



# **International Plant Protection Convention**

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## **2011 Procedure Manual**

Updated: September 2011



**FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS  
ROME, 2011**

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## Introduction

The purpose of this manual is to provide in a convenient form the decisions, procedures and practices of the Commission on Phytosanitary Measures (CPM), its subsidiary bodies, and other relevant drafting groups. This edition of the manual includes decisions and procedures made up to and including the Sixth Session of the Commission (CPM-6 (2011)) and the November 2010 and May 2011 meeting of the Standards Committee (SC). The decisions and procedures described herein are subject to amendment by future Commission sessions. The manual will be revised regularly to include any new decisions and procedures and to amend existing decisions and procedures as necessary.

For the purpose of clarity, all official text, including resolutions of the FAO Conference and decisions of the Interim Commission on Phytosanitary Measures (ICPM) and the Commission on Phytosanitary Measures, are in the black font. Some procedures and decision of the Commission Bureau and Standards Committee are also in the black font, with details of their source. [Text that is in the blue font is for explanatory purposes only and should not be considered an official decision.](#)

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**List of Abbreviations**

APPPC	Asia and Pacific Plant Protection Commission
CPPC	Caribbean Plant Protection Commission
COSAVE	Comite Regional de Sanidad Vegetal para el Cono Sur
CAN	Comunidad Andina
CBD	Convention on Biological Diversity
CEPM	Committee of Experts on Phytosanitary Measures
CPM	Commission on Phytosanitary Measures or Commission
DP	Diagnostic Protocol
ELISA	Enzyme Linked ImmunoSorbent Assay
EPPO	European and Mediterranean Plant Protection Organization
EWG	Expert Working Group
FAO	Food and Agriculture Organization of the United Nations
GMO	Genetically Modified Organism
GRO	General Rules of the Organization
GWG	Glossary Working Group
IAEA	International Atomic Energy Agency
IAPSC	Inter-African Phytosanitary Council
ICPM	Interim Commission on Phytosanitary Measures
IPP	International Phytosanitary Portal
IPPC	International Plant Protection Convention
ISC	Interim Standards Committee
ISPM	International Standard for Phytosanitary Measures
LMO	Living Modified Organism
NAPPO	North American Plant Protection Organization
NPPO	National Plant Protection Organization
NRT	New Revised Text (of the International Plant Protection Convention)
OCS	Online Comment System
OIE	World Organization for Animal Health (Office International des Épizooties)
OIRSA	Organismo Internacional Regional de Sanidad Agropecuaria
PCE	Phytosanitary Capacity Evaluation
PPPO	Pacific Plant Protection Organization
PRA	Pest Risk Analysis
PT	Phytosanitary Treatment
ROP	Rules of Procedure
RPPO	Regional Plant Protection Organization
RSPM	Regional Standard for Phytosanitary Measures
SBDS	Subsidiary Body on Dispute Settlement
SBSTTA	Subsidiary Body on Scientific, Technical and Technological Advice
SC	Standards Committee
SC-7	Standards Committee Working Group of 7
SPS	Sanitary and Phytosanitary
SPTA	Strategic Planning and Technical Assistance (informal working group)
TCP	Technical Cooperation Programme
TOR	Terms of Reference
TP	Technical Panel
TPDP	Technical Panel on Diagnostic Protocols
TPFF	Technical Panel on Pest Free Areas and Systems Approaches for Fruit Flies
TPFQ	Technical Panel on Forest Quarantine
TPG	Technical Panel for the Glossary
TPPT	Technical Panel on Phytosanitary Treatment
WTO	World Trade Organization



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## PART 1 – THE CONVENTION

### 1.1 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 the 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:

- the issuance of certificates relating to the phytosanitary regulations of the importing contracting party for consignments of plants, plant products and other regulated articles;
- 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);
- 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;
- the disinfestation or disinfection of consignments of plants, plant products and other regulated articles moving in international traffic, to meet phytosanitary requirements;
- the protection of endangered areas and the designation, maintenance and surveillance of pest free areas and areas of low pest prevalence;
- the conduct of pest risk analyses;
- to ensure through appropriate procedures that the phytosanitary security of consignments after certification regarding composition, substitution and reinfestation is maintained prior to export; and
- training and development of staff.

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

- the distribution of information within the territory of the contracting party regarding regulated pests and the means of their prevention and control;
- research and investigation in the field of plant protection;
- the issuance of phytosanitary regulations; and
- 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:

- 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.
- Phytosanitary certificates ([refer to Annex 1 to this manual](#)), 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.

- 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:

- no more stringent than measures applied to the same pests, if present within the territory of the importing contracting party; and
- 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:

- 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;
- 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);
- prohibit or restrict the movement of regulated pests into their territories;
- 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:

- 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.
- 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.
- Contracting parties shall, on request, make available to any contracting party the rationale for phytosanitary requirements, restrictions and prohibitions.
- 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.

