



منظمة الأغذية  
والزراعة  
للأمم المتحدة

联合国  
粮食及  
农业组织

Food  
and  
Agriculture  
Organization  
of  
the  
United  
Nations

Organisation  
des  
Nations  
Unies  
pour  
l'alimentation  
et  
l'agriculture

Продовольственная и  
сельскохозяйственная  
организация  
Объединенных  
Наций

Organización  
de las  
Naciones  
Unidas  
para la  
Agricultura  
y la  
Alimentación

## COMMISSION ON PHYTOSANITARY MEASURES

### Fourth Session

Rome, 30 March – 3 April 2009

Update to the Business Plan 2007 – 2011

Agenda Item 13.5 of the Provisional Agenda

## I. Background

1. In 2007, during its Second Session, the Commission on Phytosanitary Measures (CPM), adopted the CPM Business Plan for 2007-2011. During the discussion in 2007, some members of the CPM wondered if the timing was right for the introduction and adoption of a new Business Plan, given that an independent external evaluation of the IPPC and its institutional arrangements was about to be completed. The members assumed, correctly, that the results and recommendations from the evaluation of the IPPC would have an impact on the Business Plan. The CPM agreed that the Business Plan be reconsidered on an annual basis by the Informal Working Group on Strategic Planning and Technical Assistance in order to recommend whether or not any changes were required. A major review should occur every five years.
2. In 2008, during its Third Session, the CPM agreed to some minor modifications to the Business Plan. Of special note was the adjustment of the projected staff requirements, showing the intention to have a full time Secretary as well as a Coordinator.
3. Also in 2008, the CPM discussed the recommendations from the independent external evaluation of the IPPC (see Appendix 2 of CPM-3 report). The CPM agreed that the Bureau prepare appropriate modifications to the Business Plan, and the relevant action plans, for consideration and approval by the SPTA and CPM-4.

## II. Modifications suggested by the Bureau

4. Actions related to many of the recommendations in the evaluation of the IPPC were already covered in the Business Plan and only some actions resulted in a need to change the

Business Plan. The modifications to the Business Plan are presented in Annex 1 (modifications are underlined and highlighted in yellow). The rationales for the changes are presented below.

*Part I, Section 1.2*

5. Two paragraphs have been added under the heading Food and Agriculture Organization of the United Nations (FAO), to provide information on the Regional Plant Protection Officers and their activities in relation to the IPPC. This text was added as a result of the CPM response to recommendations 6.5 and 6.6 from the independent external evaluation of the IPPC.

*Part II, Goal 1, Area 1.1*

6. The measure of success for the first planned activity has been amended as a result of the CPM response to recommendations 1.1 and 1.4 of the independent evaluation of the IPPC. A new planned activity and a new measure of success have been added to the same area as a result of the CPM response to recommendations 1.6-1.8 from the independent external evaluation of the IPPC.

*Part II, Goal 2, Area 2.1*

7. A new planned activity and a new measure of success have been added as a result of the CPM response to recommendations 2.5 and 2.6 from the independent external evaluation of the IPPC.

*Part II, Goal 4, Area 4.4 (new)*

8. A new area, planned activity and measure of success have been added as a result of the CPM response to recommendations 3.1, 3.3, and 3.5 from the independent external evaluation of the IPPC.

*Part II, Goal 5, Area 5.1*

9. A new measure of success has been added as a result of the CPM response to recommendation 6.1 from the independent external evaluation of the IPPC.

*Part II, Goal 5, Area 5.2*

10. A new planned activity and measure of success have been added as a result of the CPM response to recommendations 1.13, 7.1 and 7.4-7.6 from the independent external evaluation of the IPPC.

*Part II, Goal 6, Area 6.1*

11. Measures of success have been amended as a result of the CPM response to recommendations and 1.6-1.8 from the independent external evaluation of the IPPC.

*Part II, Goal 7, Area 7.2*

12. The word “compliance” in area 7.2 and the first planned activity has been changed to “implementation” as a result of discussions at CPM-3. In addition, a new planned activity and measure of success have been added as a result of the CPM response to recommendations 1.10, 1.11 and 5.3 from the independent external evaluation of the IPPC.

*Part III, Projected staff requirements*

13. As a result of the CPM response to recommendation 6.9 from the independent external evaluation of the IPPC, the staff diagram was modified to replace the PCE implementation resource under Improved Phytosanitary Capacity with a Standards Implementation Officer.

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### III. Notes by the Secretariat

14. The Secretariat is fully aware that the Business Plan of the CPM constitutes the strategic framework for CPM activities and as such must be understood as a plan for the desired development of the work carried out by the CPM. It is understood that the Business Plan constitutes the vision of the CPM of what should ideally be undertaken by the organization. If possible, the provisions of the Business Plan are translated into an operational plan which is based on sufficient resources to carry out the activities.

15. The IPPC Secretariat would like to stress that without substantial additional resources, especially staff resources as indicated in part III of the Business Plan, it will be impossible to implement fully most of the activities provided in the Business Plan.

### IV. Decision by CPM-4

16. The CPM is invited to:

1. *consider* the Business Plan as provided in the Annex.
2. *take notice* of the notes of the Secretariat.
3. *adopt* the modifications to the Business Plan.

**International Plant Protection Convention**

**Commission on Phytosanitary Measures**

**Business Plan**

**2007-2011**

# **Commission on Phytosanitary Measures**

## **Business Plan 2007-2011**

### **CPM Vision**

*The world's plant resources protected from pests*

### **CPM Mission**

*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*

## Message from the Chair of the Commission on Phytosanitary Measures

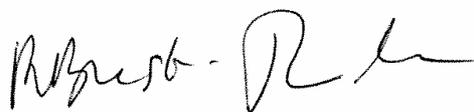
*2007–2011 Business Plan, 2009 update*

The Business Plan is the tool used by the contracting parties to the International Plant Protection Convention (IPPC) to provide background information on the IPPC itself. Part I of the plan describes the purpose of the Convention, how it relates to other international agreements, how it is governed, and its major areas of activity. In that regard, the Business Plan can be used to inform and educate interested parties outside of the plant protection realm.

Part II of the Business Plan provides seven five-year goals, with planned activities and measures of success, all of which are aimed at the full implementation of the IPPC. In that regard, the plan is used by the Commission on Phytosanitary Measures (CPM)—the governing body of the IPPC—and by the IPPC Secretariat to guide activities from one year to the next.

Finally, Part III of the Business Plan provides an estimate of the financial and human resources required to realize the Plan's stated goals. In this regard the Plan is to be used to promote an understanding of both the need for, and the scope of, sustainable resourcing.

As Chairperson of the CPM, it is my pleasure to introduce a revised 2007–2011 Business Plan. Insofar as they were not already reflected in the existing Business Plan, the revisions incorporate the agreed recommendations from the independent external evaluation of the IPPC. This revised plan sets out the priorities and goals for the remainder of the 2007–2011 term.



