additional obligations on the contracting parties, it shall be considered by an advisory committee of specialists convened by FAO prior to the Commission.
3. Notice of any proposed amendment of this Convention, other than amendments to the Annex, shall be transmitted to the contracting parties by the Director-General of FAO not later than the time when the agenda of the session of the Commission at which the matter is to be considered is dispatched.



4. Any such proposed amendment of this Convention shall require the approval of the Commission and shall come into force as from the thirtieth day after acceptance by two-thirds of the contracting parties. For the purpose of this Article, an instrument deposited by a member organization of FAO shall not be counted as additional to those deposited by member states of such an organization.

5. Amendments involving new obligations for contracting parties, however, shall come into force in respect of each contracting party only on acceptance by it and as from the thirtieth day after such acceptance. The instruments of acceptance of amendments involving new obligations shall be deposited with the Director-General of FAO, who shall inform all contracting parties of the receipt of acceptance and the entry into force of amendments.

6. Proposals for amendments to the model phytosanitary certificates set out in the Annex to this Convention shall be sent to the Secretary and shall be considered for approval by the Commission. Approved amendments to the model phytosanitary certificates set out in the Annex to this Convention shall become effective ninety days after their notification to the contracting parties by the Secretary.

7. For a period of not more than twelve months from an amendment to the model phytosanitary certificates set out in the Annex to this Convention becoming effective, the previous version of the phytosanitary certificates shall also be legally valid for the purpose of this Convention.

## **ARTICLE XXII**

### **Entry into force**

As soon as this Convention has been ratified by three signatory states it shall come into force among them. It shall come into force for each state or member organization of FAO ratifying or adhering thereafter from the date of deposit of its instrument of ratification or adherence.

## **ARTICLE XXIII**

### **Denunciation**

1. Any contracting party may at any time give notice of denunciation of this Convention by notification addressed to the Director-General of FAO. The Director-General shall at once inform all contracting parties.

2. Denunciation shall take effect one year from the date of receipt of the notification by the Director-General of FAO.

## ANNEX

**Model Phytosanitary Certificate**

No. \_\_\_\_\_

Plant Protection Organization of \_\_\_\_\_

TO: Plant Protection Organization(s) of \_\_\_\_\_

**I. Description of Consignment**

Name and address of exporter: \_\_\_\_\_

Declared name and address of consignee: \_\_\_\_\_

Number and description of packages: \_\_\_\_\_

Distinguishing marks: \_\_\_\_\_

Place of origin: \_\_\_\_\_

Declared means of conveyance: \_\_\_\_\_

Declared point of entry: \_\_\_\_\_

Name of produce and quantity declared: \_\_\_\_\_

Botanical name of plants: \_\_\_\_\_

This is to certify that the plants, plant products or other regulated articles described herein have been inspected and/or tested according to appropriate official procedures and are considered to be free from the quarantine pests specified by the importing contracting party and to conform with the current phytosanitary requirements of the importing contracting party, including those for regulated non-quarantine pests.

They are deemed to be practically free from other pests.\*

**II. Additional Declaration**

[Enter text here]

**III. Disinfestation and/or Disinfection Treatment**

Date \_\_\_\_\_ Treatment \_\_\_\_\_ Chemical (active ingredient) \_\_\_\_\_

Duration and temperature \_\_\_\_\_

Concentration \_\_\_\_\_

Additional information \_\_\_\_\_

\_\_\_\_\_

Place of issue \_\_\_\_\_

(Stamp of Organization) Name of authorized officer \_\_\_\_\_

Date \_\_\_\_\_

(Signature)

\_\_\_\_\_

No financial liability with respect to this certificate shall attach to \_\_\_\_\_ (name of Plant Protection Organization) or to any of its officers or representatives.\*

\* Optional clause

**Model Phytosanitary Certificate for Re-Export**

No. \_\_\_\_\_

Plant Protection Organization of \_\_\_\_\_ (contracting party of re-export)

TO: Plant Protection Organization(s) of \_\_\_\_\_ (contracting party(ies) of import)

**I. Description of Consignment**

Name and address of exporter: \_\_\_\_\_

Declared name and address of consignee: \_\_\_\_\_

Number and description of packages: \_\_\_\_\_

Distinguishing marks: \_\_\_\_\_

Place of origin: \_\_\_\_\_

Declared means of conveyance: \_\_\_\_\_

Declared point of entry: \_\_\_\_\_

Name of produce and quantity declared: \_\_\_\_\_

Botanical name of plants: \_\_\_\_\_

This is to certify that the plants, plant products or other regulated articles described above \_\_\_\_\_ were imported into (contracting party of re-export) \_\_\_\_\_ from \_\_\_\_\_ (contracting party of origin) covered by Phytosanitary Certificate No. \_\_\_\_\_, \*original ☐ certified true copy ☐ of which is attached to this certificate; that they are packed ☐ repacked ☐ in original ☐ \*new ☐ containers, that based on the original phytosanitary certificate ☐ and additional inspection ☐, they are considered to conform with the current phytosanitary requirements of the importing contracting party, and that during storage in \_\_\_\_\_ (contracting party of re-export), the consignment has not been subjected to the risk of infestation or infection.

\* Insert tick in appropriate ☐ boxes**II. Additional Declaration****III. Disinfestation and/or Disinfection Treatment**

Date \_\_\_\_\_ Treatment \_\_\_\_\_ Chemical (active ingredient) \_\_\_\_\_

Duration and temperature \_\_\_\_\_

Concentration \_\_\_\_\_

Additional information \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

(Stamp of Organization) \_\_\_\_\_

Name of authorized officer \_\_\_\_\_

Date \_\_\_\_\_

(Signature)

\_\_\_\_\_

No financial liability with respect to this certificate shall attach to \_\_\_\_\_ (name of Plant Protection Organization) or to any of its officers or representatives.\*

\* Optional clause

## Publication history

2016-2017 version:

- Included CPM-11 (2015) adopted Standard setting procedure and updated the Procedure manual throughout accordingly (e.g. deleted section on “editorial team”, modified “availability of standard setting documents”, included additional paragraph in the SC rules of procedure, updated all figures relevant to the process, and edited all sections to ensure consistency in terminology with the new procedure. In this context, a number of paragraphs were moved for better flow, and black vs blue text was checked and corrected where necessary.
- Deleted annex 9 as pertaining to “formal objections”.
- Updated section on IPPC regional workshops
- Included note on process for ink amendments in languages other than English
- Major reorganization and update of the TPPT section.
- Updated submission form for topics with consistent and correct wording.

2017-2018 version:

- Included change from “Regional workshops on draft ISPMs” to “IPPC regional workshops”
- Updated the procedure for the Language Review Groups
- Updated the roles and functions of regional plant protection organizations
- Added a note on regional procedures for the submission of nominations to the Standards Committee
- Added deadlines for posting papers for virtual meetings
- Added information on calls for phytosanitary treatments to be posted on the Phytosanitary Resources page, on the TPPT reviewing and categorizing the submitted treatments
- Modified the note on extending the scopes of irradiation treatments to other genera in the families
- Modified the submission for phytosanitary treatments and added a submission form for treatments to be posted on the Phytosanitary Resources page

Publication history last updated: 2017-10

## ANNEX 2: Rules of Procedure of the Commission on Phytosanitary Measures<sup>60</sup>

### Rule I: Membership

Membership of the Commission on Phytosanitary Measures (hereafter referred to as “the Commission”) consists of all contracting parties to the International Plant Protection Convention (hereafter referred to as “the IPPC”).

Before the opening of each session of the Commission, each contracting party (hereafter referred to as “member of the Commission”) shall communicate to the Director-General (hereafter referred to as “the Director-General”) of the Food and Agriculture Organization of the United Nations (hereafter referred to as “the Organization”) the names of all the persons (the head of the delegation, as well as alternates, experts and advisers) appointed by such member of the Commission to represent it during the session mentioned above. For the purpose of these Rules, the term “delegates” means the persons so appointed.

### Rule II: Officers

The Commission shall elect a Chairperson, a Vice-Chairperson and other persons from among the delegates to form a Commission Bureau of seven persons, so that each FAO region is represented. The Commission shall elect a rapporteur for each regular session from among the delegates. No delegate shall be eligible without the concurrence of the respective head of delegation. The Commission Bureau shall be elected under the FAO Rules and Regulations at the end of a regular session and shall hold office for a term of two years. Subject to the agreement of the region concerned, an individual member shall be eligible for re-election for another two consecutive terms. In exceptional circumstances, an FAO region may submit a request to the CPM for an exception to allow a member to serve an additional term(s). The Chairperson, or in the absence of the Chairperson, a Vice-Chairperson, shall preside at all meetings of the Commission and shall exercise such other functions as may be required to facilitate the work of the Commission. A Vice-Chairperson acting as a Chairperson shall have the same powers and duties as the Chairperson. The purpose of the Commission Bureau is to provide guidance to the Commission on the strategic direction, financial and operational management of its activities in cooperation with others as approved by the Commission. *Detailed Rules of Procedure for the Bureau are attached in Annex I which shall constitute an integral part of these Rules of Procedure.*

The Chairperson shall declare the opening and closing of each plenary meeting of the session. He/she shall direct the discussions in plenary meetings, and at such meetings ensure observance of these Rules, accord the right to speak, put questions and announce decisions. He/she shall rule on points of order and, subject to these Rules, shall have complete control over the proceedings at any meetings. He/she may, in the course of the discussion of an item, propose to the Commission the limitation of the time to be allowed to speakers, the number of times each delegation may speak on any question, the closure of the list of speakers, the suspension or adjournment of the meeting, or the adjournment or closure of the debate on the item under discussion.

The Chairperson, or a Vice-Chairperson acting as Chairperson, shall not vote but may appoint an alternate, associate or adviser from his/her delegation to vote in his/her place (see Annex I for the RoP of the CPM Bureau and Annex II for the Guidelines for Rotation of the CPM Chairperson and Vice-Chairperson and Nomination of Bureau).

The Chairperson, in the exercise of his/her functions, remains under the authority of the Commission.

<sup>60</sup> The ICPM-1(1998) provisionally adopted the Rules of Procedures (RoPs) of the Commission, ICPM-2 (1999) revised and adopted the RoPs; CPM-7 (2012) adopted the revised Standard setting procedure; CPM-8 (2013) revised and adopted the CPM RoPs *for the CPM Bureau and rule VII for observers*.

### **Rule III: Secretary**

The Secretary of the IPPC shall be responsible for implementing the activities assigned to the Secretariat in accordance with the policies of the Commission. The Secretary shall report to the Commission on the activities assigned to the Secretariat.

### **Rule IV: Sessions**

The Commission shall hold one regular session each year. Special sessions shall be held as considered necessary by the Commission or at the written request of at least one third of the members of the Commission.

Sessions of the Commission shall be convened by the Chairperson of the Commission, after consultation with the Director-General.

Notice of the date and place of each session of the Commission shall be communicated to all the members of the Commission at least two months before the session.

Each member of the Commission shall have one representative, head of delegation, who may be accompanied by one or more alternates, experts and advisers. An alternate, expert or adviser shall not have the right to vote except when substituting for the head of delegation.

Meetings of the Commission shall be held in public unless the Commission decides otherwise.

A majority of the members of the Commission shall constitute a quorum.

### **Rule V: Agenda and documents**

The Director-General, in consultation with the Chairperson of the Commission, shall prepare a provisional agenda.

The first item on the provisional agenda shall be the adoption of the Agenda.

Any member of the Commission may request the Director-General to include specific items in the Provisional Agenda.

The Provisional Agenda shall normally be circulated by the Director-General at least two months in advance of the session to all members of the Commission and to all observers invited to attend the session.

Any member of the Commission, and the Director-General, may, after the despatch of the Provisional Agenda, propose the inclusion of specific items on the Agenda with respect to matters of an urgent nature. These items should be placed on a supplementary list, which, if time permits before the opening of the session, shall be dispatched by the Director-General to all members of the Commission, failing which the supplementary list shall be communicated to the Chairperson for submission to the Commission.

After the Agenda has been adopted, the Commission may, by a two-thirds majority of the members of the Commission present and voting, amend the Agenda by the deletion, addition or modification of any item. No matter referred to the Commission by the Conference or Council of the Organization may be omitted from the Agenda.

Documents to be submitted to the Commission at any Session shall be furnished by the Director-General to all the members of the Commission and to observers invited to the session, at the time the Agenda is dispatched or as soon as possible thereafter.

Formal proposals relating to items on the Agenda and amendments thereto introduced during a session of the Commission shall be made in writing and handed to the Chairperson, who shall arrange for copies to be circulated to all delegates.

## Rule VI: Voting procedures

Subject to the provisions of Article II of the Constitution of the Organization, each member of the Commission shall have one vote.

The Commission shall make every effort to reach agreement on all matters by consensus. If all efforts to reach consensus have been exhausted and no agreement has been reached, the decision shall, as the last resort be taken by a two-thirds majority of the members of the Commission present and voting.

For the purpose of these Rules, the phrase “members present and voting” means members of the Commission casting an affirmative or negative vote. Members who abstain from voting or cast a defective ballot are considered as not voting.

Upon the request of any member of the Commission, voting shall be by roll-call vote, in which case the vote of each member shall be recorded.

When the Commission so decides, voting shall be by secret ballot.

The provisions of Rule XII of the General Rules of the Organization shall apply *mutatis mutandis* to all matters not specifically dealt with under this Rule.

## Rule VII: Observers

Regional plant protection organizations (RPPOs) recognized by the Commission under article IX of the IPPC shall participate only as observers in all meetings of the Commission.

Countries can participate as observers in meetings of the Commission as follows:

- Any Country that is not a contracting party but is a Member of FAO, as well as the United Nations, any of its specialized agencies and the International Atomic Energy Agency, may upon request communicated to the IPPC Secretary and endorsement by the CPM Bureau, participate as an observer in meetings of the Commission.
- Any Country that is not a Member of FAO or an IPPC contracting party, but is a Member of the United Nations, any of its specialized agencies or the International Atomic Energy Agency may, upon request communicated to the FAO Director General, and subject to the relevant provisions of the Basic Texts of the Organization, be invited to participate as an observer in meetings of the Commission.
- Any Country that is not a Member of FAO or a member of the United Nations, any of its specialized agencies or the International Atomic Energy Agency shall not be permitted to send observers to meetings of the Commission.

International organizations, whether intergovernmental or non-governmental, may, subject to the relevant provisions of the Basic Texts of the Organization participate as observers in meetings of the Commission. Relations with the concerned organization shall be dealt with by the Director-General, FAO, taking into account guidance given by the Commission.

### i. Intergovernmental organizations (IGOs):

- IGOs should meet the following criteria: it should have been set up by an intergovernmental convention (a convention to which the parties are States); the governing body of the organization should be composed of members designated by governments; the income of the organization should be made up mainly, if not exclusively, of contributions from governments.
- IGOs that have established formal relations with FAO may, upon request communicated to the IPPC Secretary and endorsement by the Bureau, participate as observers in meetings of the Commission.
- IGOs that have not established formal relations with FAO may, upon request communicated to the IPPC Secretary, participate as observers in meetings of the Commission if, in the judgment

of the IPPC Secretary and the CPM Bureau, there are concrete reasons for allowing their participation which would forward the work of the Commission.

- ii. International non-governmental organizations (INGOs):
- INGOs that have been granted formal status by FAO may participate in meetings of the Commission.
  - INGOs that have not been granted formal status by FAO may, upon request communicated to the IPPC Secretary, participate as observers in meetings of the Commission if, in the judgment of the IPPC Secretary and the CPM Bureau, there are concrete reasons for allowing their participation which would forward the work of the Commission.
  - INGOs that have not been granted formal status by FAO shall be examined in light of the following criteria: they should be international in structure and scope of activity, and representative of the specialized field of interest in which they operate; they should be concerned with matters covering a part or all of the Commission's field of activity; they should have aims and purposes in conformity with the IPPC; they should have a permanent directing body and Secretariat, authorized representatives and systematic procedures and machinery for communicating with its membership in various countries; and they should have been established at least three years before they request participating in the meetings of the Commission.

Observers to CPM meetings may: i) participate in the discussions, subject to the approval of the Chairperson of the Commission and without the right to vote; ii) receive the documents other than those of a restricted nature, and iii) circulate, without abridgement, the views of the organization or country which they represent on particular items of the agenda.

CPM Bureau meetings are not open to observers.

Each CPM Subsidiary Body shall establish its own rules on observers which shall conform to these Rules and the relevant provisions of the FAO Basic Texts.

### **Rule VIII: Records and reports**

At each session, the Commission shall approve a report embodying its views, recommendations and conclusions, including, when requested, a statement of minority views. Such other records, for its own use, as the Commission may on occasion decide, shall also be maintained.

The report of the Commission shall be transmitted at the close of each session to the Director-General who shall circulate it to all members of the Commission and observers that were represented at the session, for their information, and, upon request, to other Members and Associate Members of the Organization.

Recommendations of the Commission having policy, programme or financial implications for the Organization shall be brought by the Director-General to the attention of the Conference and/or of the Council of the Organization for appropriate action.

Subject to the provisions of the preceding paragraph the Director-General may request members of the Commission to supply the Commission with information on action taken on the basis of recommendations made by the Commission.

### **Rule IX: Subsidiary bodies**

The Commission may establish such subsidiary bodies as it deems necessary for the accomplishment of its functions.

The terms of reference and procedures of the subsidiary bodies shall be determined by the Commission.

Membership in these subsidiary bodies shall consist of selected members of the Commission, or of individuals appointed in their personal capacity as respectively determined by the Commission.



The representatives of subsidiary bodies shall be specialists in the fields of activity of the respective subsidiary bodies.

The establishment of subsidiary bodies shall be subject to the availability of the necessary funds in the relevant chapter of the approved budget of the Organization. Before taking any decision involving expenditure in connection with the establishment of subsidiary bodies, the Commission shall have before it a report from the Director-General on the administrative and financial implications thereof.

Each subsidiary body shall elect its own officers, unless appointed by the Commission.

#### **Rule X: Development and adoption of International Standards**

The procedures for the development and adoption of international standards are set out in the Annex III to these Rules and shall form an integral part thereof.

Notwithstanding the provisions of Rule VI.2, where consensus is not reached on a proposal for the adoption of a standard which has been introduced before the Commission for the first time, the proposed standard shall be referred back to the appropriate body of the Commission, together with its comments thereon, for further consideration.

#### **Rule XI: Expenses**

Expenses incurred by delegates when attending sessions of the Commission or of its subsidiary bodies, as well as the expenses incurred by observers at sessions, shall be borne by their respective governments or organizations. Developing countries delegates may request financial assistance to attend sessions of the Commission or its subsidiary bodies.

Any financial operations of the Commission and its subsidiary bodies shall be governed by the appropriate provisions of the Financial Regulations of the Organization.

#### **Rule XII: Languages**

Pursuant to Rule XLVII of the General Rules of the Organization, the languages of the Commission and its subsidiary bodies shall be the languages of the Organization.

Any representative using a language other than one of the languages of the Commission shall provide for interpretation into one of the languages of the Commission.

#### **Rule XIII: Amendment and suspension of the rules**

Amendment of or additions to these Rules may be adopted by a two-thirds majority of the members of the Commission present and voting, provided that not less than 24 hours' notice of the proposal for the amendment or the addition has been given.

Any of the above Rules of the Commission, other than Rule I.1, Rule IV.2 and 6, Rule V.6, Rule VI.1 and 2, Rule VII, Rule VIII.3 and 4, Rule IX.2 and 5, Rule XI, Rule XIII.1 and Rule XIV may be suspended by a two thirds majority of the members of the Commission present and voting, provided that not less than 24 hours' notice of the proposal for suspension has been given. Such notice may be waived if no representative of the members of the Commission objects.

#### **Rule XIV: Entry into force**

These Rules and any amendments or additions thereto shall come into force upon approval by the Director-General of the Organization.

**ANNEX I**

**RULES OF PROCEDURE FOR THE BUREAU OF THE  
COMMISSION ON PHYTOSANITARY MEASURES<sup>61</sup>**

**Rule 1. Purpose of the Bureau**

The purpose of the Bureau is to provide guidance to the CPM on the strategic direction, financial and operational management of its activities in cooperation with others as approved by CPM.

As appropriate, members of the Bureau will also assist the CPM in its administrative and operational duties. The Bureau provides continuity in the management of the CPM and, through representation of all FAO regions, facilitates the expression of all viewpoints on strategic, administrative and procedural matters on an ongoing basis.

**Rule 2. Functions of the Bureau**

(1) The Bureau shall have the following functions:

- Ensuring the efficient implementation of the CPM work programme in coordination with the Secretariat.
- Making recommendations to improve CPM management and delivery of strategic directions, financial and operational activities.
- Assisting with the administrative, and operational duties of the CPM in areas such as:
  - delivery of the IPPC Strategic Framework
  - financial planning and management
- Providing advice, guidance and strategic direction to subsidiary and other bodies in between plenary sessions of the CPM, in accordance with CPM decisions.
- Addressing specific issues assigned to it by the CPM.