- 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.
- 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.
- 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.
- 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.
- 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.
- 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:

- 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;
- 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



- 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:
  - promote the development and use of relevant international standards for phytosanitary measures; and
  - 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: The Commission on Phytosanitary Measures**

1. Contracting parties agree to establish the Commission on Phytosanitary Measures within the framework of the Food and Agriculture Organization (FAO) of the United Nations.
2. The functions of the Commission shall be to promote the full implementation of the objectives of the Convention and, in particular, to:
  - 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;
  - establish and keep under review the necessary institutional arrangements and procedures for the development and adoption of international standards, and to adopt international standards;
  - establish rules and procedures for the resolution of disputes in accordance with Article XIII;
  - establish such subsidiary bodies of the Commission as may be necessary for the proper implementation of its functions;
  - adopt guidelines regarding the recognition of regional plant protection organizations;

- establish cooperation with other relevant international organizations on matters covered by this Convention;
- adopt such recommendations for the implementation of the Convention as necessary; and
- 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 the 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 the 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 the 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 the 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:

- international standards to all contracting parties within sixty days of adoption;
- to all contracting parties, lists of points of entry under Article VII paragraph 2(d) communicated by contracting parties;
- 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;
- 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 the 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 the 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 the 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 the 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 the 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 the 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 the FAO. Adherence shall be effected by the deposit of an instrument of adherence with the Director-General of the FAO, who shall notify all contracting parties.
3. When a member organization of the 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 the 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 the 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 the 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 the FAO:
  - information provided according to Article IV paragraph 4;
  - cover notes giving bibliographical data on documents transmitted according to Article VII paragraph 2(b);
  - information provided according to Article VII paragraph 2(b), (d), (i) and (j);



- notes giving bibliographical data and a short summary of relevant documents on information provided according to Article VIII paragraph 1(a);
- requests for information from contact points as well as replies to such requests, but not including any attached documents;
- 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 the FAO.
2. Any proposed amendment of this Convention received by the Director-General of the 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 the 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 the 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 the 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 the 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 the 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 the 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 the FAO.



## 1.2 Adoption of the amendments to the International Plant Protection Convention (IPPC)<sup>1</sup>

The IPPC (1952) was first adopted by the FAO Conference at its sixth session in December 1951 by Resolution 85, and came into force in April 1952. The Convention was subsequently amended and the FAO Conference, at its twentieth session in November 1979, adopted the amendments by Resolution 14/79. The revised text of the IPPC (1979) came into force on 4 April 1991 after 64 governments had deposited their instruments of adherence.

Resolution 12/97 of the 29th Session of the FAO Conference resulted in the approval of the new revised text of the IPPC (1997), given in the Convention. The IPPC (1997) came into force on 2 October 2005, on the thirtieth day after it was accepted by two-thirds of the contracting parties to the Convention<sup>2</sup>. The coming into force of the IPPC allowed for the replacement of the interim measures put in place by the FAO Conference and the establishment of the Commission on Phytosanitary Measures (see Part 2 of this manual).

The Conference,

*Recalling* its approval of the International Plant Protection Convention (IPPC) under Article XIV of the FAO Constitution at its Sixth Session in 1951, which came into force on 3 April 1952,

*Recalling* its adoption of amendments to the Convention at its Twentieth Session in November 1979 by Resolution 14/79, which amendments came into force on 4 April 1991,

*Being convinced* of the continued need to protect plant life or health from the spread and introduction of pests,

*Noting* the agreements reached as a result of the Uruguay Round of Trade Negotiations and the references in the Agreement on the Application of Sanitary and Phytosanitary Measures to the International Plant Protection Convention and international standards, guidelines and recommendations developed for connection therewith,

*Taking into account* the need for the development of International Phytosanitary Standards to protect plant health without creating unnecessary impediments to the international transportation of plants, plant products and other articles deemed to require phytosanitary measures,

*Recalling* the agreement reached at its Twenty-fifth Session in November 1989 on the necessity of establishing a Secretariat within the FAO for the International Plant Protection Convention,

*Recalling* that at its Twenty-seventh Session in November 1993, as an interim measure, it agreed to authorize the Director-General to establish the Committee on Phytosanitary Measures under Article VI.2 of the Constitution, and to establish the procedure that could be followed for the setting of harmonized international standards and guidelines,

*Having considered* the work of the Expert Consultation on the Revision of the IPPC held in April 1996, the Technical Consultation on the Revision of the IPPC held in January 1997, the Fourteenth Session of the Committee on Agriculture in April 1997 and the Hundred and Twelfth Session of the Council in June 1997,

*Taking note* of the recommendations contained in the report of the African Expert Consultation on the IPPC held in June 1997,

<sup>1</sup> Adopted at the 29th Session of the FAO Conference (November 1997), Resolution 12/97

<sup>2</sup> See Article XXI.4 of the new revised text. At the ICPM-6 (2004), it was noted that entry into force of the new revised text would apply to all contracting parties, including those that have not accepted the new revised text at the time of entry into force. It was also noted that the "two-thirds" figure is calculated on the basis of the number of parties to the treaty at the time of deposit of each instrument of acceptance of the amendments, which may change over time.



*Having examined* the text of the draft amendments to the IPPC endorsed by the Council at its Hundred and Twelfth Session in June 1997,

*Having considered* the observations contained in the Report of the Sixty-seventh Session of the Committee on Constitutional and Legal Matters held in October 1997 and the Report of the Hundred and Thirteenth Session of Council,

*Stressing* that it is in the interest of the international community that the proposed amendments should enter into force without delay,

*Noting* that, in accordance with Article XII.4 of the Convention, the amendments will enter into force as from the thirtieth day after acceptance by two thirds of the contracting parties:

1. *Approves* the amendments to the International Plant Protection Convention set out in the Revised Text contained in Appendix G [of the Report of the FAO Conference of 1997];
2. *Takes note of* the agreed interpretation contained in Appendix I [of the Report of the FAO Conference of 1997];
3. *Requests* the Director-General to transmit the revised text incorporating the amendments to the Contracting Parties for their consideration with a view to their acceptance of the amendments;
4. *Urges* the Contracting parties to accept the amendments as early as possible;
5. *Urges* FAO Members and Non-Member States that have not yet done so to adhere to the Convention as early as possible;
6. *Notes* the specific need of developing countries, in particular the least developed countries, for technical assistance in order to enhance their capacity to fulfill their obligations under the Convention and to facilitate its implementation;
7. *Urges* that high priority be given to the provision of reports on the occurrence, outbreak and spread of pests to the Secretary of the IPPC and, underlines the importance of establishing relevant procedures applicable to this reporting;
8. *Agrees* to the establishment of an Interim Commission on Phytosanitary Measures under Article VI.1 of the FAO Constitution with the Terms of Reference contained in Appendix H [of the Report of the FAO Conference of 1997];
9. *Agrees* that the present Secretariat to the IPPC shall continue until the amendments come into force and until then shall provide secretariat services to the Interim Commission;
10. *Agrees* that the present standard-setting procedure shall continue until the amendments come into force, or until the interim Commission decides otherwise, except that phytosanitary standards will be considered and adopted by the Interim Commission instead of by the Committee on Agriculture, Council and/or the Conference;
11. *Agrees* that the Secretariat to the IPPC commence work on International Standards for non-quarantine regulated pests;
12. *Allows* the use of the amended phytosanitary certificate as an alternative on voluntary basis among Parties that accept it; and
13. *Requests* Parties to nominate an official contact point, and to communicate its nomination to the Secretariat.



### 1.3 Adherence to the IPPC

Ratification and adherence is the topic of Article XVII of the IPPC.

States that are not contracting parties to the IPPC can deposit (submit) their instrument of adherence (refer to [Annex 2](#) to this manual) to the IPPC with the Director General of the FAO. There are no additional costs incurred by countries in joining the IPPC, and there are substantial benefits to membership. A summary of benefits of adhering to the IPPC is given in [Annex 3](#) to this manual.

The ICPM-7 (2005)<sup>3</sup>:

3. *Urged* FAO Members and non-member States that were not contracting parties to the IPPC to become contracting parties . . . as soon as possible.

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<sup>3</sup> ICPM-7 (2005), Paragraph 7



## 1.4 Relationship of the IPPC with the FAO

The IPPC was deposited with the Director-General of the Food and Agriculture Organization of the United Nations (FAO) after its adoption in 1951 by the Sixth Session of the Conference of the FAO. The FAO, established in 1945, is the United Nations' lead agency for agriculture, forestry, fisheries and rural development. It works to alleviate poverty and hunger by promoting agricultural development, improved nutrition and food security.

In support of the IPPC, the FAO provides:

- the Convention's secretariat through the Plant Protection Service;
- a source of legal advice;
- technical assistance projects;
- the meeting place and associated resources for many of the activities of the international phytosanitary community.



## 1.5 IPPC Strategic Framework 2012-2019

The IPPC Strategic Framework 2011-2019 is under development and the CPM-6 (2011)<sup>4</sup> agreed to four new strategic objectives. The four strategic objectives are:

- A. protect sustainable agriculture and enhance global food security through the prevention of pest spread.
- B. protect the environment, forests and biodiversity against plant pests.
- C. facilitate economic and trade development through the promotion of harmonized, scientifically-based phytosanitary measures.
- D. develop phytosanitary capacity for members to accomplish A, B & C.

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<sup>4</sup> CPM-6 (2011), Paragraph 167

## PART 2 – THE COMMISSION ON PHYTOSANITARY MEASURES

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## PART 2 - The Commission on Phytosanitary Measures

### 2.1 Overview

The IPPC is governed by the Commission on Phytosanitary Measures (CPM), which was established under Article XII of the New Revised Text of the IPPC, approved in 1997, and serves as the global Convention's governing body. The CPM meets during March or April each year at FAO headquarters in Rome, Italy to promote cooperation to help implement the objectives of the IPPC. In particular, the CPM:

- reviews the state of plant protection around the world
- identifies action to control the spread of pests into new areas
- develops and adopts international standards
- establishes rules and procedures for resolving disputes
- adopts guidelines for the recognition of regional plant protection organizations; and
- cooperates with international organizations on matters covered by the Convention

The members of the Commission are the contracting parties to the Convention and are responsible for implementing the work programme of standards development, information exchange and capacity building. CPM meetings are attended by contracting parties and by observers from organizations such as the Regional Plant Protection Organizations, the WTO Sanitary and Phytosanitary Committee, the Standards and Trade Development Facility, and the Convention on Biological Diversity. Meetings also host a scientific session for discussion of important issues. Past sessions have covered topics such as pest movements through food aid shipments and the potential impact of climate change on the spread of invasive alien species.

### 2.2 Position statement

The CPM-1 (2006) adopted the following CPM position statement as part of the Strategic Plan (now incorporated into the Commission Business Plan, see Section 2.4).

#### *Position statement<sup>5</sup>*

The International Plant Protection Convention (IPPC) is an international treaty ratified in 1952, first amended in 1979, and then again in 1997. The purpose of the Convention is to secure common and effective action to prevent the spread and introduction of pests of plants and plant products.

The IPPC as amended in 1997 provides for the establishment of a Commission on Phytosanitary Measures (CPM). The amendments came into force on 2 October 2005. As an interim measure, the FAO Conference, in 1997, established the Interim Commission on Phytosanitary Measures (ICPM). With the entry into force of the amended IPPC, the Interim Commission was superceded by the Commission. Membership in the Commission is open to contracting parties to the IPPC. The functions of the Commission are listed in Article XI.2 of the IPPC.

The Commission has a unique formal role in the area of plant protection as the global forum for the discussion of areas of common action under the IPPC. These include in particular the establishment of International Standards for Phytosanitary Measures (ISPMs) that provide norms for safe and fair international trade that are recognized by the WTO. Although the Commission is a relatively new body, the IPPC has a wide membership and nearly fifty years history of implementation resulting in the development of significant expertise, experience and goodwill among Members. The Commission provides a means for liaison with other organizations and opportunities for interaction including possibilities for sharing resources.