Reinouw Bast-Tjeerde  
Chairperson





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## **Executive Summary**

The International Plant Protection Convention (IPPC) is a legally binding international agreement aimed at the protection of the world's plant resources from the introduction and spread of pests. The purpose of the Convention is to secure common and effective action to prevent the spread and introduction of plant pests (including insects, pathogens and plants as pests) into endangered areas and to promote appropriate measures for their control. While the main targets of the IPPC are plants and plant products moving in international trade, the IPPC also covers anything else that can act as a vector for the spread of pests of plants, such as containers, soil, used vehicles and machinery, and packaging material.

The fundamental role of the IPPC in relation to the international trade of plants and plant products has been recognized by the World Trade Organization (through the Agreement on the Application of Sanitary and Phytosanitary Measures), which identifies the IPPC as being the responsible international organization for the development and adoption of international standards for phytosanitary measures. In order to protect the world's ecosystems and to avoid the loss of plants through invasive alien species, the IPPC works in close cooperation with the Convention on Biological Diversity.

International standards for phytosanitary measures are the means by which contracting parties can harmonize their phytosanitary requirements. The development and subsequent implementation of standards not only reduces the numbers of pests moved by the international movement of commodities but what is also important, greatly facilitates trade. For the majority of developing countries where the main exports are plants and plant products, market access is critical for sustainable development and poverty alleviation. International standards also provide a technical basis for countries to protect both cultivated plants and wild flora from introduced pests. This is of significant importance as introduced pests can harm agriculture, threaten food security and damage wild flora and ecosystems. Through standard setting and other activities, the IPPC actively contributes to the realization of the Millennium Development Goals of eradicating extreme poverty and hunger (G1), ensuring environmental sustainability (G7) and the establishment of a global partnership for development (G8).

The business plan describes seven strategic 5-year goals, based on the core activity areas of the Commission on Phytosanitary Measures, which are aimed at implementing the international provisions of the IPPC. The goals are all supported by identified, planned activities, each with associated measures of success in order that progress with achievement can be monitored. The seven goals cover the areas of international standard setting and implementation, information exchange, dispute settlement, phytosanitary capacity, sustainable implementation of the IPPC, international cooperation and reviewing the status of plant protection in the world.

The successful implementation of the business plan will require sufficient resources both within the IPPC Secretariat and externally. In particular, the resources for the IPPC Secretariat must be sufficient to meet the demands of the IPPC work programme in the areas of standard setting, technical assistance and information exchange. The Secretariat has considered the expectations of the plan and based on current experience estimated the additional resources required to undertake the necessary activities identified under each of the goals. Additional funding will also be required to support the implementation of standards by countries, to build national capacity and to accelerate the development of specific standards identified as priorities by contracting parties.

**PART I**

**INTERNATIONAL PLANT  
PROTECTION CONVENTION**

## **The International Plant Protection Convention**

### **Goals of the Commission on Phytosanitary Measures**

- **A robust international standard setting and implementation programme**
- **Information exchange systems appropriate to meet IPPC obligations**
- **Effective dispute settlement systems**
- **Improved phytosanitary capacity of members**
- **Sustainable implementation of the IPPC**
- **International promotion of the IPPC and cooperation with relevant regional and international organizations**
- **Review of the status of plant protection in the world**

# 1 International Plant Protection Convention

## 1.1 Overview

### Why the IPPC?

- Need for an international agreement to prevent the transboundary movement of pests of plants into endangered areas
- A means for ensuring harmonization of phytosanitary measures
- Requirement for international cooperation in the exchange of information on plant pests
- Example of success  
ISPM No. 15 – Prevents forest pests from being spread around the world via wood packaging material

Want to know more?  
<https://www.ippc.int>

### The Convention

The International Plant Protection Convention (IPPC) is a legally binding international agreement concluded under Article XIV of the FAO constitution. It was adopted by the FAO Conference in 1951 and came into force in 1952. It was amended by the FAO Conference in 1979 and 1997. The IPPC 1997 amendments came into force in October 2005.

There are over 160 contracting parties to the Convention.

### Purpose of the IPPC

The purpose of the Convention is to secure common and effective action to prevent the spread and introduction of pests (including insects, pathogens and plants as pests) of plants and plant products and to promote appropriate measures for their control.

### Environment matters

**The IPPC applies to all plants: to cultivated crops, forests and wild flora.**

The IPPC covers direct and indirect damage to plants.

The main targets of the IPPC are plants and plant products moving in international trade. However, it also covers other forms of movements of plants and plant products (such as through tourism and research material), and anything else that can act as a vector for pests of plants (e.g. containers, soil, used vehicles and machinery, and packaging material).

The Convention defines the rights and obligations of parties, which include the right to take phytosanitary measures, but also limits those rights to what is necessary and justified, taking into account potential damage to plant health and economic consequences.

### Implementation of the Convention

- Primarily a national obligation of contracting parties
- Common action among contracting parties on:
  - international standard setting
  - information exchange
  - dispute settlement
  - technical assistance.

### Relation of the IPPC with other international agreements

#### World Trade Organization (WTO)

The IPPC is identified in the WTO Agreement on the Application of Sanitary and Phytosanitary Measures (SPS Agreement) (1995<sup>1</sup>) as the body responsible for the establishment of international standards for phytosanitary measures. According to the SPS Agreement, national measures that conform to IPPC standards do not require additional technical justification.

#### Convention on Biological Diversity (CBD)

There is an increasing awareness of the need to control the spread of organisms that threaten biological diversity and the environment, and the IPPC covers the protection of native flora as well as commercial crops. Whereas invasive alien species and living modified organisms are addressed within the framework of the Convention on Biological Diversity (including the Cartagena Protocol), those that are pests of plants are also covered by the IPPC. The CBD and IPPC cooperate in relevant areas on the implementation of both conventions.

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<sup>1</sup> The other two standards setting bodies, for food safety and animal health respectively, are the FAO-WHO Codex Alimentarius Commission and the World Organisation for Animal Health (OIE).

### Institutional arrangements under the IPPC

#### Commission on Phytosanitary Measures

The Commission on Phytosanitary Measures (CPM) is the governing body of the IPPC. It meets annually and is directed between sessions by a Bureau.

#### Membership of the CPM

Contracting parties to the IPPC

#### Functions of the Commission on Phytosanitary Measures

To promote the full implementation of the objectives of the IPPC

In particular, to:

- review:
  - the state of plant protection in the world
  - the need for action to control the international spread of pests into endangered areas
- develop and adopt international standards
- establish rules and procedures for the resolution of disputes
- adopt guidelines regarding the recognition of regional plant protection organizations
- cooperate with other relevant international organizations on matters covered by the Convention.

## Subsidiary bodies to the CPM

The CPM has two subsidiary bodies: the Standards Committee (SC) and the Subsidiary Body on Dispute Settlement (SBDS).

## The IPPC Secretariat

The Secretary of the Commission is appointed by the Director-General of FAO and is assisted by such staff as may be required.

The Secretariat provides support to the Commission and its bodies in order that the requirements of the work programme can be met.