**Rule 3. Membership**

The members of the Bureau shall be elected by the CPM as per Rule II of the Rules of Procedure of the CPM.

FAO regions select their candidates for membership of the Bureau on the basis of the procedures agreed within each region.

**Rule 4. Replacement of members**

FAO regions shall nominate replacements for members of the Bureau and submit them to the CPM for election. Replacements should be eligible to be members as set forth in these Rules. Each FAO region shall select a maximum of two replacements for CPM election. If a member of the Bureau, other than the Chairperson, becomes unavailable for a meeting their respective replacement may substitute them during that specific meeting. If a member of the Bureau becomes unavailable on a long term basis, for unavoidable reasons, resigns or no longer meets the qualifications required for being member of the Bureau, the replacement will substitute the member of the Bureau for the remainder of the term of office for which he/she has been elected. The replacement should be from the same region as the member of the Bureau being replaced.

---

<sup>61</sup> CPM-8 (2013) and adopted the Annex I of the CPM RoPs.

## **Rule 5. Chairperson**

The Chairperson of the CPM shall be the Chairperson of the Bureau.

## **Rule 6. Meetings**

Bureau meetings shall be convened by the IPPC Secretary. Four members of the Bureau shall constitute a quorum. The Bureau shall meet at least twice a year. The IPPC Secretary may also convene meetings of the Bureau as necessary to enable any outstanding specific activities to be undertaken before the following CPM session or scheduled Bureau meeting.

In the absence of the Chairperson, the Vice Chairperson will chair the meeting.

Meetings of the Bureau shall be closed unless otherwise determined by the Bureau. The Bureau may invite experts to provide advice or information on specific matters. The IPPC Secretary or a representative designated by him/her shall attend the meetings of the Bureau.

## **Rule 7. Decision making**

Decisions will be made by consensus. Situations where consensus cannot be reached shall be described in the meeting reports detailing all positions maintained and presented to the CPM for guidance and appropriate action.

## **Rule 8. Documentation, records and reports**

The Secretariat is responsible for coordinating the activities of the Bureau and providing administrative, technical and editorial support, as required by the Bureau.

The Secretary, in consultation with the Chairperson of the CPM, shall prepare a provisional agenda for the Bureau meetings and make it available to members of the Bureau preferably four weeks prior to the beginning of each meeting.

The Secretariat shall make meeting documents available to Bureau members as soon as possible after the preparation of the provisional agenda.

The Secretariat shall keep the records of the Bureau and minutes of the Bureau meetings. A report should be available within one month after each meeting and posted on the International Phytosanitary Portal.

The Chairperson shall submit a yearly report to the CPM on the activities of the Bureau.

## **Rule 9. Language**

The business of the Bureau shall be conducted in English, unless otherwise decided by the Bureau.

## **Rule 10. Amendment**

These Rules and amendments or additions thereto shall be adopted by two thirds majority of the members of the Commission present and voting, provided that not less than 24 hours notice of the proposal for the amendment or addition has been given.

## **ANNEX II**

### **GUIDELINES FOR ROTATION OF THE CPM CHAIRPERSON AND VICE-CHAIRPERSON AND NOMINATION OF BUREAU <sup>62</sup>**

#### **Rotation of the CPM Chairperson and Vice-Chairperson**

Chairperson of the Commission on Phytosanitary Measures will be rotated among the seven (7) FAO regions in the following sequence: Asia, Southwest Pacific, Latin America and the Caribbean, Africa, North America, Near East and Europe, followed by a grouping that would include only the four (4) largest regions (those regions with the largest number of countries): Asia, Latin America and the Caribbean, Europe, Africa, and then followed by the first seven listed above, and so forth. The rotation scheme would thus be: 7-4-7-4.

Following the rotation scheme identified above, the region which is next in line for occupying the position of the Chairperson will propose a candidate for the Vice-Chairperson. In the following term the region occupying the position of the Vice-Chairperson will propose a candidate for the position of the Chairperson.

#### **Selection and Nomination of Bureau members**

When selecting candidates, regions should take due account of the need for competences relevant to participation in the Bureau. Candidates should be selected on the basis of individual qualifications and experience relevant to the mandate of the CPM and where appropriate on the basis of their potential to take on the chairing of the CPM.

In putting forward candidates for the Bureau, regions should consider the individual's experience and expertise on technical and operational IPPC issues and their capacity to contribute to CPM and Bureau activities and functions. In particular, consideration should be given to the individual's:

- Knowledge of the IPPC purpose, objectives, strategies, functions, roles and operational and internal processes.
- Understanding of IPPC related international organizations, for example: WTO-SPS and its related standard setting bodies, CBD, etc.
- Experience in financial management.
- Knowledge of national phytosanitary systems, regulations and practices.
- Experience in guiding or directing the operations of an organization or governance body to accomplish its mission, goals and objectives.
- Communication and collaboration skills including the ability to clarify, summarize and seek consensus.
- Experience in chairing and facilitating large fora, including supporting decision-making, negotiation and enabling compromise in such fora.
- Ability to act in an impartial and objective way.
- Ability to be flexible and resilient.

The following considerations would be desirable:

- The role of Chairperson is a substantial one and a candidate should be prepared to devote a significant amount of time and energy to fulfill the responsibilities attached to this role. The employer should provide the time and where appropriate, the necessary resources to enable the Chairperson to fulfill the responsibilities attached to this role. Vice-Chairpersons should have the same competence and expertise, as the Chairperson, but may have less experience.

---

<sup>62</sup> These guidelines were adopted by CPM-8 (2013) as Attachment II, but for logic sequencing the IPPC Secretariat renumbered them Annex II.

- The candidates for Bureau membership (including Chairperson and Vice-Chairpersons) should be employed by an NPPO.
- Candidates for Chairperson should have served for at least one term (two years) in the Bureau.
- It may be desirable that the Chairperson has served previously as a Vice-Chairperson.

These guidelines are not intended to set precedents for other FAO or Article XIV bodies and are neither intended to establish nor recognise the FAO regions mentioned therein and their rotational weightings.

**ANNEX III**

**IPPC STANDARDS SETTING PROCEDURE**

The text of Annex III is reported under 2.1 of this document and hence deleted here to reduce the number of pages.

## ANNEX 3: Draft Strategic Framework for the International Plant Protection Convention (IPPC) 2020–2030

### Purpose of this document

This document aims to communicate the work of the Commission on Phytosanitary Measures (herein referred to as “the Commission”) and its priorities for the coming ten years.

Readers will be able to understand the International Plant Protection Convention (IPPC), the work carried out by the Commission, what the Commission is trying to achieve, and why it matters.

This document will guide the plant health activities of the Commission and its main partners – the national plant protection organizations (NPPOs) of contracting parties and regional plant protection organizations (RPPOs) – over the period 2020 to 2030. Ten years is a long time though, so as the world moves forward the IPPC community is expected to adapt and respond to ensure that it stays on course, not with what is decided today, but with where it needs to be in the future.

### Who should read this document and why

The target audiences for this document are broad.

- **Contracting parties, national plant protection organizations and regional plant protection organizations** – will use this document at all levels of government and across governmental and non-governmental organizations to communicate how the work of the Commission supports a country to achieve its goals in the areas of plant protection, food security, protection of forests and the environment, and safe trade and economic development. This strategic framework can be used by contracting parties, NPPOs and RPPOs to align their own strategies and activities to achieve the objectives of the IPPC.
- **Agricultural producers, farmers, exporters and importers** – will better understand the threat of plant pests and the vital need for plant protection services and measures, including global plant health standards, to safeguard sustainable agricultural productivity and profitability.
- **FAO divisions or departments and other relevant international organizations** – will be able to see the work the IPPC Secretariat is doing that could relate to their activities and programmes. They might also see how the IPPC Secretariat could benefit from knowing about or contributing to their work. This will increase the opportunities for alignment of effort, improve resource utilization, and increase the chance of delivering better results.
- **Donor agencies** – will be able to identify opportunities to achieve their goals through working with the IPPC community. They might find specific areas where they want to invest to effect change at a global level, or it may help them to identify priority areas as they work with individual countries.
- **Contracting party delegates to the annual Commission meetings** – will use this document to stay focused on agreed objectives and key result areas when determining priorities for the coming years. Effecting change can take many years, so this document will help them remember what they considered to be important and why and help them to clarify the reasons for changing direction and for building in flexibility for adjustment to changes.

**Abbreviations and acronyms**

CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora Convention (note that in this document references to “the Convention” are to the International Plant Protection Convention)
CPM	Commission on Phytosanitary Measures (referred to as “the Commission” in this document)
ePhyto	electronic phytosanitary certificate
EPPO	European Plant Protection Organization
FAO	Food and Agriculture Organization of the United Nations
IPPC	International Plant Protection Convention (referred to as “the Convention” in this document)
ISPM	International Standard for Phytosanitary Measures
IYPH	International Year of Plant Health
NPPO	national plant protection organization
RPPO	regional plant protection organization
SPS Agreement	The Agreement on the Application of Sanitary and Phytosanitary Measures (of the World Trade Organization)
UN	United Nations
WCO	World Customs Organization
WTO	World Trade Organization



## 1. Executive summary

The introduction and spread or outbreak of plant pests significantly affects food security, biodiversity and economic prosperity. A vast range of plant pests threaten global food production, the productivity and biodiversity of forests and the wild flora of the natural environment. Preventing those pests spreading and establishing in new countries and regions is the aim of national plant protection organizations (NPPOs) and the International Plant Protection Convention (IPPC). Prevention is invariably more cost effective than the alternatives of maintaining long-term control, containment, eradication or, in the worst case, the consequences of unchecked impact. The NPPO is the competent authority for a country: it is responsible for providing and receiving government to government phytosanitary assurances and should be resourced to fulfil its functions competently.

The IPPC is the global international treaty for protecting plant resources (including forests, aquatic plants, non-cultivated plants and biodiversity) from both direct and indirect damage by plant pests, for facilitating safe trade through common and effective action to prevent the introduction and spread of plant pests, and to promote appropriate measures for their control. International standards developed within the framework of the IPPC, under the auspices of the IPPC Secretariat, are the only international standards for phytosanitary measures recognized by the World Trade Organization's (WTO's) Agreement on the Application of Sanitary and Phytosanitary Measures (the SPS Agreement). The IPPC has 183 contracting parties and its implementation is governed by the Commission on Phytosanitary Measures (CPM, herein referred to as "the Commission"), which mainly identifies actions to control the spread of pests into new areas, develops and adopts international plant health standards and recommendations to harmonize international trade, and assists countries in the implementation of those actions and standards. This document communicates the work of the Commission and its priorities for the coming ten years.

The IPPC strategic framework 2020–2030 has been developed to support NPPOs and the Commission in their work to overcome the emerging challenges linked to the growth and increasing diversity of global trade in food, agricultural and forestry products, and the increasing volume and speed of passenger and freight movements. It provides a new operating environment to address the expected structural and operational changes that NPPOs will encounter during 2020–2030. Such changes include developments in data processing and transmission as well as considerations of how far, for example, border clearance processes can be simplified to facilitate fast trade of perishable products. Advances in science and capacity developments, such as remote sensing, will significantly affect plant health activities as will the mitigation of climate-change related impacts on agriculture and plant health. All these and other changes and their impacts on the operating environment of NPPOs and the Commission have been considered in the development of this strategic framework.

The IPPC strategic framework reflects the strategic mission, vision and goal of the IPPC, and describes the operational elements that will help deliver these. These comprise three core activities, three strategic objectives and a development agenda with eight priority programmes of new work areas. (Please also see the one-page graphic at the end of this executive summary.)

The **core activities** identified are primarily the tools used to achieve the strategic objectives of the IPPC.

The **standard setting** core activity is an important tool to further international harmonization and its positive effects on international trade and preventing the spread of plant pests. The WTO SPS Agreement recognizes standards developed under the auspices of the IPPC Secretariat as the only international standards for plant health. International harmonization through the development of International Standards for Phytosanitary Measures (ISPMs) is one of the "raisons d'être" of the IPPC and stands at the forefront of the Commission's efforts to prevent the spread of plant pests.

**Implementation and capacity development** is an important core activity and essential component of IPPC work. Without proper capacity development to enable the Convention and its standards to be effectively implemented by contracting parties, setting standards is worthless. Through the suite of ISPMs and capacity development programmes, the Commission provides the framework for the NPPOs and the support to help NPPOs build capacity to carry out their functions. Without strong implementation and capacity development activities, the aims of the IPPC – to prevent the spread of pests – will become pointless, especially for the nations that are the poorest and most affected by climate change.

**Communication & international cooperation** as a core activity is an essential tool aimed at ensuring that the potential for serious negative impacts from introduced pests worldwide is understood and that plant health is included in the policy considerations of relevant intergovernmental and non-governmental organizations. Professional communication with key audiences and intensive cooperation with other international organizations are particularly important to maintain impetus following the International Year of Plant Health 2020.

Each of the three strategic objectives has a number of key result areas, which outline the impact the Commission expects to see when the Commission, contracting parties, RPPOs and partner organizations successfully work together to deliver this strategic framework. Results will be delivered through both the IPPC core work and the IPPC development agenda.

**Strategic objective A** – *Enhance global food security and increase sustainable agricultural productivity.* This aims to reduce the international spread of pests, as the losses caused by the spread of a new pest into new areas or crops can be much more catastrophic than endemic pests in a given area. The impact of plant pests on food security is particularly evident in the developing world, where plant health regulatory frameworks often lack capacity. If the spread of pests is reduced and pest management is improved, crop productivity can increase and production costs can be reduced.

**Strategic objective B** – *Protect the environment from the impacts of plant pests.* Plant pests that are invasive alien species can have a significant and devastating impact on the terrestrial, marine and freshwater environments, agriculture and forests. Strategic Objective B addresses environmental concerns related to plant biodiversity and emerging problems associated with plant pests as invasive alien species and the impacts of climate change.

**Strategic objective C** – *Facilitate safe trade, development and economic growth.* Trade in plants and plant products is a critically important part of most national economies. It is evident that earnings from this trade stimulate economic growth and brings well-being and prosperity to rural communities and agricultural sectors. The main potential pathway for the global spread of pests is through international trade, so the IPPC aims to maximize the benefits of trade by enabling countries to reduce the risk of international pest spread through the application of harmonized phytosanitary standards. IPPC standards help countries to develop import and export systems that manage the pest risks associated with trade in plants and plant products. When properly implemented, trade can occur safely (i.e. without spreading plant pests).

The **IPPC development agenda 2020–2030**, with its eight key development programmes, identifies priority new work aligned to the IPPC's vision, mission, and strategic objectives. The identification of these priority programmes is based on the likely changes to the operational environment of national, regional and global plant protection organizations and associated opportunities and challenges. The key development programmes are firmly grounded within the strategic objectives of the strategic framework and ensure that the Commission is well positioned to continue development and coordination of international plant health activities to well beyond 2030. While the development agenda items present great opportunities to advance the mission of the IPPC, progressing them is dependent on securing adequate resources. Each of the eight programmes is described in detail in this strategic framework, including the outcome envisaged for 2030.

The Commission will review and adapt the development agenda or other parts of the strategic framework as often as may be needed through its two main strategic planning groups: the IPPC Strategic Planning Group and the CPM Bureau.



## 2. Introduction

The International Plant Protection Convention (IPPC; herein also referred to as “the Convention”) is the global international treaty for protecting plant resources (including forests, aquatic plants, non-cultivated plants and biodiversity) from plant pests and for facilitating safe trade through common and effective action to prevent the spread and introduction of plant pests and to promote appropriate measures for their control.

The IPPC is deposited with and administered through the Food and Agriculture Organization of the United Nations (FAO). It was established as a convention in 1951, it entered into force in 1952 and was amended in 1979 and 1997. The Commission on Phytosanitary Measures (CPM, herein referred to as “the Commission”), is the governing body for the IPPC. The work plan approved by the Commission is administered by the IPPC Secretariat.

The scope of the IPPC extends beyond the protection of all cultivated plants to the protection of natural flora and plant products. It includes both direct and indirect damage by pests and plants as pests (collectively called pests under the IPPC). It also covers vehicles, aircraft and vessels, containers, storage places, soil and other regulated articles that can harbour or spread pests.

The IPPC provides a framework and a forum for international cooperation, harmonization of action, and technical exchange between contracting parties. International standards developed within the framework of the Convention, under the auspices of the IPPC Secretariat, are the only international standards for phytosanitary measures recognized by the World Trade Organization’s (WTO’s) Agreement on the Application of Sanitary and Phytosanitary Measures (the SPS Agreement).

Implementation of the IPPC involves collaboration by national plant protection organizations (NPPOs), which are the official services established by contracting parties to carry out the functions specified by the IPPC, and regional plant protection organizations (RPPOs), which act as coordinating bodies at a regional level to achieve the objectives of the IPPC.

The Commission comprises delegates from each of the contracting parties: 183 as of July 2019. The Commission meets during March or April each year, usually at FAO headquarters in Rome, Italy, to promote cooperation and agree on a work plan to implement the objectives of the IPPC. In particular, the Commission:

- reviews the state of plant protection around the world
- identifies actions to control the spread of pests into new areas
- develops and adopts international plant health standards and recommendations
- approves programmes to support implementation of the IPPC and adopted standards
- cooperates with international organizations on matters covered by the Convention.

The Convention has become particularly significant and relevant in light of the evolving plant health risks associated with the increasing movement of plants and people, climate change, and the spread of pests, and the need to ensure food security, to protect plant resources and biodiversity, and to support the safe expansion of global trade and economic growth opportunities for all.

### 3. Plant pests

The introduction and spread or outbreak of plant pests has significantly affected food security and economic prosperity. A vast range of plant pests threaten global food production (including production of animal feed), the productivity and biodiversity of forests and the wild flora of the natural environment. Some historical impacts of plant pests are well known, such as:

- citrus greening disease (caused by '*Candidatus Liberibacter asiaticus*') on citrus in parts of the Americas, Asia and Africa
- coffee leaf rust (caused by *Hemileia vastatrix*) on coffee in Sri Lanka, Central America and Brazil
- Dutch elm disease (caused by *Ophiostoma ulmi*) on elm in Europe and the United States of America
- fall armyworm (*Spodoptera frugiperda*) in the Americas and more recently in Africa and Asia
- fusarium wilt on bananas (caused by *Fusarium oxysporum* f.sp. *cubense*) in Latin America, Asia, Australia and Africa
- gypsy moth (*Lymantria dispar*) in the north-eastern forests of North America
- phylloxera (caused by *Daktulosphaira vitifoliae*) on grapes in Europe and the United States of America
- potato blight (caused by *Phytophthora infestans*) on potatoes in Ireland
- South American leaf blight of rubber (caused by *Microcyclus ulei*) on rubber in Brazil
- symptoms caused by *Xylella fastidiosa* across a broad range of hosts in parts of the Americas, Asia and Europe
- yellow rust (caused by *Puccinia striiformis*) on wheat in North America, Europe, Asia, North and East Africa.

Although the impacts of pests range from negligible to extremely high, it is often difficult to fully assess these impacts ahead of time.

Preventing pests from spreading and establishing in new countries and regions is invariably more cost effective than maintaining long-term control, containment, eradication, or the consequences of unchecked impact. Some illustrative case studies of pests can be found in the text boxes (Pest Case Studies 1–4).

#### Pest Case Study 1: *Halyomorpha halys*, the brown marmorated stink bug (BMSB)



© Roxana CICEOI, Research  
Center for Studies of Food and  
Agricultural Products Quality  
University of Agronomic Sciences  
and Veterinary Medicine,  
Bucharest, Romania, from FAO  
Global Database.

*Halyomorpha halys*, the brown marmorated stink bug (BMSB), is native to Asia. It has invaded both Europe and the United States of America, where it has spread quickly. In the mid-Atlantic region, serious losses have been reported for a range of crops. Hosts in invaded areas include many fruit trees, vegetables, row crops, ornamentals and native vegetation. It is associated with economically significant crop losses and public nuisance in both its native and invaded areas, as well as being a vector of *Phytoplasma* diseases. In autumn, adults can aggregate in very large numbers in houses and other artificial structures, emitting a pungent smell when disturbed. This aggregative association with artificial structures (such as shipping containers) also increases the likelihood of long-distance transport of BMSB as a contaminating pest. The Commission has adopted an International Standard for Phytosanitary Measures (ISPM) on the international movement of used vehicles, machinery and equipment to minimize the probability of introduction of contaminating pests on these pathways.



## 4. Operating environment 2020–2030

To plan for the future, it is important to try to envision what the future might look like. Rather than attempt to make specific predictions, a useful approach is to identify and extrapolate emerging major trends and some of their drivers. These provide a general picture of the future that this strategic framework needs to address, both in terms of challenges and opportunities. Some of the major trends expected to be present during this period, with relevance to the Commission and its contracting parties, are described below.