<sup>5</sup> CPM-1 (2006), Appendix XVI. The position statement reflects basic changes since its first adoption in 2000, and takes into account the entry into force of the New Revised Text of the IPPC.



Basic funding for the Commission is through the FAO, which is the depository for the IPPC and provides the Secretariat with its infrastructure – including legal support. Lack of adequate resources is a limiting factor to the implementation of the work programme of the Commission and additional resources need to be sought, particularly to establish a greater number of standards on a regular basis. The consequences of these limited resources are significant when considering the requirements of the Agreement on the Application of Sanitary and Phytosanitary Measures of the World Trade Organization (WTO-SPS Agreement) for the availability of ISPMs to promote harmonization.

Further limiting factors to the implementation of the work programme include differences in development status and technological capacity of members, differing levels of participation and expectations of countries. Despite the increased importance of the IPPC due to linkage with the WTO-SPS Agreement, the IPPC is not widely known or understood. Further contributing to this is the newness of the Commission procedures.

The Commission has adopted its own rules and procedures. It has established a Standards Committee. Since the establishment of the Interim Commission a number of ISPMs were adopted, bringing to twenty four the total number of ISPMs adopted to date (the first ISPMs were adopted by the FAO Conference prior to the formation of the Interim Commission). Procedures to assist with dispute settlement have been developed so the Commission may offer a complementary, technical role to other international dispute settlement systems. A subsidiary body on dispute settlement has been formed to administer the dispute settlement activities of the Commission. The Commission is continuously investigating possibilities to improve its technical assistance activities in order to raise the phytosanitary capacity of developing countries. The Commission does not have any clear role yet in the sharing of regulatory and scientific information, and has weak links with the research community. However, first steps to clarify the role of the Commission in relation to stronger links with research and educational institutions have been undertaken. The Commission has prepared priority lists for the development of standards and has prepared a strategic plan to make clear its strategic directions and goals. These activities are updated biennially and annually, respectively. Annual timetables of meetings are endorsed by members of the Commission.

There are nine Regional Plant Protection Organizations (RPPOs) that have coordinating functions in their respective regions. One of their roles is to help achieve the objectives of the IPPC. Their relationship with the IPPC Secretariat and the Commission, and the opportunities for increased interaction, has been clarified. Possibilities to increase contributions of these organizations to the work programme of the Commission remain to be explored despite their disparity in numbers of members, authority, constitutions and capabilities.

The primary use of phytosanitary measures in most countries has been in the protection of agriculture, horticulture and forestry from the ingress of exotic pests and/or their spread within countries. It has, however, been recognized that IPPC principles are equally valid for the protection of wild flora and biodiversity. Explicit systems to deal with environmental issues have been developed in order to address the increasing importance of environmental issues, such as invasive alien species. The issue of invasive alien species is also addressed by the Convention on Biological Diversity (CBD), and a strong cooperation between the IPPC and the CBD is of importance to create synergic effects in the protection of plants, ecosystems and biodiversity. The role of the IPPC in relation to the protection of marine plants remains to be clarified.

The increasing volume and speed of the movement of goods and people is placing pressure on phytosanitary systems and creating greater demand for standards, while at the same time many governments are finding it difficult to meet the increasing demands for resources to implement the standards. In addition there is an increasing demand to restrict the spread of organisms that threaten biological diversity. A functioning international approach with a wide body of international and regional standards provide countries with affordable and effective means to counter threats to agriculture and biodiversity while at the same time benefiting from partaking in international trade.



The provisions of the WTO-SPS Agreement and the IPPC have put pressures on countries to establish justified import regulation in a transparent manner. The means of dealing with these pressures has not been examined by the Commission on either the political front or with effected private sector groups or environmental organizations. The process of undertaking the construction of import regulations is a matter of increasing detail, complexity and contention. In this situation, an increasing divergence between developed and developing countries will be difficult to avoid if steps are not taken urgently. Likewise, the Commission needs to ensure that all Members are fully able to implement the Convention.

International trading systems and initiatives to protect agriculture, horticulture, forestry, biodiversity and the environment in general involve the activities of a number of international governmental organizations. Cooperation between these organizations, such as the WTO-SPS, the IPPC, the OIE, Codex Alimentarius, CBD and the IAEA, is essential to avoid overlaps or conflicting approaches and to maximize the efficient use of resources and create synergy. The Interim Commission and Commission have been active in promoting such cooperation. Additional efforts, however, need to be envisaged to intensify this cooperation.

## 2.3 Funding and resources for the work programme of the Commission

Basic funding and resources for the work programme of the Commission are currently provided by countries mainly through the FAO budget (Regular Programme Funds). A trust fund, the "Trust Fund for the IPPC", has also been put in place. Additional funds have been provided by contracting parties to support a particular meeting or programme. Support to the Secretariat and the work programme, in the form of Associate Professional Officers and Visiting Scientists, has also been provided by contracting parties. As part of the Convention's technical assistance, some of these funds from the FAO and the contracting parties are used to allow attendance at meetings by representatives from developing countries.

### 2.3.1 Procedures for budget planning and reporting<sup>6</sup>

A more transparent format for the Secretariat's budget reporting was welcomed by the ICPM-5 (2003). The Secretariat's procedures for budget planning and reporting are in Table 1 (parentheses refer to the current programme as an example):

**Table 1:** IPPC Secretariat's procedures for budget planning and reporting

Step	Timing	Action
Step 1	April	The Interim Commission establishes the work programme priorities for the next year (e.g. in 2003 the Interim Commission will determine priorities for 2004) and is informed by the Secretariat of the current FAO budget (2003). The Interim Commission is requested to adopt the proposed budget for Trust Fund activities (if applicable).
Step 2	September	Costs for the future work programme (2004) are estimated by the Secretariat based on: core function costs based on the anticipated or known contribution of the FAO (FAO Conference decision); plus additional costs anticipated to meet the desired work programme.
Step 3	October	The SPTA reviews the programme budget provided by the Secretariat (for 2004) and recommends adjustments as appropriate. The SPTA also recommends a new work programme for one year ahead (2005).