## Regional Plant Protection Organizations

The Regional Plant Protection Organizations (RPPOs) function as coordinating bodies on phytosanitary issues within their regions. They are independent organizations with separate funding and have their own work programmes and participate in various activities to achieve the objectives of the IPPC. Such activities include regional and inter-regional cooperation, information sharing and the development of regional standards.

Contracting parties to the IPPC undertake to cooperate with one another in establishing RPPOs.

### Responsibilities of the Secretary

- Implement the policies and activities of the Commission
- Disseminate to all contracting parties:
  - international standards
  - lists of points of entry
  - lists of regulated pests whose entry is prohibited
  - information received from contracting parties on phytosanitary requirements, restrictions and prohibitions
  - descriptions of official national plant protection organizations.
- Provide translation in the official languages of FAO of the documents for the meeting of the Commission and for international standards.
- Cooperate with regional plant protection organizations in achieving the aims of the Convention.

### RPPOs recognized under the IPPC

- **APPPC** – Asia and Pacific Plant Protection Commission (1956)
- **CA** – Comunidad Andina (1969)
- **COSAVE** – Comité de Sanidad Vegetal del Cono Sur (1980)
- **CPPC** – Caribbean Plant Protection Commission (1967)
- **EPPO** – European and Mediterranean Plant Protection Organization (1951)
- **IAPSC** – Inter-African Phytosanitary Council (1954)
- **NAPPO** – North American Plant Protection Organisation (1976)
- **OIRSA** – Organismo Internacional Regional de Sanidad Agropecuaria (1953)
- **PPPO** – Pacific Plant Protection Organization (1995)
- **[NEPPO** – Near East Plant Protection Organization - under negotiation]

## Standard setting under the IPPC

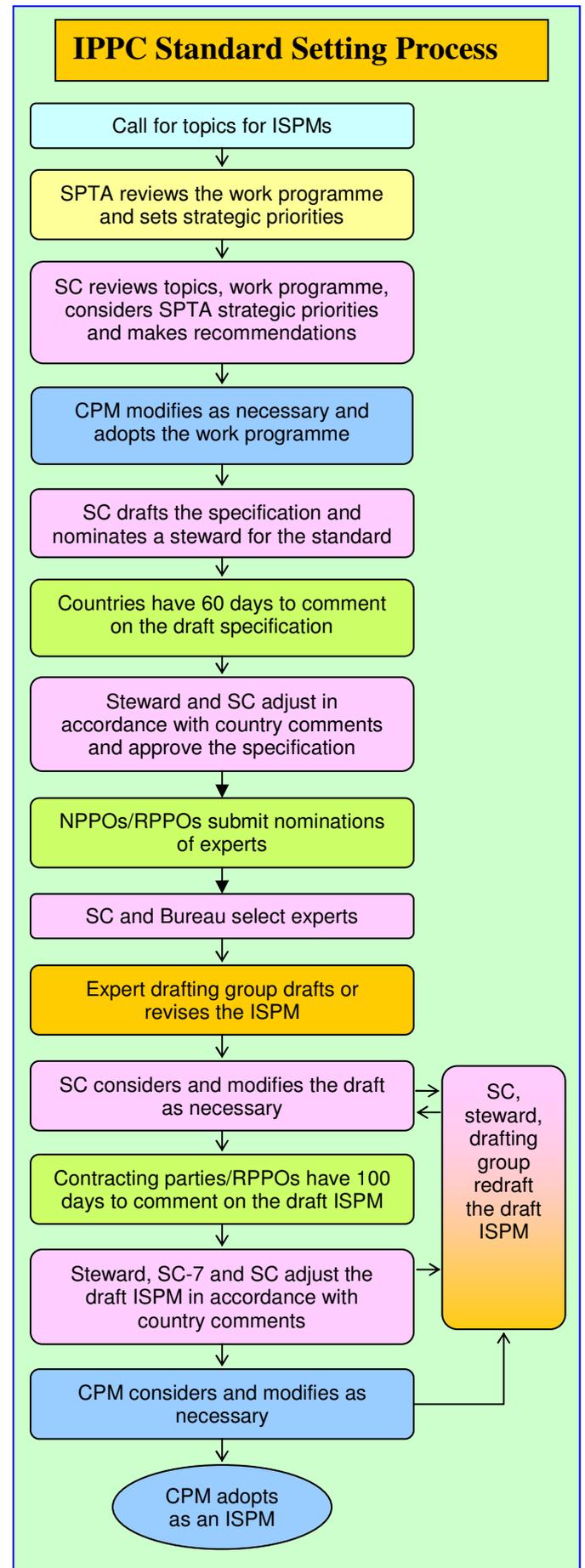
The contracting parties agree to cooperate in the development of international standards in accordance with the procedures adopted by the Commission.

The first International Standard for Phytosanitary Measures (ISPM) was adopted in 1993. As at 2006, a total of 27 ISPMs have been approved. Topics and priorities for new ISPMs, or revisions to existing ISPMs, are submitted to the IPPC Secretariat on a biennial basis and are reviewed by the CPM Informal Working Group on Strategic Planning and Technical Assistance (SPTA) and the Standards Committee (SC). The CPM considers their recommendations and adopts a prioritized standard setting work programme. Expert drafting groups then develop drafts for proposed ISPMs.

Expert working groups are convened to develop individual ISPMs. In April 2004, the ICPM approved the establishment of technical panels on specific topics to develop pest-specific or commodity-specific standards.

### Example: ISPM No. 11

- International standard on pest risk analysis
- Applied by all contracting parties to the IPPC
- Enables the development of technically justified measures for imported plants and plant products
- Takes into account effects on the environment
- Gives guidance on evaluating risks posed by living modified organisms
- Involved collaboration with the Secretariat of the Convention on Biological Diversity



## **The IPPC and information exchange**

Contracting parties have specific information exchange obligations under the IPPC. The CPM has provided guidance on these obligations and their fulfilment.

Central to information exchange is that each contracting party shall designate an official IPPC contact point through which all official phytosanitary communication is channelled. This facilitates communication, information sharing, reliability and transparency of information between contracting parties, and between the IPPC Secretariat and contracting parties.

The IPPC Secretariat facilitates this information exchange.

The internet-based International Phytosanitary Portal is the essential tool for fulfilling information exchange obligations under the IPPC. It is designed to hold phytosanitary information published by countries and the IPPC Secretariat in accordance with the Convention and with CPM decisions. National editors have been trained to allow contracting parties to use the system to meet their national information exchange obligations under the IPPC.

### **International Phytosanitary Portal** <https://www.ippc.int>

- The IPPC information exchange system developed for contracting parties and the IPPC Secretariat
- Facilitates the mandatory exchange of information among the contracting parties including:
  - official contact points
  - phytosanitary requirements
  - pest reports
  - description of the NPPO
  - points of entry
  - lists of regulated pests
  - emergency actions
- Used by the IPPC Secretariat to distribute all relevant information, in particular:
  - official contact points
  - international standards
  - meeting documentation and reports
  - draft specifications and standards
  - details on activities on the work programme

## **The IPPC and dispute settlement**

The IPPC provides a mechanism for conciliation on technical issues and has provision for a non-binding dispute settlement system should a contracting party wish to question or challenge the phytosanitary requirements of another.