### 4.1 Increasing and more diversified trade

Global trade in forestry, food and agricultural products has tripled in value terms since the turn of the millennium and it is expected that this trend will continue. Political stability will tend to support trade growth, while instability will be a disruptor. In 2015, FAO noted that the global trade in food products will continue to expand rapidly, but that the structure and pattern of trade will differ significantly by commodity and by region. FAO also predicted that “greater participation in global trade is an inevitable part of most countries’ national trade strategies”, but that “the process of opening up to trade, and its consequences, will need to be appropriately managed if trade is to work in favour of improved food security outcomes”<sup>63</sup>. In addition, how commodities are traded is anticipated to change. The

geographical separation of individual steps in the production chains will affect trade and require

countries to cooperate. Specific developments in this area are expected to be as follows:

- Governments will continue to pursue economic growth strategies that rely on expanding trade and seeking access to new markets.

#### Pest Case Study 2: *Xylella fastidiosa* (Xf)



*Xylella fastidiosa* (Xf) is the causal agent of Pierce’s disease of grapevines, and of diseases of many other important crops (including citrus, avocado, olives and stonefruits), ornamental and forestry plants. The bacterium is vectored by xylem feeding insects, particularly sharpshooters and spittle bugs. The host range of Xf is wide and is expanding rapidly as it encounters new hosts and new vectors in invaded ranges. Over 500 plant species can be affected by one or more of its subspecies or strains. In the 1990s, a strain emerged in Brazil as citrus variegated chlorosis disease (CVC). This disease rapidly became one of the most economically important diseases of orange production, causing annual losses of several million dollars (USD). *Xylella fastidiosa* has now emerged and spread in some European countries, causing a serious outbreak on olives. In Italy, it is rapidly spreading and threatening the traditional olive industry and associated activities and traditions. This disease is now causing serious economic, environmental, social and trade impacts. Forty million hectares of olive trees in the Mediterranean basin are in real danger of being destroyed by this disease with serious potential impact on national economies and the livelihoods of farmers. The Commission has adopted a diagnostic protocol for *Xylella fastidiosa*.

<sup>63</sup> <http://www.fao.org/publications/soco/the-state-of-agricultural-commodity-markets-2015-16/en/>

- Some countries may transition away from agriculture towards tourism or a more industrialized base for their economies.
- The volume and speed of passenger and freight movements will continue to increase, presenting the potential for pests to move faster than ever before.
- Complex global supply–production chains will result in goods crossing multiple borders for processing before being sold as finished products. The importance of traceability and phytosanitary security will increase.
- Trading directly with consumers (including e-commerce) will continue to expand rapidly, decreasing the size and increasing the number of consignments to be assessed for phytosanitary risk.

## 4.2 Structural and operational changes in the way national plant protection organizations work

National plant protection organizations have undergone considerable changes in the past 20 years. The increase in the volume and diversity of traded commodities requiring phytosanitary certification or checking at borders has led to considerable operational changes for NPPOs. Developments in data processing and transmission have made it possible to communicate phytosanitary-relevant information in real time. Producers and other stakeholders have increasingly understood the benefits of plant health standards and procedures to their business prospects. They are increasingly willing to cooperate with NPPOs to streamline production and regulatory activities. As public funding comes under pressure, NPPOs will need to make further efficiency gains and increase collaboration to achieve necessary plant health goals. The main developments in this area are expected to be as follows:

- Border clearance processes will be simplified to get products to consumers faster, creating challenges for import inspection. The WTO Trade Facilitation Agreement will support these changes.
- Importing industry participants will increasingly take responsibility from exporting countries for ensuring that pest risks are managed, through private standards and commercial arrangements.

### Pest Case Study 3: *Bursaphelenchus xylophilus*, the pine wood nematode (PWN)



*Bursaphelenchus xylophilus*, the pine wood nematode (PWN), is the causal agent of the economically and environmentally significant “pine wilt disease” in species of pine (*Pinus* spp.). It is native to North America and is vectored by species of the wood-inhabiting longhorn beetle *Monochamus*. Pine wood nematode was introduced into Asia (Japan) at the turn of the twentieth century via timber exports, and has now spread into China and the Republic of Korea. It was first detected in Europe (Portugal) in 1999 and now threatens to spread across Europe. The spread of the disease from tree to tree is primarily through the vector (*Monochamus* spp.), and the emergence of adult beetles from PWN infested wood is believed to be the most likely method of introduction. Local species of *Monochamus* that can vector PWN are found throughout the Northern Hemisphere. As well as affecting forestry production, PWN infestation can also have significant environmental repercussions, such as biodiversity loss or increased erosion in alpine environments. In the Republic of Korea, it is estimated that economic losses in forest and crop production have been over USD 600 million over 20 years, with additional ecological and social impacts. Prior to the adoption of the standard related to the use of wood packaging material (ISPM 15), wood packaging was considered to be the main pathway for the spread of PWN. The Commission has adopted a set of ISPMs to assist in PWN management.

© The State Administration of Forestry and Grassland of China

Annex 3: IPPC  
PCD strategy

- Changes will occur in production practices (e.g. vertical farming), enabling new approaches to pest management.
- Communication, data exchange and management capabilities will enable easier access to specialist expertise and sharing of information for pest risk analysis.
- Funding of public sector and international organizations will become more constrained, putting pressure on agencies to innovate to find efficiencies in the management of pest risk (e.g. targeted inspection and other risk-based interventions).

#### Pest Case Study 4: *Spodoptera frugiperda*, known as fall armyworm (FAW)



© FAO

*Spodoptera frugiperda*, known as fall armyworm (FAW), is an insect that is native to tropical and subtropical regions of the Americas. In its larval stage, it can cause significant damage to crops if not well managed. It prefers maize, but can feed on more than 80 other species of plants, including rice, sorghum, millet, sugarcane, vegetable crops and cotton. Recently it has become a major concern in Africa. Within only a few years, since its first occurrence in January 2016, it has quickly spread across virtually all of sub-Saharan Africa. In addition, it has spread to India and China in 2017–2018. Because of increasing trade and the moth’s strong flying ability, it has the potential to spread further. Farmers and NPPOs need substantial support to sustainably manage the pest in their cropping systems. It has the potential to significantly reduce food production, with a yield reduction in cereal crops of up to 50 percent. In Africa, FAW has been devastating millions of hectares of maize and sorghum and threatens the food security of about 200 million people.

- The public will continue to demand transparency and “open government”. To maintain their public-agency “social licence to operate”, NPPOs will therefore need to communicate more effectively about what they do, why they do it, and the public benefit.
- Importing countries will expect higher levels of protection, and disagreements on appropriate phytosanitary measures are expected to intensify, slowing market access negotiations or disrupting existing trade.



- Consumer demand will continue to increase for fresh fruits and vegetables free of pesticide residues. This will become more challenging as pests spread across borders and will require new improved approaches to the management of pest risk by exporting and importing countries.
- The role of RPPOs to develop regional standards and then assist less developed countries to implement them will become increasingly important. RPPOs and NPPOs may have to adapt their current operating models.

### 4.3 Scientific and capacity development

Although overall research in traditional, plant-health related disciplines is expected to decline, it is expected that a number of research developments will significantly affect plant health activities. Continuing developments in molecular biology and genetic sequencing are expected to deliver new tools but also new challenges for plant health diagnostics. Developments in information technology and remote sensing applied to plant health, and increased data analytics capabilities, will open doors for new approaches in surveying and monitoring for plant pests. Some of these positive developments will be constrained by capacity limitations in developing countries and especially in the least developed countries. The capacity of such countries needs to be strengthened to allow them to participate in world trade. The main developments in this area are expected to be as follows:

- Scientific advances will allow faster detection of pests and provide new methods to manage pests and their spread.
- New research methods may contribute to the development of pest resistant plants.
- Detection of new pests without reliable information on their potential to cause harm will present challenges to risk management.
- “Big data”<sup>64</sup> and advanced analytical tools will provide new opportunities to detect patterns and to target pest surveillance and border inspections.
- Differing capacities among countries to monitor and respond to pest risks will impact trade and put neighbouring countries at risk.
- Less developed countries may continue to face difficulties acquiring technology, retaining expertise, and setting up viable phytosanitary systems for participation in agricultural trade. However, some technologies may become cheaper and more universally available, which would benefit developing countries.

### 4.4 Impacts of climate change on plant health

The mitigation of climate-change related impacts on agriculture and plant health will present a major challenge to NPPOs and international organizations in the plant health field. Changes in food production patterns and trade will become apparent over the next two decades. The resulting changes in plant health, such as anomalies in pest epidemiology and frequent expansion of pest distributions, will provide challenges, especially in the areas of surveillance, monitoring and pest risk analysis. The danger of pests adapting to changed climate parameters may cause new pest risk to major staple crops. The main developments in this area are expected to be:

- Climate change will result in more frequent extreme weather events, potentially leading to altered locations and methods of food production around the world.
- Climate change will affect pest epidemiology, pest distribution and host distribution, and thereby pest impacts.
- Water security will become an increasing challenge for more regions in the world, affecting where crops are grown and marketed.
- New or mutated pests or their more aggressive strains will emerge and have a significant impact on crop productivity and quality, the environment and trade.

<sup>64</sup> The use of extremely large data sets that may be analysed computationally to reveal patterns, trends and associations

## **5. Mission, vision and goal of the International Plant Protection Convention (IPPC)**

To implement the IPPC, the Commission has the following mission, vision and goal:

### **Mission**

*Protect global plant resources and facilitate safe trade.*

### **Vision**

*The spread of plant pests is minimized and their impacts within countries are effectively managed.*

### **Goal**

*All countries have the capacity to implement harmonized measures to prevent pest introductions and spread, and minimize the impacts of pests on food security, trade, economic growth, and the environment.*

## 6. Core activities

### 6.1 Standard setting

The WTO SPS Agreement recognizes standards developed under the auspices of the IPPC Secretariat as the only international standards for plant health. International Standards for Phytosanitary Measures (ISPMs) are adopted by the Commission and come into force once countries establish aligned requirements within their national legislation. The IPPC standards are recognized as the basis for phytosanitary measures applied in trade by the members of the WTO.

The IPPC standard setting work is led by the Commission's Standards Committee. The Standards Committee is supported by various technical panels, expert working groups, and the IPPC Secretariat.

Three main types of standards have been developed to provide an internationally agreed approach for the harmonization of phytosanitary regulations and to guide and assist NPPOs in performing their various functions:

**Foundational standards** – These establish internationally accepted principles and approaches for NPPOs to undertake such activities as pest risk analysis, establishing pest free areas, surveillance, establishing a phytosanitary certification system, and pest reporting.

**Phytosanitary treatments** (ISPM 28 (*Phytosanitary treatments for regulated pests*) with its annexes) – These establish internationally accepted treatments for pests on commodities, such as irradiation, fumigation and temperature treatment.

**Diagnostic protocols** (ISPM 27 (*Diagnostic protocols for regulated pests*) with its annexes) – These are targeted at specific pests and establish the internationally accepted method for accurate diagnostic identification.

In addition, CPM recommendations are also adopted on a range of topics that are highly relevant to contracting parties but not deemed suitable for the development of an ISPM. The Commission is now starting to develop more ISPMs for specific commodities and pathways. Examples include ISPM 15 on the international movement of wood packaging material, ISPM 38 on the international movement of seeds and ISPM 41 on the international movement of used vehicles, machinery and equipment. Developing a suite of such ISPMs would fill a significant need when used as the starting point for market access agreements. They have the potential to significantly simplify bilateral trade negotiations. Similarly, ISPMs for pathways (such as used vehicles, machinery and equipment) will do much to limit the spread of pests, including those that are invasive alien species that commonly spread as contaminating pests.

The Standards Committee works hard to ensure that ISPMs are not only based on science and are technically robust, but that they are also practical and can be implemented in real situations. Increasingly, the IPPC is inviting industry bodies to participate in expert working groups to provide advice on development of ISPMs. Industry perspectives will further enhance the value of ISPMs, but some conflicts of interest may also arise and these need to be recognized and managed.

#### 6.1.1 2030 key result areas

SS1: Prioritized commodities and pathways are covered by commodity- or pathway-specific ISPMs adopted or being developed by the Commission.

SS2: NPPOs base their phytosanitary systems and import requirements on adopted ISPMs.

### 6.2 Implementation and capacity development

The IPPC is typically referred to as a standard setting body. However, the IPPC has long recognized the futility of setting standards without also supporting capacity development to enable the IPPC and its standards to be effectively implemented by contracting parties.

Within each contracting party, fully functioning NPPOs are charged with operating an effective national system to prevent the introduction and spread of pests. Delivery of the system often requires the joint effort of multiple government agencies and the private sector. The phytosanitary capacity evaluation tool was developed by the Commission many years ago to help countries evaluate their capacity to implement the IPPC. This

forms the basis for many capacity development plans, and also provides an insight into global capacity needs and programmes.

Through the suite of ISPMs and capacity development programmes, the Commission provides the framework for the NPPOs and the support to help NPPOs build capacity to carry out their functions. Examples of national capacity include the ability to establish and operate an import regulatory system, the ability to conduct pest risk analysis, pest surveillance and pest eradication operations, and the ability to operate an export system capable of providing official assurances through phytosanitary certification.

The Commission collaborates with donor partners and contracting parties to help NPPOs to develop the required capacity. This collaborative work is essential for countries to capitalize on the economic growth opportunities available through trade development and to protect their agricultural production and natural resources.

In 2014, the Commission agreed to significantly strengthen its focus on implementation of the IPPC and ISPMs. Since then:

- the first major implementation pilot programme has been established, focused on pest surveillance
- the IPPC Secretariat has been reorganized to focus more strongly on implementation and capacity development
- a new subsidiary body has been created, the Implementation and Capacity Development Committee, charged with oversight of the long-term IPPC capacity development strategy.

Within the Implementation and Capacity Development Committee, subgroups have been established to manage and govern dispute avoidance and settlement and the implementation review and support system.

Substantial efforts are being focused on implementation and capacity development; however, they are limited by the extra-budgetary resources that can be secured (additional to the FAO regular programme funds). Fortunately, development agencies are willing to assist with programmes to increase the capacity of countries to improve their economy through trade, and to provide support to communities to manage pest problems. Capacity development projects can have a major positive impact on the ability of NPPOs to discharge their responsibilities if their needs are well defined through the IPPC phytosanitary capacity evaluation system tool. The project to develop and implement a global ePhyto (electronic phytosanitary certificate) hub and generic ePhyto national system funded by the Standards and Trade Development Facility and contracting party contributions is an outstanding example of this (see inset box).

*The “ePhyto Solution Project” was developed to provide all IPPC contracting parties that are interested, developed or developing alike, with the opportunity to exchange phytosanitary certificate information digitally. The project established a central hub as a harmonized exchange tool to facilitate the exchange of electronic certificates as an alternative to the current practice of exchanging paper certificates, and also a simple generic system (generic ePhyto national system) for developing countries for the production, sending and receipt of electronic phytosanitary certificates. The establishment of these tools will improve the security of official communications between countries and facilitate trade flows. It will also eliminate the cost and complexity of countries developing individual systems for electronic data exchange and the necessity to negotiate exchange protocols on a country by country basis.*

### 6.2.1 2030 key result areas

ICD 1: The state of plant health in the world is understood, needs are known and mechanisms to facilitate action are functioning.

ICD 2: The phytosanitary capacity evaluation tool has been widely used by contracting parties to understand their strengths and weaknesses and develop plans to address capacity deficiencies.

ICD 3: The IPPC Secretariat is resourced to help contracting parties access assistance to address phytosanitary capacity needs.

### 6.3 Communication & international cooperation

The communications efforts of the Commission are aimed at ensuring understanding of the potential for serious negative impacts from introduced pests worldwide. This must be understood not just by the plant health community but also by key audiences such as the general public, national governments, and decision makers (policy and financial) if it is to be recognized that plant health is an important national and global priority that justifies and receives appropriate and sustainable support.

These communication efforts are guided by the **IPPC communications strategy**. The four objectives of the IPPC communications strategy are to:

- increase global awareness of the importance of the Convention and of the vital importance to the world of protecting plants from pests
- highlight the role of the Commission, supported by the IPPC Secretariat, as the sole international plant health standard setting body with the objective of helping to ensure the safe trade of plants and plant products
- improve the implementation of ISPMs
- support the activities of the IPPC Secretariat's resource mobilization programme.

The Commission and IPPC Secretariat make use of many different opportunities to reach out internationally so that the IPPC's mission is well understood. Annual themes were introduced to promote specific aspects of the IPPC mandate on an annual basis. For the period 2016–2019, the IPPC work programme focused on the following themes:

- **2016 Plant Health and Food Security**
- **2017 Plant Health and Trade Facilitation**
- **2018 Plant Health and Environmental Protection**
- **2019 Plant Health and Capacity Development.**

In addition, through the efforts of contracting parties to the IPPC, the United Nations (UN) proclaimed **2020 the International Year of Plant Health (IYPH)**. The Commission, and the IPPC Secretariat on its behalf, will contribute to this by developing an environment in which to celebrate the IYPH2020 programme at national, regional and global level.

The IPPC Secretariat, on behalf of the Commission, maintains strong links with treaties and organizations that share common interests (e.g. WTO, Convention on Biological Diversity). These relationships can range from informal flexible arrangements to highly defined relationships. This cooperation is essential to mainstream plant health considerations and policies into the general debate on environmental and development issues. A higher level of cooperation with relevant international organizations is particularly needed with regard to climate change and capacity building to ensure that the evaluations of climate change impacts incorporate pest related impacts and that the attention of potential donor organizations is drawn to the phytosanitary capacity building needs of developing country NPPOs.

The IPPC Secretariat has strong relationships with all RPPOs in facilitating implementation of the IPPC by contracting parties. National or regional FAO offices also play an important role in the implementation of the IPPC and its standards.

#### 6.3.1 2030 key result areas

CIC 1: The IPPC Secretariat is effectively communicating phytosanitary issues and the importance of plant health.

CIC 2: The IPPC Secretariat successfully cooperates with other international organizations and global forums to further increase the visibility of the Convention and its objectives in international policies.

CIC3: The IPPC Secretariat is effectively coordinating with FAO to ensure that national or regional FAO offices play an important role in the implementation of the IPPC and its standards.

## 7. Strategic objectives

As an international body, the Commission is focused on outcomes at a global level. The IPPC is the primary international treaty for protecting global plant resources (including forests, non-cultivated plants and biodiversity) from plant pests and for facilitating the safe movement of plants, plant products and other regulated articles in international trade. The core purpose of the IPPC is to prevent the international spread of plant pests and reduce their impact, but this only matters if it enables the achievement of broader outcomes. Achieving the purpose of the Convention contributes positively to outcomes that are important to the entire world.

The Commission has identified three strategic objectives that capture the major contributions it makes in a global context. While contracting parties and RPPOs cannot be completely accountable for any of the objectives, they can play an important role, and must ensure that efforts stay focused on achieving results in these areas. The three strategic objectives are equally important and the Commission's work programme must be balanced to ensure that the collective work programme contributes to the achievement of all three objectives.

The Commission's three strategic objectives are to:

- **enhance global food security and increase sustainable agricultural productivity**
- **protect the environment from the impacts of plant pests**
- **facilitate safe trade, development and economic growth**

These objectives are described below (A–C), including the corresponding key result areas. The key result areas outline the impact the Commission expects to see under each strategic objective when the Commission, contracting parties, RPPOs and partner organizations successfully work together to deliver this strategic framework.

The IPPC, as a convention established under FAO Article XIV, plays a critical role in supporting each of these strategic objectives through its associated programmes, standards and actions.

All IPPC core activities contribute to these strategic objectives. The IPPC 2020–2030 development agenda initiatives will also make a significant contribution. Delivery of the development agenda, however, will depend on whether sufficient resources can be secured through the FAO regular programme funding and other financial sources.

Within the framework of the IPPC, the contracting parties and RPPOs play a critical role in advancing the implementation of the Convention at a national and regional level. The NPPOs of contracting parties are important partners to the Commission in terms of developing concrete actions at a national level to fulfil their mandated role, implement the IPPC and ISPMs, and prevent the spread of pests that can affect agriculture, food security and biodiversity. The NPPO is the competent authority for a country: it is responsible for providing and receiving government to government phytosanitary assurances and should be resourced to fulfil its functions competently. RPPOs are also critically important in coordinating these efforts at a regional level and especially in developing and implementing capacity building activities. In addition, RPPOs may be able to undertake specific tasks in implementing this strategic framework on behalf of the Commission. For this reason, effective partnerships with contracting parties and RPPOs are essential for achieving progress with these strategic objectives.