<sup>6</sup> ICPM-5 (2003), Appendix XII



Step	Timing	Action
Step 4	November	<p>The Interim Commission Bureau reviews recommendations of the SPTA (for 2005) for core FAO funding and Trust Funds as appropriate, and agrees on a proposal to submit to the Interim Commission for its information (FAO regular programme) or approval (Trust Funds).</p> <p>→ return to Step 1</p>

### *Commission review and adoption of budget*

The CPM-3 (2008) noted the action items regarding the response by the SPTA to the independent evaluation of the working of the IPPC and its institutional arrangements. This included that the Commission will review and adopt the distribution of the funds allocated by the FAO, as well funds from other sources.

### **2.3.2 Trust fund for the IPPC**

#### *Establishment of the trust fund for the IPPC*

The Trust Fund for the IPPC was established by the ICPM-5 (2003).

The ICPM-5 (2003)<sup>7</sup>:

1. *Endorsed* the proposal to establish a multi-donor trust fund called the Special Trust Fund for the International Plant Protection Convention.

The ICPM-6 (2004)<sup>8</sup>:

1. *Agreed* to the Secretariat developing a strategy for promoting the Special Trust Fund and encouraging donors to contribute to it.

The CPM-4 (2009)<sup>9</sup>:

5. *Actively encouraged* contracting parties to contribute to the Trust Fund for the IPPC.

The CPM-4 (2009)<sup>10</sup>:

2. *Urged* all members to support the Trust Fund for the IPPC.

#### *Financial guidelines for the trust fund for the IPPC<sup>11</sup>*

##### *Scope*

The objective of the fund is to provide resources to benefit developing countries:

- through their attendance at the standard setting meetings;
- through participating in training programmes and internet access for information exchange;
- through regional workshops on draft standards and implementing standards;
- through development of guidance for countries to use in the evaluation of institutional and regulatory aspects of national phytosanitary systems;

<sup>7</sup> ICPM-5 (2003), Paragraph 86

<sup>8</sup> ICPM-6 (2004), Paragraph 73

<sup>9</sup> CPM-4 (2009), Paragraph 171

<sup>10</sup> CPM-4 (2009), Paragraph 176

<sup>11</sup> The financial guidelines for the Trust Fund for the IPPC were originally adopted by ICPM-5 (2003) Appenix XI, revised by ICPM-7 (2005) Appendix XVI and CPM-4 (2009) Appendix 21 and published in the CPM-5 (2010) report, Appendix XIII.

- by encouraging individual Members to utilize Phytosanitary Capacity Evaluation and formulate national phytosanitary plans;
- through any other project agreed by the Interim Commission on Phytosanitary Measures (hereinafter referred to as the Commission).

### ***Applicability***

- The Trust Fund shall be established under the provisions of Financial Regulation 6.7 of the FAO.
- These Guidelines shall govern the financial administration of the Trust Fund for the International Plant Protection Convention in conformity with the FAO's Financial Regulations and Rules.
- These Guidelines shall apply to the activities of the Trust Fund for matters not covered by the FAO Financial Rules and Procedures concerning trust funds. In the case of a conflict or inconsistency between the FAO's Financial Regulations, Rules and procedures and these guidelines, the former shall prevail.

### ***The Financial Period***

- The financial period shall be one calendar year.

### ***The Budget***

- The budget estimates shall be prepared by the Secretary of the Commission for submission to the last session of the Commission held in the year before the financial period covered by the budget.
- Before the submission to the Commission, the budget estimates shall be reviewed by the Informal Working Group on Strategic Planning and Technical Assistance (SPTA) for consideration by the Commission Bureau, which will make its recommendation on the budget to the Commission.
- The budget shall be circulated to all Members of the Commission not less than 60 days before the opening session of the Commission at which the budget is to be adopted.
- The Commission shall adopt the budget of the Trust Fund by consensus of its Members provided, however, that if, after every effort has been made, a consensus cannot be reached in the course of that session, the matter will be put to a vote and the budget shall be adopted by a two-thirds majority of its Members.
- The budget estimates shall cover income and expenditures for the financial period to which they relate, and shall be presented in United States dollars. The budget shall comprise of estimates of income and expenditures and shall take into account the forecast uncommitted balance of the Trust Fund for the financial year immediately preceding the year covered by the budget:
- Income shall consist of voluntary contributions from Members, non-Members and other contributors as well as interest earnings on funds on hand as credited in accordance with the FAO's Financial Regulations and Rules; and
- Expenditures shall consist of such expenses as are incurred in the implementation of the Programme of Work, including necessary project staff costs and the administrative and operational support costs, incurred by the FAO and charged strictly in accordance with the policy on support cost reimbursement approved and as amended from time to time by the FAO Finance Committee and Council.
- budget estimates shall reflect the Programme of Work provided for by the Trust Fund for the financial year elaborated on the basis of appropriate information and data, and shall include the Programme of Work and such other information, annexes or explanatory statements as may be requested by the Commission. The form of the budget shall include:



- estimates of income and expenditure, the latter being supported by a Programme of Work which proposes projects that directly address the objective of the Trust Fund as described under the Scope in Article 1 above;
  - such additional information as may be sought by the Commission which may, at its discretion, amend the format of the Programme of Work and the Budget for future calendar years.
- During implementation of the Programme of Work, the Secretary shall authorize such expenditures as are necessary to execute the approved Programme of Work to the extent that resources are available recognizing that:
  - transfers between approved Directions may be effected by the Secretary for amounts not exceeding 20% of the approved budget of the projects from which the resources are being transferred;
  - the annual reports of the Secretary shall include complete information on all transfers that have taken place during the financial year being reported.
- The budget of the Trust Fund shall be adopted by the Commission.
- The Commission shall set priorities among outputs to take account of possible shortfall in funding.