The CPM dispute settlement system requires that contracting parties first consult bilaterally with the aim of resolving the problem. The IPPC Secretariat can facilitate consultation (e.g. provide any required technical information) and help the disputing parties identify suitable alternatives for resolution. In all cases, the system emphasizes open technical dialogue as the basis for dispute avoidance and settlement. Provision is made for the establishment of an expert committee should a more formal process of dispute settlement be desirable to contracting parties.

A manual describing the CPM dispute settlement system especially for trade issues, and the various options available to contracting parties, is available from the IPPC Secretariat.

### **Dispute Settlement**

- The IPPC provides for a non-binding dispute settlement system
- The CPM has developed detailed procedures for dispute settlement
- Dispute settlement options available to contracting parties include:
  - informal consultations
  - discussion with the Secretariat
  - formal consultations
  - good offices
  - mediation
  - arbitration
  - establishment of an expert committee
- The CPM dispute settlement system is designed to provide an alternative to, or complement that of the World Trade Organization

## Technical assistance and support to developing countries

Capacity building programmes have focused on requirements for the implementation of the IPPC and ISPMs.

The IPPC Secretariat has been involved in building phytosanitary capacity in developing countries and has managed the delivery of technical assistance for approximately US\$ 20 million over five years through the FAO-Technical Cooperation Programme and US\$ 2 million through trust funds. In addition, professional expertise has been offered from the Secretariat and various NPPO volunteers.

The development and application of the Phytosanitary Capacity Evaluation (PCE) tool has contributed significantly in raising national awareness of the needs of NPPOs in the areas of phytosanitary systems, national strategic plans, formulating unilateral trust funds and other donor funded projects, and the delivery of technical assistance to developing countries.

### Phytosanitary Capacity Evaluation

- Standard methodology to assess members' needs
- Computer based tool
- Currently being reprogrammed to enable phytosanitary capacity for a country to be tracked over time
- Other standard setting bodies are modifying the tool for their own use

### Critical areas being addressed

- Modernization of legal frameworks
- Institutional strengthening
- Training in relation to the implementation of ISPMs
- Pest surveillance
- Pest risk analysis skills
- Information systems for decision making
- Documented procedures
- Laboratory facilities
- Strengthening of national capabilities and systems for the eradication/containment of newly introduced pest species
- Establishment of pest free areas

Developing countries have stressed the need to participate in the IPPC decision-making process through attendance at the annual session of the CPM. Limited funds for travel assistance have been provided by donors to help enable this. The FAO regular programme and IPPC trust funds assist participation in CPM meetings on standard setting, information exchange and dispute settlement.

Developing countries are becoming increasingly involved in the standard setting process and are increasing their capacity to implement ISPMs and meet their obligations under the IPPC. Limited travel assistance is provided in the different areas of activity by the FAO regular programme and the various trust funds.

## 1.2 Operating Environment of the CPM

The external factors which impact on the CPM's and IPPC Secretariat's ability to implement the IPPC are largely determined by the fact that the IPPC is an international treaty on plant health. The factors include the infrastructure to support activities, funding requirements, technical capacity of members, pressures of increasing trade, the need to protect the environment and links with other international agreements.

### Food and Agriculture Organization of the United Nations (FAO)

FAO's mandate is to raise levels of nutrition, improve agricultural productivity, better the lives of rural populations and contribute to the growth of the world economy.

#### CPM activities support the Millennium Development Goals

Goals supported include:

- G1: Eradicate extreme poverty and hunger
- G7: Ensure environmental sustainability
- G8: Build a global partnership for development

FAO provides the IPPC Secretariat as part of its Plant Production and Protection Division of the Agriculture and Consumer Protection Department. It also provides a source of legal advice for the CPM and a meeting place for the Commission and its bodies.

FAO also provides Plant Protection Officers who are technical field staff responsible for the regional or sub-regional implementation of

FAO's Plant Protection work programme, including that of the IPPC.

Their IPPC-related activities include the organisation of/involvement with regional, sub-regional and national workshops, RPPO meetings/activities and various projects including the FAO Technical Cooperation Programme.

### Funding IPPC activities

Activities that require funding include among others: standard setting, information exchange, dispute settlement, technical assistance (including assistance to developing countries to enable participation in CPM meetings and activities), administration, and cooperation and liaison with other organizations.

Resources for the IPPC are provided by FAO's Regular Programme, which is funded through a mandatory assessed contribution from all FAO members. However, the funds allocated to the IPPC cannot be used to finance participation in the annual meeting of the CPM. Also, the FAO contribution is not sufficient to cover the work programme established by the CPM so additional funding is sought through trust funds and in-kind contributions. To date this means of funding has not enabled sufficient resources to meet the requirements of the planned work programme.

### Range of technical capacity of contracting parties

Being a contracting party to the IPPC does not give immediate and guaranteed access to world markets. The IPPC clearly states the rights and responsibilities of contracting parties. Both importing and exporting contracting parties are required to carry out certain functions to meet their obligations and benefit from their rights.

Many contracting parties do not have sufficient capacity to implement an effective quarantine system nor do they have the ability to ensure that their shipments meet the import requirements of potential trading partners.

### **Pressures from increasing trade and other means of spreading pests of plants**

Growth in the international movement of goods and people is placing increasing pressure on phytosanitary systems. This in turn, is creating a large demand for international standards (means of harmonising measures) to prevent the introduction and spread of pests through international trade and other movements (e.g. tourism, exchange of plant material for research, international movement of machinery), while ensuring minimum impediment on such movements.

### **Protection of the environment**

Countries recognize the need to protect the environment. Risk analysis standards developed by the IPPC have been revised over recent years to ensure that non-commercial, non-cultivated plants are also protected.

### **International agreements affecting/affected by the IPPC**

As indicated in Section 1.1, the IPPC has particular importance to the **World Trade Organization**, particularly the SPS Agreement. The SPS Agreement explicitly recognizes the right of governments to take measures to protect human, animal and plant health, as long as these are based on science, are necessary for the protection of health, and do not unjustifiably discriminate among foreign sources of supply. It encourages governments to "harmonize" or base their national measures on existing international standards, guidelines and recommendations. For plant health, the recognized international standard setting body is the IPPC.

As also indicated in section 1.1, there is a worldwide concern for the protection of the environment and many of the IPPC principles are applicable to the measures for conservation and sustainable use described in the **Convention on Biological Diversity**. Over recent years, there has been continuing cooperation in areas of mutual interest between the two Conventions.