## 7.1 Enhance global food security and increase sustainable agricultural productivity

High impact pests can challenge primary production, food and feed supplies in all nations. In 2006, Oerke estimated global crop losses due to pests varied from about 50 percent in wheat to more than 80 percent in cotton production, with estimated losses of 26–29 percent for soybean, wheat and cotton, and 31, 37 and 40 percent for maize, rice and potatoes, respectively<sup>65</sup>. The losses caused by the spread of a new pest into new areas or crops can be much more catastrophic, sometimes causing total loss of crops until new strategies can be deployed to combat the pest. As pest spread is managed, crop losses are reduced and food security increased.

Food security – the availability of and access to adequate food supplies – is affected by many factors, including population dynamics, land-use choices, climate change, crop production practices, management of pests, access to genetic resources, new production technologies, trade, food aid, and rural development.

Demographic trends may exert pressure on food security globally but particularly in developing regions. Overall, FAO estimates that global agricultural output needs to expand by about 70 percent to meet the food needs of the population expected in 2050. Crop production is expected to continue to account for over 80 percent of the world's food.

Crop production intensification and pest management strategies need to be more sustainable than current or historical ones (i.e. they must value and enhance ecosystem services such as soil nutrient dynamics, pollination and water conservation). They must also build on elements that include integrated pest management, biological control of pests, conservation agriculture, and access to and sustainable use of plant genetic resources, while also reducing soil, air and water pollution.

The impact of plant pests on food security is particularly evident in the developing world where plant health regulatory frameworks often lack capacity. Contracting parties should be ensuring that their plant health regulatory frameworks are appropriately structured, resourced and implemented to avoid pests putting their food security at risk. The Commission, and the IPPC Secretariat on its behalf, can provide support to contracting parties so that they have the skills, capacity and knowledge they need to do this.

If pest spread is reduced and existing pests are better managed, crop productivity will increase and production costs fall. This would result in significant economic benefits to growers, importers, consumers and governments. Growers would be more able to produce food for their own consumption, domestic supply and exports.

### 7.1.1 2030 key result areas

A1: All NPPOs have effective pest surveillance systems in place for timely detection of new pest arrivals and monitoring spread.

A2: All NPPOs have strong capacities to monitor, detect, diagnose, report, and prepare rapid responses to pest outbreaks, so that these pests do not have major impacts on food supplies and they do not spread and thereby threaten other regions and trading partners.

A3: A plant health emergency response system is in place that facilitates timely action against new pest incursions and supports countries with emergency response systems tools and knowledge.

A4: Sustainable pest risk management options, such as systems approaches, are implemented widely to minimize pest impacts right through the production process and harvesting, and to minimize the need for end-point treatments.

A5: All NPPOs have pest risk analysis capacity in place to identify and mitigate pest risks to crop production.

A6: Pest risk prevention is integrated throughout the production, processing and trade chain of plants and plant products.

## 7.2 Contribution to the UN 2030 Sustainable Development Agenda<sup>66</sup>

<sup>65</sup> Oerke, E.-C. 2006. Crop losses to pests. *The Journal of Agricultural Science*, 144(1): 31–43. Available at <https://doi.org/10.1017/S0021859605005708> (last accessed 1 July 2019)

<sup>66</sup> <https://www.un.org/sustainabledevelopment/sustainable-development-goals/>

The work of the IPPC to enhance global food security and increase sustainable agricultural productivity strongly supports the UN 2030 sustainable development goals 2 and 12.



***Goal 2. End hunger, achieve food security and improved nutrition and promote sustainable agriculture.***

***Goal 12. Ensure sustainable consumption and production patterns.***

### **7.3 Protect the environment from the impacts of plant pests**

Awareness has increased of the significant and devastating impact that invasive alien species can and do have on terrestrial, marine and freshwater environments, and on agriculture and forests. The IPPC and its associated standards and operational framework are applied to address environmental concerns related to plant biodiversity and emerging problems associated with invasive alien species that are plant pests. Continuing concern about climate change and the protection of forests and the environment compels the Commission, RPPOs and contracting parties to be aware of the potential for pest distribution and impacts to change with the changing climate. Governments will need to match their policies on minimizing harm to forests and the environment, and minimizing climate change and the spread of invasive alien species, with the need to maintain sustainable food production in order to ease poverty and feed their populations. Identification and promotion of environmentally sustainable measures to manage pests (including pest plants) will be needed.

As climate change impacts are felt more widely, more frequent extreme weather events have the potential to increase the rate of natural windborne spread of pests. Climate is often a limiting factor for a pest both in terms of its survival and fecundity. As climates modify, plant and pest ranges will change and pest impacts have the potential to increase significantly.

Importantly, the Commission has recognized the need to protect environments from pests in ways that don't themselves have negative environmental impacts. Acceptance of sustainable pest risk management options, such as systems approaches, are reducing reliance on end-point chemical-based and other treatments. The prevention of pest spread also significantly reduces the need to use harmful chemicals in the environment or to resort to destructive methods of control, which can be particularly damaging in forests.

The Commission and IPPC Secretariat engage with their counterparts for biodiversity and environment related conventions, international collaborations, and capacity development arrangements such as the Convention on Biodiversity, the Global Environmental Facility and the Green Climate Fund. Whereas the Convention on Biodiversity addresses biodiversity and the environment in general, the IPPC deals specifically with those invasive alien species that are pests of plants, with IPPC standards being established and guidance provided for protection against such pests. Many ISPMs have elements directed to the protection of biodiversity. The IPPC standards on pest risk analysis (ISPM 2, ISPM 11, and ISPM 21), for example, can be essential and important tools for the assessment of environmental pest risks. The standard concerning the treatment of wood packaging material (ISPM 15) is aimed at management of tree and wood pests that can affect forest biodiversity or wood production.

The Commission has and continues to progress the development of a number of other standards, guidance and recommendations dealing with the potential movement of plant pests important to the protection of biodiversity. These deal with invasive aquatic plants, minimizing pest movement by sea containers and air containers, and reducing the pest risk from waste material from ships.

The IPPC Secretariat, on behalf of the Commission, also makes accessible a wide range of resources for environmental agencies to take action against pests that have environmental and biodiversity impacts.



### 7.3.1 2030 key result areas

B1: Contracting parties recognize the management of environmental plant pests as part of their responsibilities and work with national environmental sector agencies to support pest management programmes aimed at environmental protection.

B2: Contracting parties have mechanisms in place to control the spread of environmental contaminating pests on non-plant trade pathways (e.g. invasive ants on vehicles and machinery, or gypsy moth egg masses on sea containers and vessels).

B3: Mechanisms are in place to share adaptation strategies for responding to the impacts of climate change.

B4: Agencies with environmental and forest biodiversity stewardship responsibilities regularly access information and other resources managed by the IPPC Secretariat.

B5: Contracting parties continue to improve their capacity to implement key IPPC standards which directly address the spread of forest and environmental pests, such as ISPM 15 on wood packaging materials and other such standards, to contain the global spread of pests which threaten forests, biodiversity and non-cultivated flora.

### 7.4 Contribution to the UN 2030 Sustainable Development Agenda

The work of the IPPC for this strategic objective strongly supports the UN 2030 sustainable development goals 13 and 15.



**Goal 13. Take urgent action to combat climate change and its impacts.**

**Goal 15. Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss.**

### 7.5 Facilitate safe trade, development and economic growth

Trade is a critically important part of most national economies. Trade in plants and plant products, and the earnings from this trade, stimulates economic growth and brings well-being and prosperity to rural communities and agricultural sectors. The main pathway for the global introduction and spread of pests is through international trade.

Minimizing production losses from pests and reducing pest control costs and side effects is important for maximizing returns for domestic growers. Preventing the spread of pests to new areas, eradicating newly established pest populations, or creating recognized pest free areas, pest free places of production and pest free production sites, all simplify access to export markets. Exporting countries need strong phytosanitary systems to assure their trading partners that the imports they receive will not come with pests that would harm the importing country's economy or environment. When exporting countries have established strong phytosanitary certification systems and therefore provide reliable phytosanitary assurances to the importing countries, trade pathways are smoothed and barriers to trade can be reduced.

Economies and citizens benefit from imported plant products through availability of a greater variety of products and year-round access. Imports are also an important source of new plant varieties or breeding material to grow the agricultural economy. Importing countries need effective systems to understand and manage the pest risks that may be associated with trade in plants and plant products. This capability supports the establishment of technically justified phytosanitary measures, robust border controls and science-based trade negotiations.

The IPPC standards (ISPMs) help countries develop import and export systems that manage the pest risks associated with trade in plants and plant products. When properly implemented, trade can occur safely (i.e. without spreading plant pests). When countries operate their phytosanitary systems according to the Convention and harmonized measures adopted by the Commission, trading partners have a common understanding, they can trust each other's assurances, and trade negotiations should be simpler and quicker.

The WTO Trade Facilitation Agreement entered into force on 22 February 2017 after two-thirds of members completed their domestic ratification process. This agreement will support NPPOs in their responsibilities relating to import-based risk prevention and management. In this regard, there will be increasing imperatives to work more closely with border agencies, including customs. The Commission and IPPC Secretariat will seek to increase collaboration with the World Customs Organization (WCO) and the WTO on the trade facilitation agenda.

### 7.5.1 2030 key result areas

C1: Commodity-specific standards with harmonized phytosanitary measures have facilitated and accelerated trade negotiations and simplified safe trade in plant products.

C2: Detections of pests in trade pathways are declining as exporting countries take more responsibility for managing the pest risk associated with exports, and importing countries report detections more quickly and more consistently.

C3: NPPOs have built capacity and been supported to establish phytosanitary export assurance and phytosanitary certification systems that are robust and are trusted by trading partners.

C4: The efficiency of administering phytosanitary certification systems has improved and the circulation of fraudulent certificates has been eliminated through electronic phytosanitary certification systems including the generic ePhyto national system and the global ePhyto hub.

C5: NPPOs have access to expert advice to enable resolution of bilateral trade concerns of a phytosanitary nature.

C6: NPPOs are able to meet regularly to deliberate on phytosanitary research and emerging issues and other matters of common interest.

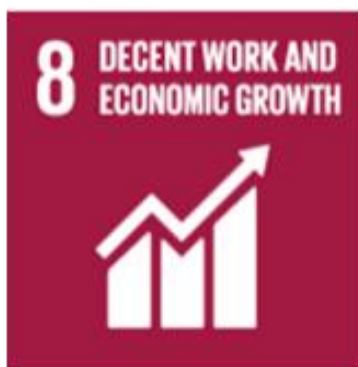
C7: Contracting parties have legislation in place to enable implementation of ePhyto.

### 7.6 Contribution to the UN 2030 Sustainable Development Agenda

The work of the IPPC for this strategic objective strongly supports the UN 2030 sustainable development goals 1, 8 and 17.



**Goal 1. End poverty in all its forms everywhere.**



**Goal 8. Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all.**



**Goal 17. Strengthen the means of implementation and revitalize the global partnership for sustainable development.**

## 8. IPPC development agenda 2020–2030

The IPPC development agenda 2020–2030 aims to identify priority programmes of new work aligned to the Commission’s vision, mission, and strategic objectives. The identification of these priority programmes is based on the prospective changes to the operational environment of national, regional, and global plant protection organizations.

The Commission, as an international body with an underlying secretarial structure, will be subject to the policy and budgetary changes of its hosting entity, FAO. The success of the Commission to deliver on the purpose of the Convention will ultimately be measured in terms of its ability to support the needs of contracting parties to stop the spread and reduce the impact of pests, but it will also be measured on its contribution to the achievement of the UN sustainable development goals. In the face of possible budgetary constraints, the Commission may have to streamline operations and integrate operational delivery much more closely with relevant FAO departments and offices.

The IPPC development agenda 2020–2030 helps to address these anticipated changes to the operational environment of the Commission by proposing several development programmes for the 2020–2030 period. Delivery of these programmes will contribute significantly to the achievement of the strategic objectives of the Commission and the UN 2030 sustainable development goals. The development programmes are firmly grounded within the strategic objectives. They ensure that the Commission is well positioned to continue development and coordination of international plant health activities to well beyond 2030.

Eight key development programmes have been identified. Each of these is described by the outcome envisaged for 2030 and then a more detailed description of each development programme is given. While the development agenda items present great opportunities to advance the mission of the IPPC, progressing them is dependent on securing adequate resources.

The Commission will review and adapt the development agenda or other parts of the strategic framework as often as may be needed through its two main strategic planning groups: the IPPC Strategic Planning Group and the CPM Bureau.

### 8.1 Harmonization of electronic data exchange:

[Implementing a global system for production and exchange of electronic phytosanitary certificate \(ePhyto\) information](#)

#### 8.1.1 Desired 2030 outcome:

A global system for production and exchange of electronic phytosanitary certificate information is fully operational and integrated at a country level into trade single windows. The system is supported by a sustainable business model and is self-funded. A significant global effort to implement it in all countries has been completed. The system has strengthened and simplified safe trade in plants and plant products, reducing transaction costs, expediting the clearance of compliant products and eliminating fraud.

#### 8.1.2 Description:

Electronic systems to facilitate the implementation of the IPPC and its standards have been focused on by the Commission for several years. The establishment of an international hub for the exchange of electronic phytosanitary certificate information and the development of a generic ePhyto national system have received much attention and been viewed as being key to facilitating safe trade. The successful establishment of an ePhyto system firmly positions the Commission within the safe trade facilitation sphere and underlines the Commission’s ability to contribute more than just ISPMs to support trade objectives.

The development of any electronic system faces the prospect of rapidly advancing technology, which makes it impossible to fathom now what the developments and opportunities will be from 2020 to 2030. For the Commission, the aim must be to keep abreast of the newest developments in electronic systems and identify their potential to enable implementation of the IPPC and its ISPMs. This would primarily focus on information exchange activities and further extension of the ePhyto system. An activity of the Commission could be to investigate the value of a centralized phytosanitary import requirements database, based on information uploaded by each importing country. This could make it easier to achieve a common understanding of each

country's phytosanitary requirements. In addition, such a database could be connected to an extended ePhyto system to simplify the certification process. Other notification requirements, such as notification of non-compliance, could be incorporated into the ePhyto system.

Going forward, the Commission will work closely with the WCO and other relevant organizations regarding implementation of the Trade Facilitation Agreement, particularly the development and implementation of the single window concept. This will ensure that the global ePhyto solution being developed under the auspices of the IPPC Secretariat is aligned with the broader Trade Facilitation Agreement single window model. The right of member countries to determine for their own country how electronic phytosanitary certificate information interfaces with single window systems will be recognized.

Intensifying the Commission's efforts to maintain or develop electronic systems to facilitate the international harmonization of electronic data exchange would significantly contribute to safe trade development and the implementation of the IPPC and its standards.

Activities to be carried out during 2020–2030 could include the following:

- Successfully establish the IPPC ePhyto hub as the international system for exchange of electronic phytosanitary certificate information.
- Complete establishment of the IPPC generic ePhyto national system for production, sending and receiving of electronic phytosanitary certificate information.
- Where needed, support contracting parties to implement the ePhyto hub and the generic ePhyto national system.
- Investigate the possible incorporation of other databases into the ePhyto hub or associating them with the electronic certification requirements.
- Establish pilot projects for new or improved electronic systems.

## **8.2 Commodity- and pathway-specific ISPMs:**

ISPMs developed for specific commodities and pathways, with accompanying diagnostic protocols, phytosanitary treatments and guidance

### **8.2.1 Desired 2030 outcome:**

Many new ISPMs have been adopted and implemented for specific commodities and pathways, with, as required, accompanying diagnostic protocols and phytosanitary treatments to support implementation. They provide NPPOs with harmonized phytosanitary measures, which they may use to support their pest risk analysis activities and import regulatory systems, or to establish export-oriented production systems. This has simplified trade and expedited market access negotiations.

### **8.2.2 Description:**

Trade is no longer characterized by the exchange of finished products alone, but also by the co-production of goods between countries. Some of the largest agricultural companies diversify their presence and production around the world. This enables companies to move plants and plant products around the world to respond to fluctuations in demand, as well as to source agricultural materials from different countries and regions. Furthermore, intensification of agricultural development efforts result in increased trade and exchange of plant propagation materials and movement of workers, increasing the risks of cross-border or intercontinental transmission of some pests. Thus, plant health strategies must evolve to prevent, respond and manage pest risks as business practices and production methods change.

The Commission can respond by generating commodity- and pathway-specific standards that will facilitate safe trade and reflect both traditional and changing business practices for the international movement of plants and plant products. These standards should be accompanied by pest-specific diagnostic protocols, phytosanitary treatments, surveillance methods, risk-based sampling provisions and other guidance material which will help countries to fully implement new standards. The commodity- and pathway-specific ISPMs may also include provisions for verification, such as audits.

In most cases, trade can only occur after bilateral negotiation between countries to ensure that they are satisfied that phytosanitary risks will be appropriately managed. These negotiations are based on WTO SPS principles and IPPC standards. Over the years, multiple trading partners bilaterally negotiate rules to manage pest risks associated with a commodity or pathway, even though it is often the case that many of the pests associated

with the commodity are identical in each of the bilateral negotiations. Significant advances in trade facilitation would be made if standards (ISPMs) were developed that established harmonized pest risk management options for the major pests or major groups of pests associated with a commodity or a pathway. Countries would still be free to negotiate measures for pests of concern not properly covered by the commodity- or pathway-specific ISPM, if technically justified.

Future standard setting will focus more and more on commodity- or pathway-specific topics rather than on broad conceptual and foundational issues that have been largely addressed. In order to establish a relevant work programme for commodity- or pathway-specific ISPMs, it is necessary to first determine carefully the structure, format, content, breadth of coverage and implementation of such standards, taking into account the fact that the needs may differ for different types of commodities and pathways. These are the precursors before concrete standard setting can commence.

The development of commodity- and pathway-specific standards may also incorporate additional activities with regard to new phytosanitary treatments. Many of the commodity- and pathway-specific ISPMs may need to include new phytosanitary treatments, which could be readily applied by NPPOs and have a very low environmental impact while still being efficacious against target pests. For this reason, it could be necessary for the Commission to intensify its activities relating to the adoption of new phytosanitary treatments.

Activities to be carried out during 2020–2030 could include the following:

- Develop and agree on the structure, format and content of commodity- and pathway-specific ISPMs and apply these concepts to the development of commodity- or pathway-specific ISPMs.
- Conduct an assessment of the critical factors necessary for an NPPO to effectively implement a commodity standard, and the barriers that have to be overcome.
- Agree on the criteria to prioritize a list of commodity- and pathway-specific ISPMs and, if appropriate, establish a work programme for the development of commodity- and pathway-specific ISPMs.
- As part of performance monitoring after implementation, evaluate the economic, trade, food security and environmental benefits delivered by a selection of commodity- or pathway-specific standards.
- Intensify current activities relating to phytosanitary treatments.
- As necessary, establish working groups to develop alternative pest risk management approaches for individual pests, pathways or commodities.

### **8.3 Management of e-commerce and postal and courier pathways:**

*A coordinated international effort to address the spread of pests and pest host material sold through e-commerce and distributed through postal mail and courier pathways*

#### **8.3.1 Desired 2030 outcome:**

A coordinated international effort has substantially reduced the spread of pests and pest host material sold through e-commerce and distributed through mail and courier pathways. Volumes of high-risk plant material traded online in small quantities and shipped via courier pathways are sourced from authorized or accredited plant-health export programmes, and compliance is tracked and enforced in collaboration with other border agencies, the international postal services and courier services.

#### **8.3.2 Description:**

Sales of plants, plant products, and pests ordered through the Internet (e-commerce) and courier mail services have increased significantly in the years since the IPPC and most ISPMs were adopted. E-commerce is fuelling an increasing volume and diversity of traded commodities. In many cases, online traders of plants, plant products, and other regulated articles are not aware of applicable regulations and do not consider a customer's location before agreeing to a sale or trade and shipping their purchases to them. This lack of knowledge of a customer's location can lead to consignments of regulated articles being imported into a country without any effort to meet the phytosanitary import requirements of the customer's country.

It is expected that e-commerce and the shipment of products via courier services will grow significantly. This will be associated with an upsurge in regulated articles traded and shipped internationally by mail or courier services. Phytosanitary organizations around the world will need efficient tools and procedures to screen



courier mail and packages. In addition, international harmonization of measures and procedures for e-commerce and courier mail operators may be the most efficient way to address this problem. Cooperation with other sectors such as customs (WCO) and the prevention of trade in endangered species (the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)), which face similar problems as the phytosanitary services, may help to develop a far reaching and efficient international system.

Activities to be carried out during 2020–2030 could include the following:

- Implement an international communications effort targeting both companies that trade through e-commerce channels and consumers to ensure that they understand that the importing country may have phytosanitary requirements, why those requirements exist, and how to comply with phytosanitary import requirements.
- Establish an inter-agency network (CITES, WCO, IPPC and other interested agencies) to create synergy in developing a joint policy and recommendations with regard to e-commerce and courier and postal pathways. A joint inter-agency toolkit could also be developed for the regulation and screening of e-commerce and courier and postal pathways.
- Develop and implement policies, programmes or mechanisms for sharing information on best practices, encouraging traders to follow requirements, etc.