### ***Provision of Funds***

- Funds may be provided on a voluntary basis by a variety of sources, including Members, non-members, and other sources.
- Special assignment of individual contributions for specific outputs may only be accepted for outputs that are approved by the Commission.
- The Secretary, in consultation with the Commission Bureau, is authorized to finance budgeted expenditure for the purposes outlined in the scope from the uncommitted balance/available cash of the Trust Fund, whichever is the lower.
- The Secretary shall acknowledge promptly the receipt of all pledges and contributions and shall inform members annually of the status of pledges and contributions.

### ***Trust Fund***

- All contributions received shall be promptly credited to the Trust Fund.
- The uncommitted balance of the Trust Fund shall be carried forward at the end of each financial period and shall be available for use under the approved budget for the following financial period.
- With respect to the Trust Fund, the Organization shall maintain an account to which shall be credited receipts of all contributions paid and from which shall be met all expenditure chargeable against the sums allocated to the annual Trust Fund budget.

### ***Annual reports***

The Secretary will provide financial reports on the Trust Fund to the Commission on an annual basis. These reports should include links to objectives, activities and outputs as they relate to the Strategic Directions determined by the Commission.

### ***Amendment***

These Guidelines may be amended by the Commission.

### ***Allocation of funds for the trust fund for the IPPC***

The CPM-1 (2006)<sup>12</sup>:

<sup>12</sup> CPM-1 (2006), Paragraph 119

3. *Agreed* to the Secretariat being able to prepare budgets for approval with funds allocated on a priority (needs) basis.

### 2.3.3 Increased funding for the IPPC

In recent years, the Interim Commission and Commission have been examining new sources of and ways of obtaining funding for the IPPC. See also Section 2.5.1 on evaluation of funding options for the IPPC.

The ICPM-7 (2005)<sup>13</sup>:

3. *Urged* members to request the support of their delegates to the meetings of key FAO Bodies for increased funding to the IPPC.
4. *Called* on countries to look into the possibility of providing extra-budgetary funding.

### 2.3.4 How to contribute to the IPPC

#### *Financially*

The IPPC has set up a special multilateral trust fund. Any money donated into this trust fund is used to promote the work of the IPPC. The Commission reviews the donations annually and allocates funds to specific projects in the following year. Each year a full financial report of expenditures and accomplishments is presented for review by the Commission. For the administration of this fund, the FAO charges a small 6% administrative fee as funds are spent.

Donors can easily donate any amount to this fund by transferring funds according to directions provided below. An e-mail to the [ippc@fao.org](mailto:ippc@fao.org) describing the date and amount of the transfer along with a scanned copy of the transfer documents will facilitate the Secretariat in ensuring the donation reached the trust fund.

#### *How to transfer funds to the IPPC trust fund*

Note: transferring funds, use “MTF/GLO/122/MUL- IPPC trust fund” in the description of the transfer.

#### *To transfer funds in Euros*

Account name: FAO Trust Fund (EUR)  
Bank name: HSBC Bank, Plc 8 Canada Square  
London, United Kingdom, E14 5HQ  
Swift/Bic: MIDLGB22  
Account No. 67115083  
IBAN: GB04MIDL40051567115083

#### *To transfer funds in US Dollars*

Account name: FAO Trust Fund (USD)  
Bank name: HSBC New York, 452 Fifth Ave.  
New York, NY, USA, 10018  
Swift/Bic: MRMDUS33  
ABA/Bank code: 021001088  
Account No. 000156426

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<sup>13</sup> ICPM-7 (2005), Paragraph 119

***By “in-kind” contributions******Innovative approaches***

More recently, the IPPC has been innovative in the types of contributions it seeks from members. National plant protection organizations, regional plant protection organizations or other types of groups may contribute to the work programme of the IPPC by contributing experts to work for the IPPC over a period of time (e.g. one or more years) as visiting scientists or consultants. Experts may work on standards, technical assistance, information exchange or other important issues.

Such experts may work in the Secretariat itself, or work at their home location. Organizations may also contribute by sponsoring specific meetings or working groups (e.g. hosting an Expert Working Group or the Standards Committee), or by sponsoring the attendance of other countries to meetings. Organizations may also contribute staff to work on particular tasks.

For instance, in 2009, the IPPC accepted the assistance of volunteers in compiling comments from the member consultation period on draft ISPMs for the first time. This assistance from NPPOs and RPPOs greatly assisted the Secretariat with its work load during a particularly busy period in the work programme.

***Associate Professional Officers***

Countries have assisted the Secretariat by providing Associate Professional Officers, or APOs. APOs are young professionals that are funded by their host government to work in the IPPC, typically for a period of two years. APOs have an opportunity to gain experience working in an international organization, while the Secretariat benefits by having additional assistance for specific elements of the work programme.

To learn more about options for contributing to the work of the IPPC, please contact the Secretariat ([ippc@fao.org](mailto:ippc@fao.org)).