### 1.3 Vision and Mission

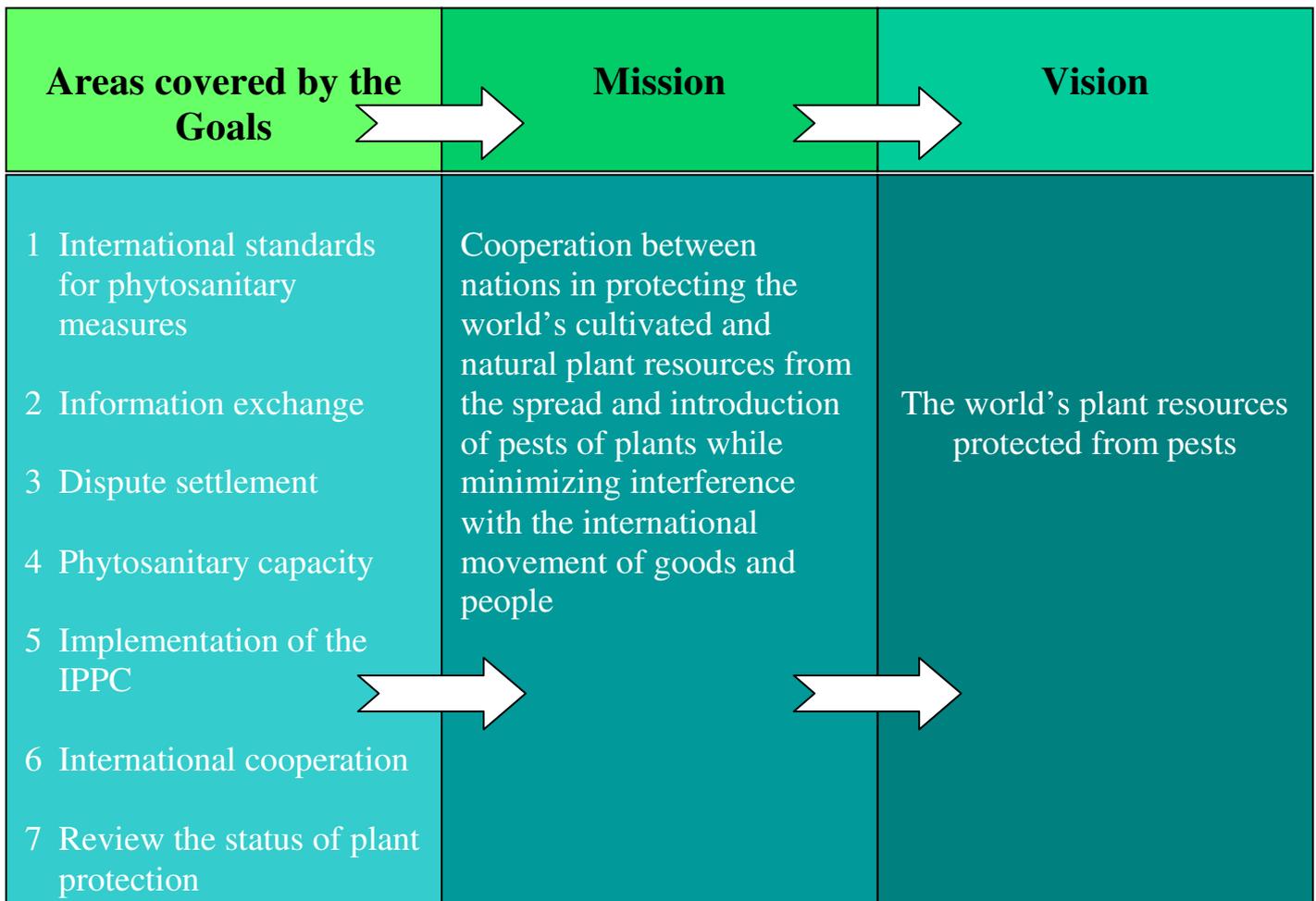
The CPM vision and mission statements set out in this document are based on the preamble to the IPPC. Contracting parties recognize the necessity for international cooperation in controlling pests of plants and plant products and in preventing their international spread, especially into endangered areas. They also recognize that any required phytosanitary measures should be technically justified, transparent and not constitute a technical barrier to trade

#### CPM Vision statement

**The world's plant resources protected from pests**

#### CPM Mission statement

**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**



**PART II**

**STRATEGIC DIRECTION**

## 2 Strategic direction

### 2.1 Considerations

Consideration has been given to the development of medium term goals aiming at providing a global forum for promoting the full implementation of the IPPC. Emphasis is given to building a strong and sustainable support structure to the CPM that is appropriately resourced to meet the expectations of the contracting parties. Strategic areas have been identified on which to base the goals. These include:

- Appropriate infrastructure
  - Secretariat, Bureau
  - sustainable financial base
- Harmonization of phytosanitary measures
- Strong scientific basis
- Accommodate new and emerging issues
  - compliance
  - recognition of pest free areas
  - marine and other aquatic plants
  - electronic certification
  - invasive alien species
- Effective information exchange systems
- Capacity building
- Review of status of plant protection in the world

Longer term (2017) goals would reinforce the achievements and give consideration to future developments.

### 2.2 Medium term goals (2011)

Seven medium term (five-year) goals have been developed for the CPM

#### **Medium term goals for the Commission on Phytosanitary Measures**

1. A robust international standard setting and implementation programme
2. Information exchange systems appropriate to meet IPPC obligations
3. Effective dispute settlement systems
4. Improved phytosanitary capacity of members
5. Sustainable implementation of the IPPC
6. International promotion of the IPPC and cooperation with relevant regional and international organizations
7. Review of the status of plant protection in the world

## Goal 1: A robust international standard setting and implementation programme

**Background:** Under the IPPC (Article X), contracting parties agree to cooperate in developing international standards which may be adopted by the CPM. Such standards are the means by which contracting parties can harmonize their phytosanitary measures. To date most International Standards for Phytosanitary Measures (ISPMs) have been concept and reference standards. While these form a good foundation on which a contracting party may base their phytosanitary measures, further standards are required, particularly specific pest, treatment and commodity standards. In addition, existing standards need to be reviewed. As the World Trade Organization recognizes the IPPC as being the international standard setting body for plant health, it is important that measures resulting from ISPMs be transparent, technically justified, commensurate with risk and consider the impact of pests on the environment.

Regional Plant Protection Organizations (RPPOs) have an important role in assisting their members with implementation through the development/revision of their phytosanitary regulations.

Goal 1: A robust international standard setting and implementation programme		
Areas	Planned activities	Measures of success
1.1 Standard development, adoption and revision	<ul style="list-style-type: none"> <li>Expert drafting groups and Standards Committee meet to develop standards</li> </ul>	<ul style="list-style-type: none"> <li>At least five ISPMs or equivalent (annexes, treatments, diagnostic protocols, etc.) adopted per year, reflecting an appropriate balance between specific and concept standards</li> </ul>
	<ul style="list-style-type: none"> <li>Increase efficiency of standard development and adoption</li> </ul>	<ul style="list-style-type: none"> <li>SC operation and procedures modified to enable at least 5 ISPMs/year</li> </ul>
	<ul style="list-style-type: none"> <li>Establish staff to maintain the standard setting programme</li> </ul>	<ul style="list-style-type: none"> <li>Staff able to support the ongoing development and maintenance of the programme</li> </ul>
1.2 Standard implementation	<ul style="list-style-type: none"> <li>Environmental and biodiversity aspects considered</li> </ul>	<ul style="list-style-type: none"> <li>New/revISED ISPMs include environmental and/or biodiversity aspects as appropriate</li> </ul>
	<ul style="list-style-type: none"> <li>Identify and address constraints in implementation</li> </ul>	<ul style="list-style-type: none"> <li>Solutions developed for each standard depending on country needs (e.g. explanatory documents, capacity building, implementation plans)</li> </ul>
	<ul style="list-style-type: none"> <li>RPPOs assist members with implementation, including the development/revision of their regulations</li> </ul>	<ul style="list-style-type: none"> <li>ISPMs implemented by contracting parties</li> <li>Regulations based on ISPMs</li> </ul>