#### **8.4 Developing guidance on the use of third-party entities:**

*Enabling use of third parties to perform phytosanitary actions such as treatments or inspections*

##### **8.4.1 Desired 2030 outcome:**

Countries wanting to use third parties will have access to harmonized resources to support them to do this in an effective manner with the necessary management processes and controls. Standards have been adopted and implemented that give guidance on the use of third-party entities to perform various phytosanitary actions, such as treatments, inspections and pest diagnosis. The standards ensure that, when governments choose to take this option, the actions continue to be carried out to the same standard and level of phytosanitary security.

##### **8.4.2 Description:**

Many NPPOs encounter unexpected problems while performing their functions, such as short-term new pest eradication or surveillance activities, which cannot be addressed by regular NPPO staff. In such situations, the availability of third-party entities to overcome such shortcomings may be beneficial. Because the NPPO is responsible for the outcome of activities undertaken by third-party entities on its behalf, the decision to use third-party entities is a voluntary one and lies with the NPPO.

The Convention allows phytosanitary actions to be carried out by public officers and properly authorized third parties. Authorization of third-party entities to perform specific phytosanitary actions such as inspection, testing, surveillance, pest diagnosis, treatment and auditing on behalf of the NPPO is now common in many countries. In some cases, the authorization process is regulated by general country legislation which is not necessarily specific to plant health. In the absence of harmonized guidance, NPPOs have used a variety of systems for authorizing third-party entities and widely varying levels of oversight, control and verification take place. This variation could contribute to a reduced confidence in the reliability of actions undertaken by the third-party entities. This in turn could lead to trade difficulties where importing countries impose additional import requirements to increase their confidence in the safety of the import.

Activities to be carried out during 2020–2030 could include the following:

- Adopt a relevant ISPM (or ISPMs) and guidance on authorization of third-party entities to perform phytosanitary actions such as inspection, sampling, testing, surveillance, monitoring and treatment on behalf of NPPOs.
- Explore how confidence in authorization programmes can be increased internationally (e.g. through an international authorization system).
- Provide capacity development resources as needed to assist NPPOs wishing to start using a third-party entity model.

#### **8.5 Strengthening pest outbreak alert and response systems:**

A global pest alert and response system to communicate emerging pest risks, so countries can proactively adapt their phytosanitary systems to reduce the risk of introduction, and to strengthen country and regional abilities to respond effectively to pest outbreaks including new incursions

#### 8.5.1 Desired 2030 outcome:

A global pest alert system with mechanisms to evaluate and communicate emerging pest risks is in place, providing regular information to NPPOs on changes in pest status around the world. NPPOs are using this to quickly adapt their phytosanitary systems to reduce the risk of introduction and spread. In the case of outbreaks, strengthened pest outbreak response systems and tools are helping countries take much more timely action, especially against new incursions. NPPOs, RPPOs and the FAO have collaborated to develop and roll out a comprehensive but easy to use toolbox to help countries respond quickly and effectively. RPPOs are playing an active role in assisting NPPOs and are coordinating outbreak responses across their regions.

#### 8.5.2 Description:

The speed and volume of internationally traded commodities provides the opportunity for pests to spread into new areas with considerable swiftness. For NPPOs to keep abreast of rapidly changing pest occurrences and distribution scenarios, considerable investment in scanning for emerging risks is necessary. This scanning activity is undertaken by some countries and RPPOs but is not always shared widely.

A global pest alert system could receive outputs from countries and RPPOs already conducting such scanning, and make the outputs more readily available and digestible by all contracting parties. For countries or regions not already well covered, a generic tool could be developed to allow easy entry and dissemination of information on emerging pest risks. RPPOs could play an important role across regions in identifying and communicating emerging pest risks.

Having an improved situational awareness of changes in pest risk will help countries to proactively adapt their phytosanitary systems to reduce the risk of introduction and establishment of pests.

Consideration also needs to be given to ways of improving pest reporting from countries. A pest alert system would function best for all concerned if it allows and promotes efficient, timely and comprehensive pest reporting by all contracting parties.

Outbreaks of pests can present significant challenges to the countries and regions in which these pests occur. Challenges such as the lack of know-how, lack of tools, or insufficient plant health capacity in science or operational delivery are in many cases not addressed sufficiently to prevent further spread and mitigate impacts on crops and the environment. This results in unnecessary threats to food security, the environment and trade.

The risk of new pest outbreaks (including incursions) can be reduced by phytosanitary actions on trade pathways, but not eliminated. It is therefore critical that countries are able to detect and respond quickly, through access to appropriate incursion response support. In many cases, regional coordination structures to efficiently control cross-border pests have not been developed. RPPOs have an important coordination role to play within regions, supporting NPPOs responding to pest outbreaks and facilitating assistance by neighbouring countries.

There is an urgent need to increase the capacity of countries to respond and this can, at least in part, be achieved through the establishment of an easily accessible toolbox of resources. Such resources could be developed under the Commission's work programme or simply made available by contracting parties. The Commission also has a role to facilitate the uptake of such resources in advance of an outbreak through training and other implementation activities. In addition, the Commission could explore the possibility of establishing voluntary funding mechanisms to assist countries for which funding is the critical limiting factor in successfully responding to pest outbreaks.

Activities to be carried out during 2020–2030 could include the following:

- Determine and understand the global state of emerging pest risk scanning and reporting at NPPO and RPPO levels, and user requirements for an enhanced pest alert system.
- Continue to work with countries to facilitate the development of pest surveillance systems, based on IPPC standards and other technical guidance, necessary for early detection and response to emerging pest risks.

- Develop a system to coordinate the dissemination of information on emerging pest risks and changes in pest status, including establishing common data standards for all countries and regions engaged in this activity.
- Set-up a generic system that countries and RPPOs could use to enter and report emerging pest risks, including changes in pest status.
- Explore new ways to facilitate timely reporting of new incursions and to remove current barriers that work against proactive pest reporting.
- Develop a clear IPPC mandate, policy and structure including, if appropriate, the integration of the Emergency Prevention System for Transboundary Animal and Plant Pests and Diseases (EMPRES) plant health activities into an overall plant health mandate.
- Establish a network of phytosanitary emergency response expertise.
- Help ensure that expertise and response resources are engaged in a timely manner.
- Develop a simple and effective incursion response toolbox that countries can use, including contingency response plans, delimitation methods, diagnostic protocols, containment protocols, lists of lures, attractants and control agents, control options, phytosanitary treatments, etc.
- Facilitate advocacy initiatives with potential donors, to seek support in implementing the incursion response toolbox developed.
- Establish a strengthened international pest outbreak response system under the IPPC providing unique opportunities to address catastrophic pest outbreaks, such as the recent outbreak of fall armyworm (*Spodoptera frugiperda*) in Africa, by speedily providing expertise and methodologies for pest eradication. Create an international donor initiative to finance the system, as although the benefits can be substantial, the resources needed to establish and maintain such a system will exceed those currently available to the IPPC Secretariat.

## 8.6 Assessment and management of climate change impacts on plant health:

[Initiating a work programme to assess and manage the impacts of climate change on plant health and international trade of plants and plant products](#)

### 8.6.1 Desired 2030 outcome:

The impacts of climate change on plant health and the safe trade of plants and plant products are evaluated, especially in relation to pest risk assessment and pest risk management issues, and phytosanitary issues are adequately reflected in the international climate change debate under the Intergovernmental Panel on Climate Change.

### 8.6.2 Description:

Trade offers a way to resolve challenges such as regional food shortages due to climate change impacts. However, climate change impacts on plant pests and pest vectors also threaten the international trading system, as international trade provides a pathway for plant pests and pest vectors to spread into new areas of the world. To realize the potential benefits of international agricultural trade it is therefore imperative to strengthen phytosanitary activities with regard to climate change. Since pest and plant distribution, pest epidemiology and pest impacts may change considerably as a result of climate change, robust surveillance and monitoring systems are vital at national, regional and international levels. Knowledge about pests and the potential changes in life cycles, epidemiology and pathogenicity that may be induced by climate change is essential when undertaking pest risk assessments to determine steps and actions to manage these pest risks effectively and economically.

Greater attention must be paid to phytosanitary issues in general policy considerations on climate change. It is essential that phytosanitary policies and strategies are adequately reflected in the work of the Intergovernmental Panel on Climate Change. Political weight and subsequent funding for phytosanitary needs at a national, regional and international level will only be available when phytosanitary issues are recognized as an important component of the climate change debate.

Up until now, the Commission has given only rudimentary consideration to issues related to climate change. If such issues are to receive more attention in the work programme of the Commission, it is imperative that they be addressed in a systematic manner. This may be best achieved through the creation of a task force on climate change to define ambitious and proportionate priorities for action.

Activities to be carried out during 2020–2030 could include the following:



- Explore how far the Commission needs to address climate change issues and their impact on plant health policies.
- Establish, if appropriate, an appropriate forum for the systematic analysis and discussion of climate change and plant health.
- Develop recommendations with regard to climate change and plant health and, if necessary, of associated guidelines for pest risk analysis and surveillance.
- Mainstream phytosanitary policies into the climate change debate.

## 8.7 Global phytosanitary research coordination:

*A voluntary mechanism for global phytosanitary research coordination, to accelerate development of science to support all regulatory phytosanitary activities*

### 8.7.1 Desired 2030 outcome:

An analysis of international phytosanitary research structures and policies has been conducted to explore how far international coordination of plant health research could help countries to avoid overlap in research activities and to utilize research resources in the most efficient and effective manner. Possibilities for establishing an international phytosanitary research collaborative structure have been explored and, if appropriate, the structure has been established.

### 8.7.2 Description:

International research collaboration across nations, institutions and disciplines leads to higher quality science, efficiencies of resource use, better outcomes and wider adoption of results. However, these benefits of collaboration only occur where there is mutual interest and alignment of goals (including a “vision”), effective leadership, facilitation of processes and structures, support for collaboration, and ultimately funding – for both research and collaboration. In addition, the need to develop a balanced portfolio of research work, ranging from strategic to applied research, is essential in creating synergistic collaboration.

To establish an international research collaboration, it is important to develop a Commission policy on the matter and to agree on structures. Collaboration with international plant health research organizations (e.g. Euphresco) may provide useful perspectives on policy and structures. The complete administration and governance of this activity could be delegated to RPPOs, thus avoiding resource demands on the IPPC Secretariat.

The development of an initiative to establish a global phytosanitary research coordination policy and structure is an important component of the Commission’s strategic objectives.

Activities to be carried out during 2020–2030 could include the following:

- Analyse existing international research coordination policies and structures.
- Explore the benefits of developing an IPPC policy and structure for international research coordination, especially with regard to determining the role of RPPOs in such coordination.
- Adopt an IPPC international research coordination and policy and structure.
- Establish, if appropriate, an international phytosanitary journal for publication of phytosanitary research findings.

## 8.8 Diagnostic laboratory networking:

*Establishing a network of diagnostic laboratory services and diagnostic protocols to help countries identify pests in a more reliable and timely manner*

### 8.8.1 Desired 2030 outcome:

An international network of diagnostic laboratory services provides reliable and timely pest identifications. National laboratories with strong diagnostic functions are officially recognized as capable of offering reliable services within regions or globally, reducing the need for all countries to develop duplicated capacity.

### 8.8.2 Description:

Diagnostic expertise is one of the major capabilities for the proper functioning of any NPPO. For many countries, however, the availability of diagnostic expertise or services is severely restricted because of limited structural capacity and know-how. Any country wishing to take part in the trade of agricultural commodities

must be able to demonstrate that its products are free from pests. To do that, access to diagnostic services is essential. In addition, importing countries need proper access to diagnostic expertise to be able to detect pests in imported commodities and therefore prevent the entry of regulated pests that may cause considerable damage to agriculture or the environment.

Establishing world-class diagnostic laboratories and keeping up with advances in diagnostic technology is extremely costly. It is becoming apparent that, for many countries, the only viable option to access high-end diagnostic services will be through cooperation across countries to remotely access diagnostic capacity at an international, regional or subregional level. For example, a diagnostic laboratory established on a subregional level could effectively and efficiently serve the needs of several countries in the region. Country A in the region may have a laboratory for entomology while country B may specialize in plant pathogens and country C nematodes, and so on. In the near future, joint diagnostic centres and laboratories may be the only way for many countries to access state-of-the-art diagnostic services.

The Commission could help address the lack of access to diagnostic capacity in many countries by establishing a voluntary network of diagnostic laboratories. Existing generic laboratory standards could also be applied more widely. In addition, the IPPC could develop a project model for subregional diagnostic centres, which could serve as a blueprint for donors when providing technical assistance to developing countries (e.g. via the Standards and Trade Development Facility).

Activities to be carried out during 2020–2030 could include the following:

- Conceive a model for the establishment of subregional joint diagnostic laboratories and proficiency testing.
- Adopt required standards and diagnostic protocols.
- Facilitate the establishment of an international laboratory network.

Establish and communicate a listing of available diagnostic laboratories and their expertise.

## ANNEX 4: IPPC National Phytosanitary Capacity Development Strategy

### NATIONAL PHYTOSANITARY CAPACITY BUILDING STRATEGY<sup>67</sup>

#### 1. Introduction

A strategy is a plan of action designed to work towards a vision, or a future desired situation ideally starting from a known current situation or starting point. A strategy facilitates decision making and provides a framework for effective action.

##### *Vision statement*

NPPOs able to effectively and sustainably service the needs of their country in the protection of plants and plant products and the facilitation of trade.

Achievement of this vision would result in:

- a) All contracting parties implementing the ISPMs they need.
- b) All contracting parties meet their obligations under the IPPC.
- c) The IPPC reflects the goals of all its members.
- d) Phytosanitary capacity of contracting parties evolving in response to changing circumstances
- e) Phytosanitary issues embedded in policy
- f) Effective regional cooperation

#### 2. Situation analysis

An analysis of the current capacity of IPPC member countries to implement the IPPC and to fulfil their obligations as IPPC members, provides the justification and a starting point for the phytosanitary capacity building strategy. Various phytosanitary capacity situation analyses have been carried out over the past two or three years for a variety of purposes. The results of these analyses provide at least a partial situation description of the current capacity of IPPC member countries and the capacity of the IPPC community overall (encompassing the CPM, the IPPC Secretariat, the NPPOs, and the contracting parties) to build further capacity among its members.

- The independent evaluation of the workings of the IPPC and its institutional arrangements analyzed the technical assistance activities of the IPPC Secretariat, the decisions and follow-up of (I)CPM decisions, and made recommendations regarding technical assistance and strengthening phytosanitary capacity. The evaluation included the observations that: there have been no priorities set for capacity building activities by the IPPC Secretariat; staff resources in the Secretariat were not sufficient to carry out TCP projects and provide follow up; scarce Secretariat resources were used for non-core IPPC capacity building activities; there was little donor involvement in phytosanitary capacity building projects. The evaluation recommended that IPPC should not be involved with phytosanitary capacity building projects, except for core activities such as training workshops for the implementation of standards, IPPC meeting attendance and support to the International Phytosanitary Portal. The CPM rejected the recommendation and decided to develop a phytosanitary capacity building strategy.
- The discussion paper prepared by the World Trade Organization for the OEWG-BNPC (Open ended working group on building national phytosanitary capacity which met in 2008) on building national phytosanitary capacity showed that plant protection projects are typically last on the list when it comes to disbursements related to training. It also noted that the confidentiality of the results of the PCE tool limits its usefulness from the perspective of coordinating technical cooperation activities.
- The evaluation carried out by CABI of the PCE showed that the PCE is a valuable tool in assessing a country's phytosanitary capacity, but falls short in several areas and is not always used as the basis for national development plans.

<sup>67</sup> Adopted by CPM-5 (2010) see Appendix 11 to report, Link to IPPC National Phytosanitary Capacity Development Strategy: <https://www.ippc.int/en/publications/11/>

- The OEWG-BNPC (2008) noted that:
  - There is often poor communication on the importance of plant protection within countries; national governments may set policies and priorities that are not in line with the objective of preventing the spread of plant pests; public/private partnerships are useful and essential to the sustainability of plant protection programs; regional approaches work; there is a need for information of new and emerging plant pest issues.
  - “Plant protection” and “plant quarantine” do not capture attention in the way that “biosecurity” does.
  - Other agreements such as the SPS agreement have a significant impact on the work of the IPPC.
  - The low profile of IPPC internationally and of plant protection programs nationally, resulting in a perceived non-importance of plant protection, has resulted in few available resources and difficulty in acquiring resources, both for the Secretariat and to carry out the work programme of the IPPC.
- The OEWG-BNPC (2008) recognized that:
  - Implementation of standards can be complex, involving many different areas. Currently there is a gap between the development of standards and their implementation.
  - The proposed implementation review and support system, in particular the establishment of a help desk for the IPPC has not progressed.
  - Not all RPPOs are equal and activities suggested to be carried out by RPPOs will not all be carried out to the desired level.
  - There are a range of other geopolitical groupings that are relevant to the IPPC.
  - The capacity levels of countries are very different. Thus a one-size-fits-all approach will not work.
  - Phytosanitary capacity building is going on, but often the different initiatives are not well coordinated. There is a need to find out where the gaps are and prevent duplication.
  - The lack of resources are a significant limiting factor to capacity building.
  - The availability of expertise to develop and deliver capacity building is sometimes a limiting factor.

### 3. Draft Strategy

The table below summarizes the proposed National Phytosanitary Capacity Building Strategy as amended by the open ended working group which met in December 2009 (OEWG-BNPC, Dec 2009). The six strategic areas are the components of a global strategy with stakeholders at national, regional and international level, each with a role to play. In some areas the Secretariat has a lead role to play, while in others, such as national phytosanitary planning, the Secretariat can support or assist an activity led by another stakeholder. The strategy is further elaborated in corresponding logical frameworks and workplans prepared for each strategic area identified.