## 2.4 The Commission Business Plan (2007-2011)

The Commission Business Plan was first developed by members of the Commission Bureau and an ad-hoc Focus Group in 2002. The Commission Business Plan explained the role of the Interim Commission, the situation for resources and the additional resources required to achieve the work programme that had been agreed by members in the Interim Commission. The Commission Business Plan was found to be a useful document, especially for outlining the resource needs to potential donors and contributors. Subsequently, the Commission Business Plan has been revised annually and in 2004 was presented together with the strategic plan.

The CPM-2 (2007)<sup>14</sup>:

2. *Agreed* that the Commission Business Plan be reconsidered annually by the SPTA in order to recommend whether or not any changes were needed. There should be a major review every five years. The business plan would be supported each year by an annual operational plan, with an associated budget that would describe the activities for the forthcoming year aimed at meeting the five-year goals.

In response to the Independent evaluation of the workings of the IPPC and its institutional arrangements, the CPM-3 (2008) *agreed* that the Commission Bureau prepare appropriate modifications to the Commission business plan and the relevant action plans for implementation of the agreed recommendations, for considerations and approval by the SPTA and the CPM-4 (2009)<sup>15</sup>.

Modifications to the Commission Business Plan were suggested by the SPTA at its 9<sup>th</sup> meeting. The CPM-3 (2008) *noted* proposed modifications to the Commission Business Plan and *agreed* that the proposed modifications would be incorporated into the Commission Business Plan<sup>16</sup>.

As requested by the Commission, proposed changes to the Commission Business Plan were prepared by the Commission Bureau and considered by the SPTA at its 10<sup>th</sup> meeting before presentation to the CPM-4 (2009). The proposed changes reflect modifications to IPPC activities as a result of the response by the Commission to the independent evaluation of the workings of the IPPC and its institutional arrangements.

The CPM-4 (2009)<sup>17</sup>:

3. *Adopted* the modifications to the Commission Business Plan.

The Commission Business Plan can be found on the IPP at:

<https://www.ippc.int/id/13330?language=en>

### 2.4.1 Medium term goals (2007-2011) of the Commission Business Plan

The ICPM-2 (1999) recommended that as part of the work programme of the Interim Commission in 2000, interested Members develop a strategic plan for the work of the Interim Commission. This ultimately resulted in the formulation of a 5-year strategic plan, submitted to the ICPM-3 (2001) for adoption. From that time, the strategic plan was updated annually by the Informal Working Group on Strategic Planning and Technical Assistance (SPTA), and adopted by the Interim Commission or Commission. In 2004, it began to be presented together with the Commission Business Plan.

In 2006, the strategic plan was revised completely, changing the strategic directions to medium term goals (2007-2011), and was adopted as part of the Commission business plan by the CPM-2 (2007).

<sup>14</sup> CPM-2 (2007), Paragraph 120

<sup>15</sup> CPM-4 (2009), Paragraph 162

<sup>16</sup> CPM-3 (2008), Paragraph 151

<sup>17</sup> CPM-4 (2009), Paragraph 162



Medium term goals (2007-2011) were revised by the CPM-4 (2009). The medium term goals are given in Annex 4 to this manual.

The CPM-2 (2007)<sup>18</sup>:

3. *Agreed* that the goals covered the core activities of the Commission.

The ICPM-3 (2001) defined the elements of the strategic plan, and these continue to be followed by the Commission Business Plan and its medium terms goals<sup>19</sup>.

### *Elements of the strategic plan*

- The process of strategic planning used by the Technical Consultation involves formulation of a position statement, mission statement, strategic directions and goals, described as follows.
- Position statement: This statement provides summary information on the current status of the Interim Commission and the external environment. The statement describes, very briefly, the Interim Commission's formation, members, administration, present functions, external environment, and challenges. The statement is a summary of the information used as the basis for the development of the strategic plan.
- Mission statement: This statement describes succinctly what the Interim Commission aims to achieve. All strategic directions and goals should be covered by the mission statement.
- Strategic directions: These describe basic themes for activities of the Interim Commission. All the activities and outputs planned by the Interim Commission should be found within one or more of the strategic directions.
- Goals: These are the achievements desired within each strategic direction for the particular time period covered by the plan.
- Goals are considered for their priority, timing, and the means for their accomplishment, including consideration of the time, human and financial resources available. This is then used as the basis for proposing a work programme that is scheduled into a provisional calendar of activities. A clear understanding of the capacity of the Interim Commission and Secretariat to undertake the work programme, and options for increasing capacity where necessary, is critical for deciding the level of implementation that is practical. Careful consideration must also be given to mechanisms for funding, staff, oversight, direction and other support required for successful implementation.

<sup>18</sup> CPM-2 (2007), Paragraph 120

<sup>19</sup> ICPM-3 (2001), Appendix XVII, Section II



## 2.5 Various other activities

### 2.5.1 Two Stage Approach to Evaluate the IPPC and its Funding

The ICPM-6 (2004) established a Focus Group to analyze the long-term funding options of the IPPC. This group met in 2004 and developed the following Terms of Reference for a two-stage approach to evaluating the IPPC and its funding<sup>20</sup>.

#### *Two stage approach to the evaluate the IPPC and its funding*

##### *Stage one: Evaluation of funding options for the IPPC*

- Recruitment of a consultant familiar with international funding possibilities to analyse funding options for the IPPC.
- Establishment of a new Focus Group, composed of an extended Commission Bureau, assisting the consultant in its task according to terms of reference laid down in Appendix XV.
- The evaluation should be carried out in 2005 and reported to the CPM-1 in (2006), through the SPTA in 2005.