## Goal 2: Information exchange systems appropriate to meet IPPC obligations

**Background:** The IPPC specifies the type of phytosanitary information to be exchanged or communicated in support of implementation, and usually who needs to receive such information. This includes the exchange/communication of information among contracting parties, between contracting parties and the Secretariat, and at times, between contracting parties and their Regional Plant Protection Organizations. In addition to information in support of implementation, there is also general operational and administrative communication related to the meetings and operation of the CPM and its subsidiary bodies. There is also a requirement to supply information on the status of the Convention itself, such as adherences, acceptances, amendments and proposals for amendments, and related legal and depositary matters.

There are two key national communication channels for information exchange under the IPPC:

- IPPC contact points designated under Article VIII (contracting parties, IPPC Secretariat and RPPO communication)
- Official FAO contact points as identified in the FAO Correspondence Manual (FAO communication).

The International Phytosanitary Portal (IPP – <https://www.ippc.int>), developed by the CPM, is the main mechanism for phytosanitary communication.

Goal 2: Information exchange systems appropriate to meet IPPC obligations		
Areas	Planned activities	Measures of success
2.1 Implementation of information exchange as required under the IPPC	<ul style="list-style-type: none"> <li>• Assist NPPOs with the use of the IPP, through capacity building activities undertaken by the Secretariat and/or RPPOs</li> <li>• Secretariat to fulfil reporting obligations and communicate administrative matters efficiently in all FAO languages</li> <li>• <u>Further develop joint work programmes as necessary</u></li> </ul>	<ul style="list-style-type: none"> <li>• NPPOs are able to fulfil their reporting obligations using the IPP</li> <li>• Relevant information is made available to contracting parties in a timely manner</li> <li>• <u>Utilisation of RPPO and other reporting mechanisms</u></li> </ul>
2.2 IPP supported by an effective development and maintenance programme	<ul style="list-style-type: none"> <li>• Develop and document procedures for the ongoing use of the IPP</li> <li>• Establish staff to maintain and develop the IPP</li> </ul>	<ul style="list-style-type: none"> <li>• Procedures in place</li> <li>• Staff able to support the ongoing development and maintenance of the programme</li> </ul>

### Goal 3: Effective dispute settlement systems

**Background:** If required, contracting parties have access to dispute settlement described in Article XIII of the IPPC for which rules and procedures have been developed by the CPM. Although any recommendations from a committee considering the question in dispute are non-binding, parties agree that the recommendations will become the basis for renewed consideration of the dispute. The provisions of the IPPC are an alternative to the dispute settlement procedures provided for in other international agreements dealing with trade matters (e.g. the WTO)

Goal 3: Effective dispute settlement systems		
Areas	Planned activities	Measures of success
3.1 Encouragement of the use of dispute settlement systems	<ul style="list-style-type: none"> <li>Publicise the availability of the IPPC dispute settlement system</li> <li>RPPOs to ensure members are aware of, and able to use the dispute settlement system</li> </ul>	<ul style="list-style-type: none"> <li>Contracting parties understand and have confidence in the dispute settlement system</li> </ul>
3.2 Support for the IPPC dispute settlement system	<ul style="list-style-type: none"> <li>Provision of Secretariat support for disputes that may arise</li> <li>Report to the CPM on dispute settlement activities</li> </ul>	<ul style="list-style-type: none"> <li>Implementation of the IPPC dispute settlement system</li> <li>Annual report to the CPM</li> </ul>

## Goal 4: Improved phytosanitary capacity of members

**Background:** Under Article XX of the IPPC, contracting parties agree to promote the provision of technical assistance to other contracting parties, especially to those that are developing contracting parties, either bilaterally or through appropriate international organizations, with the purpose of building capacity for the implementation of the Convention.

Adequate capacity and infrastructure for all contracting parties is critical to accomplish the objectives of the IPPC.

Goal 4: Improved phytosanitary capacity of members		
Areas	Planned activities	Measures of success
4.1 Methods and tools in place that enable contracting parties to evaluate and improve their own phytosanitary capacity and evaluate requirements for technical assistance.	<ul style="list-style-type: none"> <li>Updating, maintaining and distributing the PCE tool</li> <li>Use of the PCE and other inter-active learning tools for strategic planning and project development</li> </ul>	<ul style="list-style-type: none"> <li>Contracting parties use the PCE to assess their capacity</li> <li>PCE based projects</li> </ul>
4.2 The work programme of the IPPC is supported by technical cooperation	<ul style="list-style-type: none"> <li>Regional workshops, seminars (in cooperation with/assisted by RPPOs)</li> <li>Formulation and implementation of capacity building projects</li> </ul>	<ul style="list-style-type: none"> <li>Members participate in IPPC activities</li> <li>Increase in the number of contracting parties able to implement the objectives of the IPPC</li> </ul>
4.3 Contracting parties are able to obtain technical assistance from donors	<ul style="list-style-type: none"> <li>Donor awareness of phytosanitary capacity needs</li> <li>Make contracting parties aware of possible donors and their criteria for assistance</li> </ul>	<ul style="list-style-type: none"> <li>Increased number of projects funded by donors</li> </ul>
<u>4.4 Development of a phytosanitary capacity building strategy which addresses implementation, funding and linkages to FAO resources</u>	<ul style="list-style-type: none"> <li><u>Develop and facilitate the implementation of the phytosanitary capacity building strategy</u></li> </ul>	<ul style="list-style-type: none"> <li><u>Strategy developed and being implemented</u></li> </ul>

## Goal 5: Sustainable implementation of the IPPC

**Background:** Effective implementation of the IPPC by its contracting parties requires major input. The Commission, as the governing body of the IPPC, is the mechanism whereby the internationally agreed programme of standards development, information exchange and capacity building can be effectively and successfully implemented. However, funding for the implementation of the annual work programme is not guaranteed and shortfalls may result in projects being placed on hold and a slow down of the development/implementation of the necessary international standards. To meet financial goals over and above the FAO contribution, the CPM relies on trust funds and in-kind contributions, which again, are not guaranteed. Recognition is also made of the need for strong links with the research and education institutions.