Revised summary of strategic areas showing goals (January 2009)

Strategic Areas	Strategic Areas refined (OEWG-BNPC, Dec. 2009)	Outcome/Purpose (OEWG-BNPC, Dec. 2009)	Goals	Activities
1. National phytosanitary planning	1. National phytosanitary planning (and management)	<ul style="list-style-type: none"> <li>Enhanced national phytosanitary systems planning, management and leadership.</li> </ul>	<ul style="list-style-type: none"> <li>develop methods and tools to help countries assess and prioritize their phytosanitary needs, including gap analysis</li> </ul>	<ul style="list-style-type: none"> <li>implement PCE improvements from the CABI review</li> <li>review the OIE-PVS (and IICA phytosanitary PVS tool) and use as basis to develop a new more comprehensive gap analysis process for phytosanitary needs (including stakeholders; peer review step etc.)</li> </ul>
			<ul style="list-style-type: none"> <li>support preparation of national phytosanitary action plans (NPAPs)</li> </ul>	<ul style="list-style-type: none"> <li>develop tools and guidelines for preparing NPAPs</li> <li>encourage inclusive approaches for preparing NPAPs</li> </ul>
			<ul style="list-style-type: none"> <li>assist in project preparation to address priorities (legislation, surveillance, etc)</li> </ul>	<ul style="list-style-type: none"> <li>follow up on assessment with national phytosanitary capacity strategy</li> </ul>
2. Standard setting and implementation	2a. Participation in standard setting	<ul style="list-style-type: none"> <li>Capacity of contracting parties to participate in IPPC standard setting improved.</li> </ul>	<ul style="list-style-type: none"> <li>enhance countries' effective participation in CPM (and in the standard setting process)</li> </ul>	<ul style="list-style-type: none"> <li>assess participation of countries at CPM</li> <li>develop orientation programme for new CPM delegates to participate in CPM (immediately prior to CPM)</li> <li>facilitate regional discussion on CPM positions (in region or immediately prior to CPM), and coordination during meetings</li> <li>continue regional draft standards workshops</li> <li>encourage and support participation in expert working groups, technical panels</li> </ul>
	2b. Standards implementation	<ul style="list-style-type: none"> <li>Contracting parties (and non-contracting parties) are able to implement ISPMs in line with their needs.</li> </ul>	<ul style="list-style-type: none"> <li>establish and adopt standards implementation review and support system (IRSS)</li> </ul>	<ul style="list-style-type: none"> <li>develop guidelines/tips for implementation</li> <li>provide help desk</li> <li>develop training materials, deliver training, feedback mechanisms from workshops</li> <li>develop list of experienced facilitators for implementing ISPMs</li> <li>develop tools for sharing experiences</li> </ul>

Strategic Areas	Strategic Areas refined (OEWG-BNPC, Dec. 2009)	Outcome/Purpose (OEWG-BNPC, Dec. 2009)	Goals	Activities
				<ul style="list-style-type: none"> <li>regional draft standards workshops</li> <li>develop and use questionnaire as per proposal (OEWG on a Possible Compliance Mechanism at Kuching, 2007)</li> </ul>
3. Coordination and communication	3a. Communication and coordination	<ul style="list-style-type: none"> <li>Coordinated phytosanitary capacity development are addressing priority needs.</li> </ul>	<ul style="list-style-type: none"> <li>collect, collate and disseminate information on plant protection programmes and existing capacity building providers and projects</li> </ul>	<ul style="list-style-type: none"> <li>define exactly what information to collect from whom (countries, donors, through linkages, all other partners)</li> <li>take advantage of existing databases, projects, CPM meeting reports</li> </ul>
			<ul style="list-style-type: none"> <li>advise countries and donors on possible synergies and opportunities</li> <li>collaboration with partners (implementation and supervision agreements, initiatives, etc) – Standards and Trade Development Facility (STDF) projects, World Bank missions, Centers of Phytosanitary Excellence (COPE), etc.</li> </ul>	<ul style="list-style-type: none"> <li>use linkages to make better programmes (benefit to NPPOs)</li> <li>continue existing agreements</li> <li>actively seek further opportunities to collaborate/provide technical input to programmes of others</li> <li>engage stakeholders by convening international consultative group on phytosanitary capacity building</li> </ul>
			<ul style="list-style-type: none"> <li>create mechanism for matchmaking for mentoring, coaching and assistance</li> </ul>	<ul style="list-style-type: none"> <li>create similar format to the one used by for mentoring SPS Inquiry Points</li> </ul>
	3b. Pest information	<ul style="list-style-type: none"> <li>Capability to provide plant pest information enhanced.</li> </ul>	<ul style="list-style-type: none"> <li>document world plant pest status (emerging issues), including regional perspectives (annual report as an advocacy tool)</li> </ul>	<ul style="list-style-type: none"> <li>analysis of pest occurrence at national and regional levels, report of pest concerns at CPM.</li> <li>Other official reports of the Secretariat or FAO Committee/Council such as State of Food and Agriculture (SOFA)</li> <li>develop early warning system</li> </ul>
4. Resource mobilization and management	4. Resource mobilization (fundraising)	<ul style="list-style-type: none"> <li>Enhanced capacity to mobilize funds.</li> </ul>	<ul style="list-style-type: none"> <li>determine resource needs for IPPC secretariat related to capacity building</li> </ul>	<ul style="list-style-type: none"> <li>prepare paper on staffing requirements for CB for CPM-4</li> <li>raise funds (see resource mobilization paper presented under CPM-4 agenda item 13.6.6)</li> </ul>

Strategic Areas	Strategic Areas refined (OEWG-BNPC, Dec. 2009)	Outcome/Purpose (OEWG-BNPC, Dec. 2009)	Goals	Activities
			<ul style="list-style-type: none"> <li>• assess current resources available to IPPC to deliver capacity building strategy (targeted, trust fund, slush fund, assistance in-kind)</li> <li>• support NPPOs in raising funds for priority projects</li> <li>• obtain further resources and ensure effective use of resources</li> <li>• maintain and develop IPPC capacity building programmes</li> </ul>	<ul style="list-style-type: none"> <li>• hire a dedicated fund raiser</li> <li>• Secretary takes raised profile for fundraising</li> </ul>
5. Advocacy	5. Advocacy	<ul style="list-style-type: none"> <li>• Improved capacity to promote national phytosanitary systems</li> </ul>	<ul style="list-style-type: none"> <li>• adopt “Paris principles” for phytosanitary capacity building activities (national commitment, etc)</li> </ul>	<ul style="list-style-type: none"> <li>• OEWG/sub group to draft principles for effective phytosanitary capacity building for approval by CPM</li> <li>• SPTA reviews principles</li> <li>• CPM 5 adopts principles</li> </ul>
			<ul style="list-style-type: none"> <li>• help countries ‘embed’ phytosanitary considerations in policy and national development strategies</li> <li>• assist phytosanitary authorities to communicate effectively with other institutions within their country, with other countries and with regional organizations</li> </ul>	<ul style="list-style-type: none"> <li>• conduct sensitisation activities for policy makers</li> <li>• develop training modules for phytosanitary authorities in effective communication and advocacy</li> </ul>
			<ul style="list-style-type: none"> <li>• enhance visibility of IPPC (and phytosanitary concerns) among development partners</li> <li>• encourage adoption of risk-based approaches</li> </ul>	<ul style="list-style-type: none"> <li>• IPPC communication activities (publication, communication products, films, etc)</li> <li>• access to governing bodies (especially FAO, but also RECs); FAO and other goodwill ambassadors to reach senior decision makers</li> </ul>
6. Sustainability, monitoring and	6. Monitoring and evaluation	<ul style="list-style-type: none"> <li>• Capacity development actively monitored,</li> </ul>	<ul style="list-style-type: none"> <li>• develop approaches for impact assessment for phytosanitary capacity building (in accordance</li> </ul>	<ul style="list-style-type: none"> <li>• ensure involvement of all stakeholders (including creating networks for sustainability, involving universities, public-private partnerships, etc)</li> </ul>

Strategic Areas	Strategic Areas refined (OEWG-BNPC, Dec. 2009)	Outcome/Purpose (OEWG-BNPC, Dec. 2009)	Goals	Activities
evaluation of capacity building		evaluated and lessons learned acted upon.	with “Paris principles” and regarding IPPC strategy)	• link to other national initiatives
			<ul style="list-style-type: none"> <li>• monitoring to assess impact of capacity building activities (review and evaluation)</li> <li>• monitor and continuously improve IPPC capacity building programmes</li> </ul>	
			• develop IPPC ‘seal of approval’ for capacity building programmes	<ul style="list-style-type: none"> <li>• develop, test and adopt criteria for ‘seal of approval’</li> <li>• promote with donors and countries</li> </ul>



**Logical Framework for the IPPC National Phytosanitary Capacity Development Strategy**<sup>68</sup>

Impact/Goal	Key Indicator	Means of Verification	Assumptions / Risk
Cooperation between nations in protecting the world's cultivated and natural plant resources from the spread and introduction of pests of plants, while minimizing interference with the international movement of goods and people	<ul style="list-style-type: none"> <li>• Reduction of the absolute number of people suffering from hunger</li> <li>• increased food production</li> <li>• Sustainable management and utilization of natural resources</li> </ul>	Global poverty and hunger indices (World Bank, FAOSTAT, etc.)	Global economic crisis continues diverting resources from aid to agricultural productivity in Developing countries
Outcome/Purpose	Key Indicators	Means of Verification	Assumptions / Risk
NPPOs able to effectively and sustainably service the needs of their country in the protection of plants and plant products and the facilitation of trade	<ol style="list-style-type: none"> <li>1. Number of IPPC standards implemented per country</li> <li>2. Phytosanitary capacity evolving in response to changing circumstances</li> <li>3. Number of CPs<sup>69</sup> with phytosanitary issues embedded in national phytosanitary policies</li> </ol>	<ol style="list-style-type: none"> <li>1. IRSS data; NPPO reports; NPPO reports</li> <li>2. PCE data; NPPO annual reports; RPPO reports; Independent evaluation reports.</li> <li>3. Policy review reports</li> </ol>	Global conflicts, natural disasters and compounded effects at the national level by the global economic crisis diverts funds from NPPOs
Outputs	Key Indicator	Means of Verification	Assumptions / Risk
1. Enhanced national phytosanitary systems planning, management and leadership.	<ol style="list-style-type: none"> <li>1. Application of the PCE tool</li> <li>2. National strategies or action plans approved</li> <li>3. # of CPs with managers trained in management best practices</li> <li>4. Number of emergency pest response plans develop by CPs</li> </ol>	<ol style="list-style-type: none"> <li>1. PCE data; NPPO annual reports; RPPO reports; Independent evaluation reports.</li> <li>2. IRSS data; RPPO reports; NPPO reports</li> </ol>	The IPPC and partners can develop tools, but NPPOs may not be able to have local support to apply them.
2. Capacity of contracting parties to participate in IPPC standard setting improved.	<ol style="list-style-type: none"> <li>1. Number of CPs attending CPM and key IPPC meetings</li> <li>2. Level of feedback of CPs after meetings</li> </ol>	<ol style="list-style-type: none"> <li>1. IRSS data; RPPO reports; REC and other partners' reports</li> <li>2. IPPC meeting reports; Survey feedback reports</li> </ol>	Governments do not allocate funding to ensure participation
3. Contracting parties (and non-contracting parties) are able to implement ISPMs in line with their needs.	<ol style="list-style-type: none"> <li>1. Number of ISPMs reported by CPs to be fully implemented</li> <li>2. Number of guidelines, manuals, SOPs, training and advocacy materials being adopted and used by CPs</li> <li>3. CPs budgets reflect the adequacy of country programmes</li> <li>4. Level of global, regional and national investments to improve implementation of ISPMs</li> <li>5. Level of participation and investments in global, regional and national trainings specific to ISPMs</li> <li>6. Level of funding channelled through the IPPC for capacity development</li> </ol>	<ol style="list-style-type: none"> <li>1. IRSS data; RPPO reports; REC and other partners' reports</li> <li>2. IPPC reports; Survey feedback reports</li> <li>3. PCE data; NPPO annual reports; Audit reports; Independent evaluation reports.</li> <li>4. IPPC helpdesk data and M&amp;E data.</li> <li>5. IPPC projects and activities database data;</li> <li>6. Partners' financial reports</li> </ol>	Global conflicts, natural disasters and compounded effects at the national level by the global economic crisis de-prioritizes the importance of the NPPOs and funding is reduced for effective implementation of ISPMs.

<sup>68</sup> Note by CPM-7 (2012), Link to IPPC National Phytosanitary Capacity Development Strategy: <https://www.ippc.int/en/publications/11/>

<sup>69</sup> Refers to the Contracting Parties of the International Plant Protection Convention, which, at time of preparation of this document, numbers 179.

Outputs	Key Indicator	Means of Verification	Assumptions / Risk
4. Coordinated phytosanitary capacity development are addressing priority needs.	1. Number coordinated global, regional and national projects implemented per year 2. Number of functional coordination mechanisms reported to be implemented by CPs 3. Number of inter-organizational (donors, technical assistance providers, RECs etc.) meetings held per year addressing phytosanitary issues at global, regional or national level 4. Degree of CP satisfaction on the assistance provided by the IPPC helpdesk	1. IRSS data; IPPC and Partners' reports 2. Targeted survey feedback reports 3. PCE data; NPPO annual reports; Audit reports; Independent evaluation reports. 4. IPPC helpdesk data. 5. IPPC projects database and activities data	Partners disregard the need for coordination due to other priorities or policies and continue to implement capacity building resulting in duplicated work and resources.
5. Capability to provide plant pest information enhanced.	1. Rate of pest reporting by CPs and RPPOs through the IPPC portal 2. Number of functional diagnostic laboratories at regional or national levels reported by CPs or RPPOs 3. Rate of change of number pest specimens hosted in national collections 4. Number of pest notifications reported through pest early warning systems	1. IPP data; IPPC and Partners' reports 2. Targeted survey feedback reports 3. PCE data; NPPO annual reports; Audit reports; Independent evaluation reports.	NPPOs refuse to notify pests status for fear of reprisals such as trade prohibitions or restrictions
6. Enhanced capacity to mobilize funds.	1. Number of inter-organizational (donors, technical assistance providers, RECs etc.) meetings held per year for resource mobilization to address phytosanitary issues at global, regional or national level 2. Degree of change over previous years of budgetary support to IPPC 3. Degree of self sustainability of NPPOs of CPs 4. Degree of change over previous years of budgetary support to NPPOs	1. IRSS data; IPPC and Partners' reports 2. Targeted survey feedback reports 3. PCE data; NPPO annual reports; Audit reports; Independent evaluation reports 4. IPPC projects database and activities data 5. Partners' financial reports	Reduction in aid for agricultural development or redirection of funds to other emerging priorities.
7. Improved capacity to promote national phytosanitary systems	1. Number of policies and legislation developed, updated or enforced, at regional and national levels, with phytosanitary issues embedded. 2. Number of guidelines, documentation, training and other materials addressing advocacy developed and used at global, regional and national levels 3. Level of participation and investments in global, regional and national trainings specific to policy makers, senior government officials and private sector stakeholders 4. Number of public-private sector partnerships reported by CPs	1. IRSS data; IPPC and Partners' reports 2. Targeted survey feedback reports 3. PCE data; NPPO annual reports; Audit reports; Independent evaluation reports. 4. IPPC projects database and activities data; 5. Partners' financial reports	The fluid dynamics of politics (impact of national elections on the NPPO and within government structures) particularly in developing countries may limit the impact of the programme in the short-term.
Outputs	Key Indicator	Means of Verification	Assumptions / Risk
8. Capacity development actively monitored, evaluated and lessons learned acted upon.	1. Degree of uptake of M&E methods by CPs 2. Number and type of reviews conducted by CPs, RPPOs and other phytosanitary agencies 3. Number of excellence awards provided by the IPPC 4. IPPC global capacity development strategy updated every 6 years	1. IRSS data; RPPO reports; REC and other partners' reports 2. IPPC reports; Survey feedback reports 3. NPPO annual reports; Audit reports; Independent evaluation reports. 4. IPPC M&E data 5. IPPC projects and activities database data	Country level data may not be shared readily for fear that such information may impact trade opportunities for some countries.

## The IPPC Capacity Development Work plan<sup>70</sup>

### Strategic Area 1: National PS Planning and Management

Activity No.	Output	Sub-activities	Lead Entity	Supported by	Funding Options	Notes/Comments
ST1/O1/A1.1	1. Fit-for-purpose tools and processes for phytosanitary systems(PS) planning.	Identifying and review tools for PS capacity evaluation	IPPC Sec	NPPO, RPPO	IPPC Sec, FAO-TCP, Donors	Donors includes bilateral, multilateral, regional and sub-regional funded projects
ST1/O1/A1.2		Develop new or revise existing fit for purpose tools	IPPC Sec	NPPO, RPPO	IPPC Sec, RPPO, FAO-TCP, Donors	Other activities are depended on tools being revised or developed
ST1/O1/A1.3		Development of IPPC core training materials	IPPC	NPPO, RPPO	IPPC Sec, RPPO, FAO-TCP, Donors	Other activities are depended on tools being revised or developed
ST1/O2/A2.1	2. Critical competencies available in the national phytosanitary system to undertake national planning, management and provide leadership to the NPPO.	Regional or national policy discussions including planning management and leadership on the mandate of the NPPO	RPPO	NPPO, IPPC Sec and others	RPPO, National, IPPC Sec, FAO-TCP, Donors, others	
ST1/O2/A2.2		Training (project management, proposal writing, administrative and management, leadership, staff training programme development)	NPPO	IPPC Sec, RPPO, STDF	National, IPPC Sec, RPPO, FAO-TCP, Donors, others	National activities based on needs and priorities
ST1/O2/A2.3		Undertake baseline study on planning and management requirements in the national phytosanitary system including stakeholder engagement	NPPO	RPPO, IPPC Sec.	National, IPPC Sec, RPPO, FAO-TCP, Donors	National activities based on needs and priorities
ST1/O2/A2.4		Develop mentoring opportunities to support national phytosanitary planning and management	NPPO	RPPO, IPPC Sec, STDF, others	National, IPPC Sec, RPPO, FAO-TCP, Donors	
ST1/O3/A3.1	3. Best practice for national phytosanitary action plans developed.	Develop national phytosanitary action plans and HR plans and succession planning	NPPO	RPPO, Others, IPPC Sec.	National, IPPC Sec, RPPO, FAO-TCP, Donors	National activities based on needs and priorities
ST1/O3/A3.2		Develop national emergency response plans for regulated pests that incorporate regional Emergency response plans, where they exist	NPPO	RPPO, Others, IPPC Sec.	National, IPPC Sec, RPPO, FAO-TCP, Donors	National activities based on needs and priorities

<sup>70</sup> Endorsed by CPM-7 (2012). Link to IPPC National Phytosanitary Capacity Development Strategy: <https://www.ippc.int/en/publications/11/>

*Strategic Area 2: Participation in Standard Setting*

Activity No.	Output	Sub-activities	Lead entity	Supported by	Funding options	Notes/Comments
ST2/O1/A1.1	1.Enhanced regional coordination of inputs into the standard setting process	RPPO coordinate discussion for a/workshops on draft standards, new topics, specifications and CPM preparation	RPPO	IPPC Sec, RECs, Other integration organizations	FAO, Donors, IPPC Sec	
ST2/O1/A1.2		Training RPPOs staff and regional experts on participation in all stages of the standard setting process (e.g. topics, specifications, representation on the SC and in other technical bodies, draft standards)	IPPC Sec	RPPOs, Experts	IPPC Sec, FAO, Donors, RPPOs	
ST2/O1/A1.3		Training RPPOs staff and regional experts to facilitate/ coordinate standard setting meetings	IPPC Sec	RPPOs, Experts, RPPOs	IPPC Sec, FAO, Donors, RPPOs	Linked to budgeted workshops that the IPPC holds. This expenditure represents an additional days cost to the normal 5 day meeting
ST2/O2/A2.1	2.Enhanced involvement of stakeholders at national level	Hold multi-stakeholder discussion, fora, training, workshops, web on draft ISPMs, new topics, specifications, CPM, etc	NPPO	RPPOs, RECs Other organizations, IPPC Sec, FAO	Donors, NPPO, RPPO, FAO, IPPC Sec	
ST2/O3/A3.1	3.Quality of contracting parties participation improved	Hold orientation programme for new CPM delegates	IPPC Sec	RPPOs, FAO	Donors, NPPO, RPPO, FAO, IPPC Sec	A meeting of a few hours prior to start of the CPM.
ST2/O3/A3.2		Peer/coaching/mentoring for new members of subsidiary bodies of the IPPC	IPPC Sec	RPPOs, FAO	Donors, NPPO, RPPO, FAO, IPPC Sec	A meeting of a few hours prior to start of the Subsidiary Body's meeting (e.g. Bureau, SPTA, EWG, TPs, SC etc.)
ST2/O3/A3.3		Support X participation in EWGs and Technical panels (Max 2 technical standards per year)	IPPC Sec	RPPOs, NPPOs	Donors, NPPO, RPPO, FAO, IPPC Sec	Only done for technical standards for which the members of an EWG or TP need a global view of the topic at hand
ST2/O3/A3.4		Conduct in depth discussion with all stakeholders, on draft ISPMs	NPPO	RPPOs	Donors, NPPO, RPPO, FAO, IPPC Sec	
		Review of draft standards at national level	NPPO	RPPO, RECs and other organizations		
		Review of draft standards at regional level	RPPO	NPPO		
ST2/O3/A3.5		Engage government to commit the human and financial resources for the NPPO to participate in the standard setting process and formalize its commitments using relevant instruments	NPPO	RPPO, RECs and other organizations	Donors, NPPO, RPPO, FAO, IPPC Sec	This activity can be combined with other workshops or conducted independently
ST2/O3/A3.6		Monitoring and evaluation	CPM	NPPOs, RPPOs, IPPC Sec, Donors	Donors, NPPO, RPPO, FAO, IPPC Sec	
		Annual reports				
		Midterm review				
		External evaluation				

*Strategic Areas 3: Standards Implementation*

Activity No.	Output	Sub-activity	Lead Entity	Supported by	Funding Options	Notes/Comments
ST3/O1/A1	Enhanced involvement of stakeholders at national level	Identifying implementation issues associated with adopted and draft standards (Approx 5 per year).	NPPO	RPPOs, RECs Other organizations, IPPC Sec, FAO	Donors, NPPO, RPPO, FAO, IPPC Sec	Implementation requirements guideline prepared that goes out with each draft standard sent for country consultation.
		Accompanying draft implementation guidelines with draft standards (Approx 5 per year).	IPPC Sec/Expert	Experts, RPPOs, NPPOs	Donors, NPPO, RPPO, FAO, IPPC Sec	
		A. Prepare guideline				
		B. Circulate / review guideline				
		C. Distribute guideline at regional workshops				
ST3/O2/A2	Improved understanding of implementation requirements of specific standards	Develop manuals; guidelines; factsheets; capacity needs assessment tools for implementing specific standards Implementation of 34 standards@ 2011	NPPO	NPPO, RPPOs, Donors, IPPC Sec, FAO, Others	NPPO, RPPOs, Donors, IPPC Sec, FAO	
		Development of new tools for implementation	IPPC/Experts RPPO, NPPO	RPPOs, NPPOs		
ST3/O2/A2.1	Support provided for implementation of priority ISPMs	Training on implementation of ISPMs	RPPO		NPPO, RPPOs, Donors, IPPC Sec, FAO-TCP	
		National level Implementation of 34 standards @ 2011	Experts, NPPO	RPPO		
		Regional level	RPPO/Experts	IPPC Sec		
		Workshops				
		Higher level education	RPPO	IPPC Sec, NPPO		
		Establishment of centers of excellence				
Establishment of mentoring system for countries to help each other		RPPO	RECs and other organizations, IPPC Sec, NPPOs	NPPOs, RPPOs, RECS and other organizations		
ST3/O2/A2.2	Mobilize resources for implementation of standards	NPPO				
ST3/O2/A2.3	Develop advocacy materials	IPPC Sec/FAO	RPPOs, RECs and other organizations, SPTA			NPPOs, Donors, STDF, RPPOs, RECS and other organizations, IPPC Sec
	Advocate and Communicate	NPPO				
		Develop communication materials	IPPC Sec/FAO	RPPOs, RECS and other organizations, SPTA		0
		Develop planning tools for specific ISPMs identified by the NPPOs	IPPC Sec/FAO	RPPOs, RECS and other organizations		20
		Develop resource plan	NPPO	RPPOs, RECS and other organizations, SPTA		20
ST3/O3/A3	Level of implementation of ISPMs is appropriate for national needs	Staffing	NPPO			20
		donor matching	IPPC Sec	RPPOs, RECS and other organizations		

		mentoring (see Activity 2.2)	NPPO	RPPOs, RECS and other organizations, IPPC Sec		
		Implement IRSS programme	IPPC Sec	RPPO, NPPO, RECS and other organizations		
	Level of implementation of ISPMs is appropriate for national needs				STDF, WTO, FAO, IPPC	3000

*Strategic Areas 4: Communication and Coordination*

Activity No.	Output	Sub-activity	Lead Entity	Supported by	Funding Options	Notes/ Comments
ST4/O1/A1	Information and resources of international, regional and national bodies identified, managed and coordinated.	Establish baseline	IPPC and RPPOs	NPPOs and RPPOs	Donors	
ST4/O1/A1.1		Build ICT system accessible to donors and recipients with limited general access	IPPC	NPPOs and RPPOs	Donors	
ST4/O1/A1.2		Develop and conduct periodic survey of capacity development programs to populate the system	IPPC	NPPOs and RPPOs	Donors	
ST4/O1/A1.3		Train users on system operations.	IPPC	NPPOs and RPPOs	Donors	
ST4/O2/A2.1	Methods and pathways for communication used	Establish "help desk" which is empowered to facilitate and maintain partnering between donors and recipients	IPPC	NPPOs and RPPOs	Donors	Calculated in the IRSS program
ST4/O2/A2.2		Each successive CPM encourages the use of help desk	CPM	NPPOs and RPPOs	Donors	
ST4/O3/A3.2	Mechanism and synergies for coordination used	Contracting parties or RPPOs reports information to IPPC on ongoing or planned projects in member nations	RPPO	NPPOs and RPPOs	Donors	
ST4/O4/A4.1	Competencies for resource mobilization and management identified and supported through the national phytosanitary action plan	National networking mechanism established	NPPO	NPPOs and RPPOs	Donors	Initial development activity may require IPPC intervention for providing description of what is required - regional travel
ST4/O4/A4.2		National coordination committee (SPS/biosecurity/trade facilitation, etc) established to engage other ministries/departments in cooperative activities that can benefit plant health efforts	NPPO	NPPOs and RPPOs	Donors	Initial development activity may require IPPC intervention for providing description of what is required - regional travel
ST4/O4/A5.1		Develop linkages between and among other regional and other multinational organizations	IPPC/RPPO	NPPOs and RPPOs	Donors	Five donor conferences held on a regional basis at an average cost of \$75,000

*Strategic Area 5: Pest Information*

Activity No	Output	Sub- activity	Lead Entity	Supported by	Funding Options	Notes/ Comments
ST5/O1/A.1	Contracting parties updated regulated pest lists and timely report outbreaks of regulated pests.	Gap analysis to determine requirements for surveillance, diagnostics, reference collections, information systems etc.	IPPC	IPPC/RPPO/NPPO and other organizations	Donors	
ST5/O2/A.2	Pest data analysed, especially providing early warning for risk management, market access and risk analysis.	National Planning activities related to surveillance, diagnostics and related activities underpinning food security	NPPOs	IPPC/RPPO/and other organizations	Donors	This is a component frequently integrated into many cooperation projects
ST5/O/A3.1		Enhancement of surveillance skills through training - especially practical application	NPPO	RPPOs, IPPC Sec, Technical Assistance providers	Donors	Assuming 80 countries receiving 400.000 each over 2 years.
ST5/O/A3.2		Development of specialized diagnostic support at a regional level	RPPO	NPPO/IPPC	Donors	Reflected as ongoing over the life of the project.
ST5/O/A4.1		Enhancement of diagnostic capability through development of laboratory infrastructure	NPPO	NPPO/RPPO/IPPC	Donors	Needs determined based on gap analysis and midterm review. Assuming 80 countries receiving 500.000
ST5/O/A4.2		Enhancement of diagnostic capability through the provision of diagnostic tools		NPPO/RPPO/IPPC	Donors	This will include taxonomic reference material, electronic or otherwise.
ST5/O/A4.3		Enhancement of diagnostic capability through development of networking	IPPC	RPPO/NPPO	Donors	Vision is to establish a network, registers of expertise, etc.
ST5/O/A4.4		Enhancement of reference collections and related physical facilities and curation protocols	NPPO	RPPO/IPPC	Donors	Driven by gap analysis, and revisited periodically
ST5/O/A4.5		Confirmatory identifications for specimens to assist with reference collections, early warning for risk management, market access and risk analysis	NPPO	RPPO, IPPC	Donors	
ST5/O/A5.1		Create and deploy information systems at national level. Mechanisms created to provide pest information to NPPOs	NPPO	IPPC/RPPO	Donors	
ST5/O/A5.2		Training in compilation of pest information and management of information systems provided to national actors, including NPPOs	NPPO	IPPC/RPPO	Donors	
ST5/O/A5.3.		Data entry	NPPOs		Donors	
ST5/O/A6.1	Capability to provide plant pest information enhanced	Training provided in analysis of pest information, preparation of pest reports and issuing of pest alert	NPPO/ RPPO	IPPC	Donors	Dependent on complexity of tasks to be done
ST5/O1/A.7		Pest information analyzed; reports and early warnings issued	NPPOs	IPPC/RPPO/NPPO	Donors	
ST5/O/A8		Embed IPPC related material in national tertiary and vocational curricula	NPPOs	IPPC/RPPO	Donors	



*Strategic Area 6: Resource Mobilization (Fundraising)*

Activity No.	Output	Sub- activity	Lead Entity	Supported by	Funding Options	Notes/ Comments
ST6/O1/A1.1	Enhanced capacity to engage donors at all levels	Donor coordination meetings at all levels	IPPC Sec	NPPO, RPPO	IPPC Sec, Donors	
ST6/O1/A1.2		Coordinate and maximize the effectiveness of the funds available from various sources.	STDF, IPPC Sec	NPPO, RPPO, REC's, Donors	IPPC Sec, RPPO, Trust Funds, Donors	
ST6/O1/A1.3		Develop guidelines to be used by NPPOs for engaging donors	IPPC Sec	NPPO, RPPO	IPPC Sec, RPPO, Donors	
ST6/O1/A1.4		Develop recommendations to be used by donors for granting funding support	IPPC Sec	NPPO, RPPO	National, IPPC Sec, RPPO, Donors	
ST6/O1/A1.5		Hire a full-time fundraiser in the IPPC Secretariat	IPPC Sec	NPPO, RPPO, FAO and others	Trust Funds, IPPC Sec, Donors	Staff resource shared with other areas of the IPPC
ST6/O1/A1.6		IPPC facilitates meeting with donors (e.g. side meetings at the CPM)	IPPC Sec.	NPPO, RPPO	Trust Fund, IPPC Sec, Donors	
ST6/O2/A2.1	Enhanced capacity to raise funds from national sources.	Undertake national baseline analysis and determine level of funds required.	NPPO	IPPC Sec, RPPO	National, IPPC Sec, RPPO, FAO-TCP, Donors	National activities will be based on need and cost is considered under ST1
ST6/O2/A2.2		Develop a mechanism to ensure sustainability of the operations of an NPPO, including cost sharing /cost-recovery/user-pay models	NPPO	IPPC Sec, RPPO, National stakeholders	National, IPPC Sec, RPPO, National end-user of PS services, Donors	National activities will be based on need and priority and cost is considered under ST1
ST6/O2/A2.3		NPPO management develops and pursues appropriate funding level through the national budgetary processes	NPPO	National stakeholders	IPPC Sec, RPPO, National end-user of PS services, Donors	National activities will be based on need and cost is considered under ST1

*Strategic Area 7: Advocacy*

Activity No.	Output	Sub-activity	Lead Entity	Supported by	Funding Options	Notes/ Comments
ST7/O1/A1.1	Enhanced involvement of the NPPO in formulating relevant national policies	Develop training materials; deliver training; evaluate training impact on policy	Multinational organizations	FAO, IPPC Sec., RPPO/RECS and other organizations	IFAD, FAO, WB, NPPO	
ST7/O1/A1.2		National and regional mentoring	NPPO/RPPO	IPPC Sec	NPPO/RPPO	Costing only staff required by IPPC Sec and RPPO
ST7/O1/A1.3		Conduct study of policy documents for possible impact on the phytosanitary system	RPPO/RECS and other organizations	FAO	RPPO, RECS and other organizations, IFAD, FAO, WB, NPPO	
ST7/O2/A2.2	Enhanced NPPO capacity to promote their own capacity development needs	Develop guidelines for phytosanitary capacity building based on Paris Principles	IPPC Sec	FAO, NPPOs, RPPOs	STDF,FAO,WB	
ST7/O3/A3.1	NPPOs have better capacity to develop and implement communication/advocacy strategies	Develop training materials	IPPC Sec	FAO	FAO,WB,IFAD	
		Deliver training	RPPOs, RECS and other organizations	Expert/NPPO/IPPC Sec		
		Evaluate training impact	NPPO	Expert		
ST7/O3/A3.2		Enhance communication skills of NPPO managers to convince senior officials of the government, including policy makers	NPPO	RPPO/RECS and other organizations /FAO	NPPO,FAO,WB,RPPO,RECS and other organizations	
ST7/O4/A4.1	Enhanced capacity to coordinate national stakeholders	Engage industry and other private sector stakeholders and NGOs	NPPO	RPPO/RECS and other organizations	Private Sector, NPPO, RPPO, RECS and other organizations	
ST7/O4/A4.2		Formalize regular linkages – bridge building with customs, immigration, trade groups and private sector	NPPO	RECS and other organizations	Private Sector, NPPO, RECS and other organizations	
ST7/O4/A4.3		Encourage public private partnership with users of the phytosanitary service	NPPO	RECS and other organizations	Private Sector, NPPO, RECS and other organizations	
ST7/O4/A4.4		Develop and promote case studies of private sector/public sector collaboration to achieve phytosanitary / bio security / market access objectives	STDF, IPPC Sec and others	RECS and other organizations , RPPO, FAO, IPPC Sec	NPPO,FAO,WB,RPPO,RECS and other organizations, STDF	
ST7/O5/A5.1	Enhanced capacity of regional bodies to influence, assist, and promote national policy	Create fora for interchange of experiences and skills on phytosanitary advocacy among regional organizations	RPPO/IPPC Sec	FAO, RECS and other organizations	STDF, NPPO, WB, RECS and other organizations, RPPO	
ST7/O5/A5.2		Utilize other international fora (e.g. APEC) to advocate for national phytosanitary systems	RPPO/RECS and other organizations	IPPC Sec	STDF, NPPO, WB, RECS and other organizations, RPPO	
ST7/O5/A5.3		Conduct baseline study of RPPO relevance	IPPC Sec	NPPO, RECS and other organizations	FAO, NPPO, RECS and other organizations	
ST7/O6/A6.1	Enhanced the capacity of contracting parties to generate, access and retrieve data and information on advocacy	Develop tools for evidence based advocacy (economic analysis, cost/benefit, etc)	STDF, FAO	NPPOs	RPPO, RECS and other organizations, IFAD, FAO, WB, NPPO	Ongoing
ST7/O6/A6.2		Review of current phytosanitary advocacy and communication documentation	NPPO, IPPC Sec, other organizations	RPPOs, RECS and other organizations	IPPC, FAO, WB, STDF, NPPO, RECS and other organizations, RPPO	

*Strategic Area 8: Monitoring and Evaluation*

Activity No.	Output	Sub-activity	Lead Entity	Supported by	Funding Options	Notes/ Comments
ST8/O1/A1.1	Monitoring and evaluation tools developed and used throughout the implementation of the global phytosanitary strategy at all levels.	Identify existence and use of M&E tools by contracting parties and others	IPPC Sec	NPPOs	Donors	
ST8/O1/A1.2		M&E tools developed or adapted,	IPPC Sec	NPPOs and other organizations	Donors	
		Develop and populate a depository tool	IPPC Sec	NPPOs and other organizations	Donors	
ST8/O1/A1.3		Training in use of M&E tools (including use of the depository)	IPPC Sec		Donors	
ST8/O1/A1.4						
ST8/O1/A1.5		IPPC secretariat (and others) promote use of M&E and depository tools	IPPC Sec, NPPOs and other organizations		Donors	
ST8/O1/A1.7		Adjust M&E tool when necessary	IPPC Sec, NPPOs		Donors, Interested NGOs	
ST8/O2/A2.1	Periodic review and assessment being conducted	Partner with leading organizations to conduct reviews and assessment.	IPPC Sec		Donors	
ST8/O3/A3	Continual process of improvement (adaptive management)	Share review results as appropriate and implement corrective measures	IPPC		Donors	Ongoing

**ANNEX 5: Statement of commitment for implementation and capacity development activities<sup>71</sup>****STATEMENT OF COMMITMENT – Implementation and Capacity Development activities***[Updated by the IPPC Secretariat 2018-05]***STATEMENT OF COMMITMENT**

Each nominee is requested to read the information listed and referenced in Appendix 1 for the relevant body, complete and sign this statement of commitment and submit it at the same time as the nomination and CV.

**1. IPPC subsidiary body - Implementation and Capacity Development Committee (IC)**

Expected meeting date and location, if relevant:

**2. Nominee:**

I have read the information listed and referenced in Appendix 1 in regards to my nomination and, if selected, agree to undertake the tasks and responsibilities involved and to commit the time required. I have also discussed with my employer the time commitment and financial resources<sup>72</sup> required (as appropriate) to carry out my duties if my nomination is approved for the body indicated under section 1 above.

I also agree that, if I request financial assistance to attend the relevant IPPC meeting and I am eligible to receive it, I have read and will adhere to the conditions laid out in Commitment of Funded Participants section of the Criteria used for prioritizing participants to receive travel assistance to attend meetings organized by the IPPC Secretariat (web link provided in footnote 1).

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

<sup>72</sup> As recommended by the second session of the Interim Commission on Phytosanitary Measures (1999), whenever possible, those participating in IPPC activities voluntarily fund their travel and subsistence to attend meetings. Participants may request financial assistance, with the understanding that resources are limited and the priority for financial assistance is given to developing country participants. Requests for financial assistance will be assessed by the *Criteria used for prioritizing participants to receive travel assistance to attend meetings organized by the IPPC Secretariat* that is in place at the time this statement of commitment (<https://www.ippc.int/publications/criteria-used-prioritizing-participants-receive-travel-assistance-attend-meetings>). The statistical information in place at the time of signing this statement of comment will be applied for the duration of the term of membership in the relevant IPPC body.

**3. Authorization (time):**

I have read the information listed and referenced in Appendix 1 in regards to the above nominee who is employed in our organization. If this nominee is selected, I agree to ensure that the appropriate time will be allocated to allow the nominee to undertake the tasks and responsibilities involved and commit the time required. I have the authority from my organization to authorize this and understand the time commitment required to carry out these duties.

\_\_\_\_\_  
Name, Title (please print)

\_\_\_\_\_  
Address

\_\_\_\_\_  
Phone

\_\_\_\_\_  
Email

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**4. Authorization (financial resources):**

☐ **4.1** I have read the Criteria used for prioritizing participants to receive travel assistance to attend IPPC meetings<sup>73</sup> and am eligible for full travel assistance DSA and airfare.

OR

☐ **4.2** I have read the information listed and referenced in Appendix 1 in regards to the above nominee who is employed in our organization. If this nominee is selected, I agree to ensure that the appropriate financial resources will be allocated to allow the nominee to undertake the tasks and responsibilities involved. I have the authority from my organization to authorize this and understand the financial resources required (as appropriate, see footnote 1) to carry out these duties.

☐ Contact information same as per point 3 (if this is the case, still add signature and date below).

\_\_\_\_\_  
Name, Title (please print)

\_\_\_\_\_  
Address

\_\_\_\_\_  
Phone

\_\_\_\_\_  
Email

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

--

Contact details for nominee:
------------------------------

Name: (LAST NAME in upper case, given names)
--

E-mail:
---------

Phone:
--------

Fax:
------

Mailing address:
------------------

<sup>73</sup> Criteria used for prioritizing participants to receive travel assistance to attend meetings organized by the IPPC Secretariat that is in place at the time this statement of commitment (<https://www.ippc.int/publications/criteria-used-prioritizing-participants-receive-travel-assistance-attend-meetings>).

**APPENDIX 1****General membership duties relevant to all bodies:**

- allocate time, as appropriate, for travel to the meeting, attendance in the meeting and follow-up activities, as necessary
- consult and liaise with relevant national and international experts, as appropriate
- read all meeting documents prior to the meeting and provide discussion papers and/or comments, if necessary
- maintain a functioning e-mail address and participate in e-mail discussions or conference calls occurring outside of the meeting dates and times, if necessary
- participate as an individual expert in a personal capacity
- participate in relevant meetings for the duration of the term and participate in virtual meetings (not to exceed one per month), some of which may take place outside local daytime hours, in order to accommodate the participation from multiple time zones
- if unable to attend the meeting, provide written notification to the IPPC Secretariat well in advance and before travel arrangements have been made
- use web based tools as appropriate (Adobe Connect, e-mail, Online Comment System, Skype, e-forums, e-decisions, etc.)
- other specific details may be found in the IPPC Procedural Manual (<https://www.ippc.int/core-activities/ippc-standard-setting-procedure-manual>).

**Implementation and Capacity Development Committee (IC) member duties, in addition to the above general duties:**

- attend two IC meetings annually, one at FAO headquarters and one hosted by a contracting party
- participate in relevant regional workshops providing implementation and capacity development expertise
- participate for the entirety of the three-year term, as appropriate
- other duties as assigned.

Further details are provided in the following documents:

- Terms of Reference and Rules of Procedure for the IC

## ANNEX 6: Submission form for topics for Standards and Implementation

<b>SUBMITTED BY COUNTRY or ORGANIZATION:</b>	Click or tap here to enter text.
<b>SUBMISSION NUMBER</b>	XXXX-YYY (to be completed by IPPC Secretariat)

### Submission form for topics for Standards and Implementation

**Please use one form per topic.**

*(Updated by the IPPC Secretariat 2019-08-12)*

#### 1. General information

Title of Proposal	Click or tap here to enter text.
Proposed Material	<input type="checkbox"/> Standard / <input type="checkbox"/> Implementation resource
Submission supported by: (Country or Organization)	Click or tap here to enter text.
Contact Person: (Contact information of an individual able to clarify issues relating to this submission):	Name: Click or tap here to enter text. Position and organization: Click or tap here to enter text. Mailing address: Click or tap here to enter text. Phone: Click or tap here to enter text. E-mail: Click or tap here to enter text. E-mail: Click or tap here to enter text.

#### Important information for filling out and submitting the form:

When considering submitting topics, please read through the Call for Topics webpage, where additional information and an electronic version of the form is available: <https://www.ippc.int/en/core-activities/standards-and-implementation/call-for-topics-standards-and-implementation/>.

Diagnostic protocols are submitted using a different form available at: <https://www.ippc.int/en/publications/87500/>

Submissions must address the [Criteria for Justification \(see 5\)](#) and must include a [Draft Specification \(see 3.1\)](#) for proposed standards or a [Draft Outline \(see 3.2\)](#) for proposed implementation resources. These are required for evaluation and subsequent development of the material. Including a literature review providing technical information is recommended.

The completed submission form **AND** draft specification/draft outline should be submitted as Word document by the IPPC official contact point, via e-mail, to the IPPC Secretariat ([ippc@fao.org](mailto:ippc@fao.org)) no later than **31 August 20xx** (Subject line: "Call for topics XXXX").

#### 2. Summary of proposal

<b>Summary of justification for the proposal</b> (provide an outline of the problem needing resolution in sufficient detail, 250 words max) Click or tap here to enter text.
<b>Expected outcome of standard/implementation resource</b> (value of development of proposed material, 2 lines max) Click or tap here to enter text.
<b>Contribution to filling gaps in the Framework for Standards and Implementation:</b> (2 lines max) Click or tap here to enter text.