Goal 5: Sustainable implementation of the IPPC		
Areas	Planned activities	Measures of success
5.1 The IPPC is supported by an effective and sustainable infrastructure	<ul style="list-style-type: none"> <li>Necessary management and operational bodies identified and formalised within the CPM (or its subsidiary bodies)</li> <li>Transparency and accountability resulting in more effective use of scarce resources</li> <li>Preparation of an annual report to CPM on the operational plan by the Secretariat</li> <li>Secretariat negotiates assistance from RPPOs with the implementation of the annual CPM programme</li> <li>Adequate secretariat staff</li> </ul>	<ul style="list-style-type: none"> <li>Management structure that enables the efficient implementation of the CPM programme</li> <li>Preparation of an annual operational plan (with an associated budget) for the CPM</li> <li>Outcomes achieved in the operational plan</li> <li>Implementation of agreed activities</li> <li>Secretariat can meet the demands of the CPM</li> <li><b>Full time Secretary appointed</b></li> </ul>
5.2 A sustainable financial base established for the IPPC	<ul style="list-style-type: none"> <li>Transparent budgets indicating the real cost of implementing the CPM programme</li> <li>Develop means to cover the (ongoing) biennial FAO shortfall</li> <li>Encourage in-kind contributions</li> <li><b>Develop, implement and promote a multi year funding strategy</b></li> </ul>	<ul style="list-style-type: none"> <li>Members understand and appreciate the financial problem and agree to do something about it.</li> <li>All contracting parties contribute on an ongoing basis</li> <li>Contracting parties host committees/EWGs/TPs, APOs in the Secretariat</li> <li><b>Increased resources available</b></li> </ul>
5.3 IPPC programmes have a strong scientific base	<ul style="list-style-type: none"> <li>Form strong links with appropriate research and education institutions</li> </ul>	<ul style="list-style-type: none"> <li>Technical programmes and technical guidance in standards have a strong scientific base</li> </ul>
5.4 Developing contracting parties fully participate in IPPC activities	<ul style="list-style-type: none"> <li>Secure funding for DgC participation in IPPC activities</li> </ul>	<ul style="list-style-type: none"> <li>DgCs participate in all appropriate IPPC committees, workshops, standards development</li> </ul>

## Goal 6: International promotion of the IPPC and cooperation with relevant regional and international organizations

**Background:** The IPPC is an international treaty, which applies to all nations involved with international trade in any commodity that could act as a means of introducing a new plant pest into an endangered area. Hence all nations should be contracting parties in order that they can take part in the development of international standards that affect their export/imported goods. To enable the benefits of the treaty to be realised, there must be an effective infrastructure with financial support from the contracting parties.

The IPPC recognises the importance of maintaining strong links with international and regional organizations that share common interests. Of particular relevance are the World Trade Organization, the Convention on Biological Diversity and within the structure of the IPPC, the link between the Regional Plant Protection Organizations and the Secretariat.

Goal 6: International promotion of the IPPC and cooperation with relevant regional and international organizations		
Areas	Planned activities	Measures of success
6.1 The CPM has global recognition as the worldwide authority in the field of plant health	<ul style="list-style-type: none"> <li>Develop a communication strategy with an integrated public relations plan to achieve global recognition, build and manage the positive image of the CPM and to promote the IPPC</li> </ul>	<ul style="list-style-type: none"> <li>All countries are aware of the importance of the IPPC <u>and its environmental relevance</u></li> <li><u>All countries</u> are contracting parties</li> <li>CPM announcements and events have global reflection in media</li> </ul>
6.2 The IPPC is an active partner in specific programmes of mutual interest	<ul style="list-style-type: none"> <li>Ongoing liaison with specific international and regional organizations to identify and implement areas of common interest (mutual benefit)</li> </ul>	<ul style="list-style-type: none"> <li>Identified benefits gained</li> <li>International organizations seek input from the IPPC in relevant areas</li> </ul>
6.3 Efficient and effective communication between the RPPOs and the IPPC Secretariat	<ul style="list-style-type: none"> <li>Liaison and collaboration between the Secretariat and RPPO executive staff</li> </ul>	<ul style="list-style-type: none"> <li>RPPOs are fully aware of the Secretariat activities and able to assist where required</li> </ul>

## Goal 7: Review of the status of plant protection in the world

**Background:** One of the requirements of the CPM is to maintain an overview of the state of plant protection in the world. An important aspect of this is the need to be aware of, and ready to react to, any new or emerging issues and/or incorporate new technologies.

Goal 7: Review of the status of plant protection in the world		
Areas	Planned activities	Measures of success
7.1 Regular examination of the overall strategic direction and goals of the CPM with the adaptation of programmes to reflect/respond to new and emerging issues	<ul style="list-style-type: none"> <li>• Include an agenda item for the CPM meeting identifying new and emerging issues that may need IPPC action.</li> <li>• RPPOs develop discussion documents on new and emerging issues which assist the CPM in determining further action</li> </ul>	<ul style="list-style-type: none"> <li>• Standards developed and implemented, technologies adopted, programmes modified</li> <li>• Discussion documents developed by RPPOs</li> </ul>
	<p><i>Electronic certification</i></p> <ul style="list-style-type: none"> <li>• Contracting parties that are implementing E-cert assist others, via the Secretariat, to do so.</li> <li>• Use of the UN/CEFACT phytosanitary project for standardization</li> <li>• Adoption of relevant existing standards covering secure communication and validation of origin</li> </ul>	<ul style="list-style-type: none"> <li>• Increased number of contracting parties accepting and using e-cert</li> <li>• Standardization of a uniform XML format</li> <li>• Security/validation standards adopted and implemented</li> </ul>
	<p><i>Invasive alien species</i></p> <ul style="list-style-type: none"> <li>• ISPMs developed/modified to take alien invasive plant species (e.g. aquatic invasive plants) into account</li> </ul>	<ul style="list-style-type: none"> <li>• Contracting parties scope of activities expanded to include issues related to alien invasive species (e.g. invasive aquatic plants)</li> </ul>
	<p><i>Development of risk management options</i></p> <ul style="list-style-type: none"> <li>• Focus group on the international recognition of PFAs</li> </ul>	<ul style="list-style-type: none"> <li>• Contracting parties have trade expedited through the timely recognition of PFAs</li> <li>• Contracting parties able to meet their obligations under the IPPC</li> </ul>
7.2 The IPPC is supported by <u>an implementation</u> programme	<ul style="list-style-type: none"> <li>• Prepare recommendations for <u>an implementation</u> programme</li> <li>• <u>Implement an IPPC Implementation Review and Support System</u></li> </ul>	<ul style="list-style-type: none"> <li>• <u>The IRSS is in place covering all goals</u></li> </ul>

**PART III**

**RESOURCE REQUIREMENTS**

## 3 Resource requirements

### 3.1 Introduction/background

The successful implementation of the business plan will require sufficient resources both within the Secretariat and externally. The Secretariat has considered the expectations of the plan and based on current experience estimated the staff resource required to undertake the necessary activities identified under each of the goals. The cost of the Secretariat staff was calculated using FAO data for the appropriate grade levels. The non-staff costs were based on the 2007 programme presented to the SPTA by the Secretariat. It would be expected that it may take at least two years to bring the Secretariat up to full capacity (assuming availability of resources).

A major contribution to the resourcing of the IPPC/CPM activities is the “in-kind” contribution from various contracting parties. These include activities such as hosting working group meetings, funding regional workshops, funding specialist meetings, providing experts to assist the Secretariat with the development of CPM documents, assistance at CPM meetings, providing members for various committees, provision of stewards for the standard setting process, and supplying associate professional officers. Without such in-kind assistance it would be impossible to implement the CPM work programme.

The actual Secretariat staff resources for each year are shown in the relevant Operational Plan.

### 3.2 Resources to support the CPM programme

#### 3.2.1 Standard setting

Resources for the standard setting programme are based on the expectation of there being five ISPMs or equivalent (i.e. revisions, diagnostic protocols, etc.) produced per year. Annual activities to support this would include:

- Five meetings of technical panels
- Five meetings of expert working groups
- Two meetings of the standards committee
- One meeting of the standards committee working group
- One open-ended working group
- One international workshop on implementation of a specific ISPM
- Writing explanatory documents
- Transparency – document production and control
- Travel arrangements for meetings

**Total staff required – full time equivalents (FTE) Standards programme 7**

#### **Cost (US\$) - Full capacity: Standards Programme**

Staff requirement (7 FTE)	Cost of 7 staff (Estimated)	Cost of annual activities (Estimated)	<b>Total cost</b>
	850,000	650,000	<b>1,500,000</b>

### 3.2.2 Information exchange

Resource requirements for the information exchange programme are based on information exchange activities plus the need to develop and maintain the international phytosanitary portal (IPP). Annual activities to support both the information exchange and IPP activities include:

#### Information exchange

- IPP support group
- Training NPPOs to understand their information exchange obligations under the IPPC, and in the use of the IPP to meet reporting obligations
- Contacting NPPOs regarding IPPC reporting obligations
- Producing and disseminating relevant advocacy materials
- Producing and disseminating relevant training materials
- Monitoring the NPPO data on the IPP
- Fulfilling Secretariat reporting obligations (incl. communicating administrative matters)
- Development of capacity building tools for the IPP area

#### Development and maintenance of the IPP

- Ensure it is available, efficient and reliable
- Design and layout
- IPP Support Group
- Training
- Ontology/keywords
- Navigation languages

**Total staff required (FTE) Information Exchange programme** **5**  
**Cost (US\$) - Full capacity: Information Exchange Programme**

Staff requirement (5 FTE)	Cost of 5 staff (Estimated)	Cost of annual activities (Estimated)	<b>Total cost</b>
	600,000	500,000	<b>1,100,000</b>

### 3.2.3 Provision of dispute settlement

At the time of writing the plan, the IPPC Dispute Settlement system had not been used, and so the anticipated involvement of the IPPC Secretariat was unknown. However, should a significant number of phytosanitary disputes (>2) be initiated each year, it is anticipated that significant Secretariat resources may be needed to support this programme. This would entail an adjustment of the overall Secretariat work programme and priorities for specific staff (at least one person). However, it should be noted that cost recovery for formal dispute settlement processes is anticipated.

Annual activities currently only involve

- Awareness of the availability of a dispute mechanism
- Annual meeting of the Subsidiary Body for Dispute Settlement (SBDS)

The IPPC Dispute Settlement programme is currently supported by the information exchange officer.

**Cost (US\$) - Full capacity: Dispute Settlement Programme**

Staff requirement (0 FTE)	Cost of staff (Estimated)	Cost of annual activities (Estimated)	<b>Total cost</b>
	cost recovered	50,000	<b>50,000</b>

### 3.2.4 Improved phytosanitary capacity of members

Resources for the standard setting programme are based on the expectation of there being a series of workshops on capacity-building and draft ISPMs, and a number of projects (under the FAO Technical Cooperation Programme (TCP) and projects under Unilateral Trust Funds (UTF)). Annual activities to support the programme include:

#### Capacity-building workshops

- Three workshops (pest risk analysis, phytosanitary capacity evaluation and international standards on phytosanitary measures)

#### Regional workshops on draft ISPMs

- Seven regional workshops

#### Management/implementation of projects under the FAO TCP

- National phytosanitary capacity-building: - following 10 projects
- Regional phytosanitary capacity-building: - 3 projects

#### Projects under Unilateral Trust Funds

- General phytosanitary capacity building – 2 projects per year

**Total staff required (FTE) Improved Phytosanitary Capacity Program 3**

#### Cost (US\$) Full capacity – Phytosanitary capacity Programme

Staff requirement (3 FTE)	Cost of 3 staff (Estimated)	Cost of annual activities (Estimated)	Total cost
	155,000 (cost recovery)	500,000	655,000

### 3.2.5 Sustainable implementation of the IPPC

### 3.2.6 Promotion of the IPPC and cooperation with relevant international and regional organizations

### 3.2.7 Review of the world status of plant protection

Resources required to support the sustainable implementation of the IPPC including the promotion of the IPPC and cooperation with relevant organizations, are based on those required to coordinate the Secretariat activities and implement the CPM programme. Annual activities include:

- Coordination of Secretariat activities
- Organising and running the annual meeting of the CPM
- Organising the SPTA and Bureau meetings
- Reporting to the Bureau, SPTA and CPM
- Developing the drafts for the annual operational plan
- Presenting and monitoring the costs against the annual budgets
- Funding activities
- Travel arrangements
- FAO liaison/involvement
- Liaison with research and education institutions
- Promotion of the IPPC
- Liaison with specific international and regional organizations
- Liaison with Regional Plant Protection Organizations
- Organising the annual technical consultation among RPPOs

- Monitoring new and emerging issues

**Total staff required (FTE) Sustainable implementation of the IPPC** **5**

(Plus temporary staff in support of administrative matters relating to all areas of the programme, e.g. temporary assistance for ISPM comment compilation, dispatching of documents, and assistance during the CPM.)

**Cost (US\$) Full capacity – Sustainable implementation of the IPPC, promotion of the IPPC, world status of plant protection**

Staff requirement (5 FTE)	Cost of 5 staff (Estimated)	Cost of annual activities (Estimated)	<b>Total cost</b>
	807,500	450,000	<b>1,257,500</b>

### 3.3 Total staff requirements

Standards programme	7
Information exchange programme	5
Dispute settlement programme	0*
Improved phytosanitary capacity programme	3
Sustainable implementation of the IPPC programme (plus temporary staff)	5
Promotion of the IPPC programme	0*
World status of plant protection programme	0*
<b>Total</b>	<b>20 FTEs</b>

\* These components are currently covered by staff working in other areas of the programme.

**Cost (US\$) Full capacity – Total**

Programme	Staff requirement (FTE)	Cost of 20 staff (Estimated)	Cost of annual activities (Estimated)	<b>Total cost</b>
Standard setting	7	850,000	650,000	1,500,000
Information exchange	5	600,000	500,000	1,100,000
Dispute settlement	0	0	50,000	50,000
Phytosanitary capacity	3	155,000	500,000	655,000
Sustainable implementation, promotion of the IPPC, world status of plant protection	5	807,500	450,000	1,257,500
<b>Total</b>	<b>20</b>	<b>2,412,500</b>	<b>2,150,000</b>	<b>4,562,500</b>

## IPPC Secretariat – Projected Staff Requirements (FTEs)