**3. Type of proposed material:**For **Standards**, go to [section 3.1](#)For **Implementation resources**, go to [section 3.2](#)**3.1 Standard** (check only one option)**New ISPM or component to an existing ISPM:**

- ☐ ISPM
- ☐ **Supplement to ISPM: Choose an item.**
- ☐ **Annex to ISPM: Choose an item.**
- ☐ **Appendix to ISPM: Choose an item.**
- ☐ Glossary term (subject)

**Revision/Amendment of standard:**

- ☐ ISPM **Choose an item.**
- ☐ Supplement to ISPM **Choose an item.**
- ☐ Annex to ISPM **Choose an item.**
- ☐ Appendix to ISPM **Choose an item.**
- ☐ Glossary term (subject)

**NOTICE:****Draft specification:**

Any proposal for a Standard must include a draft specification.

An annotated template for the draft specification for Standards is available on the IPP in English, French and Spanish: <https://www.ippc.int/en/publications/81324/>**3.2 Implementation resource** (check only one option)**New implementation resource:**

- ☐ Guide (e.g. Manual)
- ☐ Training material (e.g. e-Learning. Please specify: **Click or tap here to enter text.**)
- ☐ Awareness material (e.g. short videos. Please specify: **Click or tap here to enter text.**)
- ☐ Other (Please specify: **Click or tap here to enter text.**)

**Revision of existing implementation resource:**

- ☐ Please specify: **Click or tap here to enter text.**

**Convention articles, ISPMs or CPM recommendations to be addressed by the proposed implementation resource**

- ☐ Convention articles (Please specify: **Click or tap here to enter text.**)
- ☐ ISPM (Please specify: **Click or tap here to enter text.**)
- ☐ CPM Recommendation (Please specify: **Click or tap here to enter text.**)

**NOTICE****Draft outline:**Submissions for topics on implementation **must include** a draft outline of the proposed implementation resource.A form and instructions for the draft outline for implementation resources are available on the IPP (<https://www.ippc.int/en/publications/87499/>)**4. Literature review<sup>74</sup>**

(In this section submitters are recommended to provide a **summary of the topic** based on scientific and technical publications, including a referenced **list of literature reviewed**. This will help provide the scientific basis for the content of the standard/implementation resource to be used by the selected experts during the development of the standard/implementation resource). (**max 500 words**)

**Click or tap here to enter text.**<sup>74</sup> As agreed by CPM-7 (2012) and CPM-11 (2016).

**5. Criteria for justification and prioritization of proposed topics<sup>75</sup>:**

**5.1 Core criteria (information must be provided by submitter. It is expected that all submissions meet the following core criteria)**

	Core Criteria	Information provided by Submitter
1	Contribution to the purpose of the IPPC as described in article I.1.	(max 250 words) <a href="#">Click or tap here to enter text.</a>
2	Linkage to IPPC Strategic Objectives (SOs) and Organizational results demonstrated.	(max 250 words) <a href="#">Click or tap here to enter text.</a>
3	Feasibility of implementation at the global level (consider ease of implementation, technical complexity, capacity of NPPO(s) to implement, relevance for more than one region).	(max 250 words) <a href="#">Click or tap here to enter text.</a>
4	Clear identification of the problems that need to be resolved through the development of the standard or implementation resource.	(max 250 words) <a href="#">Click or tap here to enter text.</a>
5	Availability of, or possibility to collect, information in support of the proposed standard or implementation resource (e.g. scientific, historical, technical information, experience).	(max 250 words) <a href="#">Click or tap here to enter text.</a>

**5.2 Supporting criteria (information may be provided by submitter, as appropriate):**

Supporting criteria:	Information provided by submitter
<b>Supporting criteria (Practical)</b> 1) Is there a regional standard and/or implementation resource on the same topic already available and used by NPPOs, RPPOs or international organizations. 2) Availability of expertise needed to develop the proposed standard and/or implementation resource.	(max 250 words) <a href="#">Click or tap here to enter text.</a>
<b>Supporting criteria (Economic)</b> 1) Estimated value of the plants protected. 2) Estimated value of trade including new trade opportunities affected by the proposed standard and/or implementation resource (e.g. volume of trade, value of trade, the percentage of Gross Domestic Product of this trade) if appropriate.	(max 250 words) <a href="#">Click or tap here to enter text.</a>
<b>Supporting criteria (Environmental)</b> 1) Utility to reduce the potential negative environmental consequences of certain phytosanitary measures, for example reduction in global emissions for the protection of the ozone layer. 2) Utility in the management of non-indigenous species which are pests of plants (such as some invasive alien species). 3) Contribution to the protection of the environment, through the protection of wild flora, and their habitats and ecosystems, and of agricultural biodiversity.	(max 250 words) <a href="#">Click or tap here to enter text.</a>
<b>Supporting criteria (Strategic)</b> 1) Extent of support for the proposed standard and/or implementation resource (e.g. one or more NPPOs or RPPOs have requested it, or one or	(max 250 words) <a href="#">Click or tap here to enter text.</a>

<sup>75</sup> As agreed by CPM-13 (2018)

Supporting criteria:	Information provided by submitter
<p>more RPPOs have adopted a standard on the same topic).</p> <p>2) Frequency with which the issue to be addressed, as identified in the submission emerges as a source of trade disruption (e.g. disputes or need for repeated bilateral discussions, number of times per year trade is disrupted).</p> <p>3) Relevance and utility to developing countries.</p> <p>4) Coverage (application to a wide range of countries/pests/commodities).</p> <p>5) Complements other standards and/or implementation resources (e.g. potential for the standard to be used as part of a systems approach for one pest, complement treatments for other pests).</p> <p>6) Conceptual standard and/or implementation resource to address fundamental concepts (e.g. treatment efficacy, inspection methodology).</p> <p>7) Urgent need for the standard and/or implementation resource.</p>	

## ANNEX 7: List of Implementation and Capacity Development Guides and Training Material

### List: Implementation and Capacity Development Guides and Training Material Updated on 2019/03/11

These guides and training material have been developed under auspices of the IPPC Secretariat and are available at: <https://www.ippc.int/en/core-activities/capacity-development/guides-and-training-materials/>

Name				
Guides		Guide No	Year	Language
1	Market access	3	2013	En-Sp-Fr-Ru-Ar
2	Transit manual	5	2014	En-Sp-Fr-Ru
3	Establishing a National Plant Protection Organization	9	2015	En-Ru
4	Operation of a National Plant Protection Organization	10	2015	En-Ru
5	Managing relationships with stakeholders	11	2015	En
6	Import verification	12	2015	En-Ru
7	Export certification	13	2015	En-Ru
8	Plant pest surveillance	14	2016	En
9	Guide to Delivering Phytosanitary Diagnostic Services	15	2016	En-Ru
10	Good practices for CPM participation	16	2015	En
11	IPPC meeting participation support materials	NA	2018	En
12	Preparing a national phytosanitary capacity development strategy	12	2017	En- Fr - Sp
13	Guide to National Reporting Obligations	NA	2016	En-Es-Fr-Ru-Ar
14	Guide to Resource Mobilization: Promoting contracting party partnerships	10	2017	En
15	IPPC Guidelines on Sea Container Surveys for NPPOs	NA	2019	En-Es-Fr-Ru-Ar-Zh
16	Guide to Pest Risk Communication	NA	2019	En
17	Guide for Establishing and Maintaining Pest Free Areas	NA	2019	En
Training Kits				
		Month	Year	Language
1	e-learning on PRA			
2	e-learning: Trade in forest commodities and the role of phytosanitary measures	March	2013	En-Sp-Fr-Ru-Ar
3	PRA awareness materials	Apr	2014	En-Sp-Fr-Ru-Ar
4	Participation in the CPM	Mar	2014	En -Sp
5	NPPO establishment training kit	Dec	2015	En
6	NPPO operations training kit	Dec	2015	En
7	IPPC introduction presentation	Sept	2015	En
8	Capacity development and training resources presentation	Sept	2015	En
9	e-learning course "Introduction to the International Plant Protection Convention"	Feb	2018	En-Sp-Fr-Ru-Ar-Zh
10	Training materials on PRA	NA	2019	
11	e-learning course on National Reporting Obligations	NA	2019	

<b>Fact Sheets</b>		<b>Fact Sheet No</b>	<b>Year</b>	<b>Language</b>
1	Dielectric heating as a treatment for wood packaging material	4	2014	En-Sp-Fr-Ru-Ar
2	Plant pest surveillance	7	2015	En-Sp-Fr-Ru-Ar-Zh
3	Establishment and operation of national Plant protection Organizations	6	2015	En-Sp-Fr-Ru-Ar-Zh
4	Managing relationships with stakeholder	8	2015	En-Sp-Fr-Ru-Ar-Zh
5	Facing the threat of <i>Xylella Fastidiosa</i>	NA	2018	En
6	The Implementation and Capacity Development Committee (IC)	NA	2018	En
7	Invasive ants as a biosecurity threat	NA	2018	En
8	Implementation Review and Support System	NA	2018	En-Sp-Fr-Ru
9	IPPC guidance on Sea Container Task Cleanliness	NA	2018	En-Sp-Fr-Ru-Ar-Zh
10	Phytosanitary Capacity Evaluation Tool (PCE)	NA	2011	En
11	Phytosanitary Capacity Evaluation Tool (PCE) - extended view	NA	2011	En

## ANNEX 8: List of adopted International Standards for Phytosanitary Measures (ISPM)



Texts of adopted ISPMs are available at: <https://www.ippc.int/core-activities/standards-setting/ispm>

Language versions of this list are available at: <https://www.ippc.int/en/publications/626/>

Updated 2018-09-14

- |         |  |
|---------|--|
| ISPM 1  | <i>Phytosanitary principles for the protection of plants and the application of phytosanitary measures in international trade</i> (adopted in 1993, revised in 2006)   |
| ISPM 2  | <i>Framework for pest risk analysis</i> (adopted in 1995, revised in 2007)   |
| ISPM 3  | <i>Guidelines for the export, shipment, import and release of biological control agents and other beneficial organisms</i> (adopted in 1995, revised in 2005)  |
| ISPM 4  | <i>Requirements for the establishment of pest free areas</i> (adopted in 1995)   |
| ISPM 5  | <i>Glossary of phytosanitary terms</i> (updated as needed) <ul style="list-style-type: none"><li>- Supplement 1: Guidelines on the interpretation and application of the concept of “official control” and “not widely distributed” (2012)</li><li>- Supplement 2: Guidelines on the understanding of “potential economic importance” and related terms including reference to environmental considerations (2003)</li><li>- Appendix 1: Terminology of the Convention on Biological Diversity in relation to the Glossary of phytosanitary terms (2009)</li></ul> |
| ISPM 6  | <i>Surveillance</i> (adopted in 1997, revised in 2018)   |
| ISPM 7  | <i>Phytosanitary certification system</i> (adopted in 1997, revised in 2011)   |
| ISPM 8  | <i>Determination of pest status in an area</i> (adopted in 1998)   |
| ISPM 9  | <i>Guidelines for pest eradication programmes</i> (adopted in 1998)  |
| ISPM 10 | <i>Requirements for the establishment of pest free places of production and pest free production sites</i> (adopted in 1999)   |
| ISPM 11 | <i>Pest risk analysis for quarantine pests</i> (adopted in 2001, revised in 2004 and 2013)   |
| ISPM 12 | <i>Phytosanitary certificates</i> (adopted in 2001, revised in 2011) <ul style="list-style-type: none"><li>- Appendix 1: Electronic phytosanitary certificates, information on standard XML schemas and exchange mechanisms (2014)</li></ul>   |
| ISPM 13 | <i>Guidelines for the notification of non-compliance and emergency action</i> (adopted in 2001)  |
| ISPM 14 | <i>The use of integrated measures in a systems approach for pest risk management</i> (adopted in 2002)   |

ISPM 15	<i>Regulation of wood packaging material in international trade</i> (adopted in 2002, revised in 2009, Annex 1 and 2 revised in 2013 and in 2018)
ISPM 16	<i>Regulated non-quarantine pests: concept and application</i> (adopted in 2002)
ISPM 17	<i>Pest reporting</i> (adopted in 2002)
ISPM 18	<i>Guidelines for the use of irradiation as a phytosanitary measure</i> (adopted in 2003)
ISPM 19	<i>Guidelines on lists of regulated pests</i> (adopted in 2003)
ISPM 20	<i>Guidelines for a phytosanitary import regulatory system</i> (adopted in 2004, revised in 2017) - Annex 1: Arrangements for verification of compliance of consignments by the importing country in the exporting country (2017)
ISPM 21	<i>Pest risk analysis for regulated non-quarantine pests</i> (adopted in 2004)
ISPM 22	<i>Requirements for the establishment of areas of low pest prevalence</i> (adopted in 2005)
ISPM 23	<i>Guidelines for inspection</i> (adopted in 2005)
ISPM 24	<i>Guidelines for the determination and recognition of equivalence of phytosanitary measures</i> (adopted in 2005)
ISPM 25	<i>Consignments in transit</i> (adopted in 2006)
ISPM 26	<i>Establishment of pest free areas for fruit flies (Tephritidae)</i> (adopted in 2006, revised in 2014 and 2015) - Annex 1: Corrective action plans - Annex 2: Control measures for an outbreak within a fruit fly pest free area (2014) - Annex 3: Phytosanitary procedures for fruit fly management (2015) - Appendix 1 Fruit fly trapping (2011) - Appendix 2 Fruit sampling
ISPM 27	<i>Diagnostic protocols for regulated pests</i> (adopted in 2006) - DP 1: Diagnostic protocol for <i>Thrips palmi</i> Karny (2010) - DP 2: Diagnostic protocol for <i>Plum pox virus</i> (2012, revised in 2018) - DP 3: Diagnostic protocol for <i>Trogoderma granarium</i> Everts (2012) - DP 4: Diagnostic protocol for <i>Tilletia indica</i> Mitra (2014) - DP 5: Diagnostic protocol for <i>Phyllosticta citricarpa</i> (McAlpine) Aa on fruit (2014) - DP 6: Diagnostic protocol for <i>Xanthomonas citri</i> subsp. <i>citri</i> (2014) - DP 7: Diagnostic protocol for <i>Potato spindle tuber viroid</i> (2015) - DP 8: Diagnostic protocol for <i>Ditylenchus dipsaci</i> and <i>Ditylenchus destructor</i> (2015) - DP 9: Diagnostic protocol for Genus <i>Anastrepha</i> (2015) - DP 10: Diagnostic protocol for <i>Bursaphelenchus xylophilus</i> (2016) - DP 11: Diagnostic protocol for <i>Xiphinema americanum sensu lato</i> (2016) - DP 12: Diagnostic protocol for Phytoplasmas (2016) - DP 13: Diagnostic protocol for <i>Erwinia amylovora</i> (2016) - DP 14: Diagnostic protocol for <i>Xanthomonas fragariae</i> (2016) - DP 15: Diagnostic protocol for <i>Citrus tristeza virus</i> (2016) - DP 16: Diagnostic protocol for Genus <i>Liriomyza</i> (2016)

- DP 17: Diagnostic protocol for *Aphelenchoides besseyi*, *A. fragariae* and *A. ritzemabosi* (2016)
  - DP 18: Diagnostic protocol for *Anguina* spp. (2017)
  - DP 19: Diagnostic protocol for *Sorghum halepense* (2017)
  - DP 20: Diagnostic protocol for *Dendroctonus ponderosae* (2017)
  - DP 21: Diagnostic protocol for ‘*Candidatus Liberibacter solanacearum*’ (2017)
  - DP 22: Diagnostic protocol for *Fusarium circinatum* (2017)
  - DP 23: Diagnostic protocol for *Phytophthora ramorum* (2017)
  - DP 24: Diagnostic protocol for *Tomato spotted wilt virus*, *Impatiens necrotic spot virus* and *Watermelon silver mottle virus* (2017)
  - DP 25: Diagnostic protocol for *Xylella fastidiosa* (2018)
  - DP 26: Diagnostic protocol for *Austropuccinia psidii* (2018)
  - DP 27: Diagnostic protocol for *Ips* spp. (2018)
  - DP 28: Diagnostic protocol for *Conotrachelus nenuphar* (2018)
  - DP 29: Diagnostic protocol for *Bactrocera dorsalis* (2019)
- ISPM 28 *Phytosanitary treatments for regulated pests* (adopted in 2007)
- PT 1: Irradiation treatment for *Anastrepha ludens* (2009)
  - PT 2: Irradiation treatment for *Anastrepha obliqua* (2009)
  - PT 3: Irradiation treatment for *Anastrepha serpentina* (2009)
  - PT 4: Irradiation treatment for *Bactrocera jarvisi* (2009)
  - PT 5: Irradiation treatment for *Bactrocera tryoni* (2009)
  - PT 6: Irradiation treatment for *Cydia pomonella* (2009)
  - PT 7: Irradiation treatment for fruit flies of the family Tephritidae (generic) (2009)
  - PT 8: Irradiation treatment for *Rhagoletis pomonella* (2009)
  - PT 9: Irradiation treatment for *Conotrachelus nenuphar* (2010)
  - PT 10: Irradiation treatment for *Grapholita molesta* (2010)
  - PT 11: Irradiation treatment for *Grapholita molesta* under hypoxia (2010)
  - PT 12: Irradiation treatment for *Cylas formicarius elegantulus* (2011)
  - PT 13: Irradiation treatment for *Euscepes postfasciatus* (2011)
  - PT 14: Irradiation treatment for *Ceratitis capitata* (2011)
  - PT 15: Vapour heat treatment for *Bactrocera cucurbitae* on *Cucumis melo* var. *reticulatus* (2014)
  - PT 16: Cold treatment for *Bactrocera tryoni* on *Citrus sinensis* (2015)
  - PT 17: Cold treatment for *Bactrocera tryoni* on *Citrus reticulata* x *C. sinensis* (2015)
  - PT 18: Cold treatment for *Bactrocera tryoni* on *Citrus limon* (2015)
  - PT 19: Irradiation treatment for *Dysmicoccus neobrevipes*, *Planococcus lilacinus* and *Planococcus minor* (2015)
  - PT 20: Irradiation treatment for *Ostrinia nubilalis* (2016)
  - PT 21: Vapour heat treatment for *Bactrocera melanotus* and *Bactrocera xanthodes* on *Carica papaya* (2016)
  - PT 22: Sulphuryl fluoride fumigation treatment for insects in debarked wood (2017)
  - PT 23: Sulphuryl fluoride fumigation treatment for nematodes and insects in debarked wood (2017)
  - PT 24: Cold treatment for *Ceratitis capitata* on *Citrus sinensis* (2017)



- PT 25: Cold treatment for *Ceratitis capitata* on *Citrus reticulata* × *C. sinensis* (2017)
  - PT 26: Cold treatment for *Ceratitis capitata* on *Citrus limon* (2017)
  - PT 27: Cold treatment for *Ceratitis capitata* on *Citrus paradisi* (2017)
  - PT 28: Cold treatment for *Ceratitis capitata* on *Citrus reticulata* (2017)
  - PT 29: Cold treatment for *Ceratitis capitata* on *Citrus clementina* (2017)
  - PT 30: Vapour heat treatment for *Ceratitis capitata* on *Mangifera indica* (2017)
  - PT 31: Vapour heat treatment for *Bactrocera tryoni* on *Mangifera indica* (2017)
  - PT 32: Vapour heat treatment for *Bactrocera dorsalis* on *Carica papaya* (2018)
- ISPM 29      *Recognition of pest free areas and areas of low pest prevalence* (adopted in 2007)
- ISPM 30      **Revoked.** *Establishment of areas of low pest prevalence for fruit flies (Tephritidae)*  
(adopted in 2008. Incorporated as an annex to ISPM 35 in 2018)
- ISPM 31      *Methodologies for sampling of consignments* (adopted in 2008)
- ISPM 32      *Categorization of commodities according to their pest risk* (adopted in 2009)
- ISPM 33      *Pest free potato (Solanum spp.) micropropagative material and minitubers for international trade* (adopted in 2010)
- ISPM 34      *Design and operation of post-entry quarantine stations for plants* (adopted in 2010)
- ISPM 35      *Systems approach for pest risk management of fruit flies (Tephritidae)* (adopted in 2012)
- Annex 1: Establishment of areas of low pest prevalence for fruit flies
  - Appendix 1 of Annex 1: Typical applications of an FF-ALPP
  - Annex 2: Parameters used to estimate the level of fruit fly prevalence
- ISPM 36      *Integrated measures for plants for planting* (adopted in 2012)
- ISPM 37      *Determination of host status of fruit to fruit fly (Tephritidae)* (adopted in 2016)
- ISPM 38      *International movement of seeds* (adopted in 2017)
- ISPM 39      *International movement of wood* (adopted in 2017)
- ISPM 40      *International movement of growing media in association with plants for planting*  
(adopted in 2017)
- ISPM 41      *International movement of used vehicles, machinery and equipment* (adopted in 2017)
- ISPM 42      *Requirements for the use of temperature treatments as phytosanitary measures*  
(adopted in 2018)
- ISPM 43      *Requirements for the use of fumigation as a phytosanitary measure* (adopted in 2019)