A Focus Group on potential funding arrangements for the IPPC met in July 2005 in accordance with terms of reference agreed to by the ICPM-7 (2005)<sup>21</sup> and considered the possible funding options. Their analysis was submitted to the CPM-1 (2006)<sup>22</sup>, who agreed on the following:

1. *Invited* contracting parties to support the IPPC by providing in-kind contributions, particularly through sponsorship of meetings;
2. *Invited* SPTA members to make a contribution to the next meeting of the SPTA as to how they could imagine a fee system for the IPPC;
3. *Recommended* that a FAO legal analysis of service charges and fees should be carried out (managed by the Secretariat) and be considered in the framework of the evaluation of the IPPC. If there was a positive outcome to the legal analysis, then such service fees and charges should be investigated further by the Secretariat with the view of reporting to the Commission;
4. *Requested* the Secretariat discuss the use of fees with other organizations that were in similar activity areas (e.g. the OIE, International Seed Testing Association) to enquire about their systems of fees;
5. *Recommended* that information collected (including that from the IPPC evaluation) be considered next year and further action taken accordingly;
6. *Agreed* to the further investigation of the use of a voluntary assessed contribution scheme for funding the IPPC, and recommended that an information package, including a schedule of contributions and the likelihood of members making their assessed contributions, be prepared to be presented to the CPM-2 (2007); and
7. *Agreed* that recommendations made do not imply any advanced acceptance of these potential funding structures.

The CPM-2 (2007)<sup>23</sup>:

5. *Stressed again* the need for a promotion strategy, developed by the IPPC Secretariat, for the Trust Fund for the IPPC, and for a more project-oriented planning of the activities carried out

<sup>20</sup> ICPM-7 (2005), Appendix XIV

<sup>21</sup> ICPM-7 (2005), Appendix XV

<sup>22</sup> CPM-1 (2006), Paragraph 125

<sup>23</sup> CPM-2 (2007), Paragraph 137



under the trust fund, with costing of activities and potential donors invited to pledge their financial support to projects;

6. *Agreed* on actions pertaining to the above, and in particular:

- i) to promote the establishment of bilateral trust funds
- ii) to develop project-oriented planning for the multilateral trust fund for consideration by the SPTA in 2007
- iii) to develop a promotion strategy to invite contributions to the trust funds for consideration by the SPTA in 2007.

#### ***Stage two: Evaluation of the IPPC and its structures***

- The IPPC evaluation is designed to provide an input on future policy organizational structure, funding negotiations, strategy and management of the IPPC.
- The IPPC evaluation shall also provide an analysis of the current administrative and working structures of the IPPC, their functioning and output in relation to existing goals and their suitability to implement the strategic plan of the IPPC.
- The IPPC evaluation shall be carried out as soon as possible, depending on the availability of funds including those of the FAO Evaluation Service.
- The IPPC evaluation shall have considerations for the future on an examination of past performance, current and emerging challenges and innovative ideas. It shall also determine if IPPC activities and administration are satisfactory to meet the needs of surveyed members.
- The IPPC evaluation shall be conducted according to specified terms of reference (TORs). These TORs shall be:
  - developed by the FAO Evaluation Service in full consultation with the IPPC Secretariat and the Interim Commission Bureau
  - submitted to the SPTA for comments in 2005
  - finalized by November 2005.

The evaluation of the IPPC was initiated in 2005 and the FAO Evaluation Service gave details on the evaluation to the CPM-1 (2006). The process, timetable and milestones were introduced, and it was noted that some preliminary findings and issues would be presented at the CPM-2 (2007), with the objective of receiving feedback in order to see which additional issues should be addressed.

The CPM-2 (2007)<sup>24</sup>:

- 2. *Provided* feedback to the evaluation team on issues and recommendations meriting further clarification;
- 3. *Noted* that the final evaluation report would be presented to the FAO Programme Committee at its 98<sup>th</sup> session in September 2007;
- 4. *Agreed* that a key opportunity existed to influence the FAO Programme Committee thinking and decisions in September 2007 regarding future funding and support for the IPPC;
- 5. *Agreed* that an extraordinary meeting of the SPTA should be convened during the week of 18 June 2007 to review the recommendations of the final evaluation report and generate Commission positions and other input for the Programme Committee;

<sup>24</sup> CPM-2 (2007), Paragraph 147

6. *Agreed* that the SPTA should focus on the recommendations that were FAO-relevant, to ensure a coherent and targeted response on decisions affecting the IPPC which fell within the jurisdiction of the FAO;
7. *Requested* the Secretariat to distribute copies of the final evaluation report as soon as it was available;
8. *Encouraged* contracting parties to provide comments on the recommendations to the Secretariat no later than 15 June 2007;
9. *Agreed* that only positions established by consensus in the extraordinary meeting of the SPTA would go forward to the Programme Committee;
10. *Agreed* that the SPTA would in its analysis refer to the adopted 5-year Commission Business Plan to illustrate and support its positions to the FAO Programme Committee;
11. *Agreed* that the same report that went to the Programme Committee would be posted on the IPP;
12. *Encouraged* members to use the report posted on the IPP to inform their respective delegations participating in the FAO Programme Committee, the FAO Council and the FAO Conference;
13. *Noted* that the final evaluation report and its implications for the budget would be further discussed at the CPM-3 (2008).

## 2.5.2 Feasibility of international recognition of pest free areas

An open-ended working group on recognition of pest free areas met during the ICPM-7 (2005). Following the discussions, the ICPM-7 (2005)<sup>25</sup>:

5. *Decided* that a feasibility study be undertaken on the international recognition of pest free areas, which would take into account legal, technical and economical factors and assess feasibility and sustainability of such system. A proposal for the composition of a working group and its terms of reference would be prepared by the Focus Group at its meeting in June/July 2005 for submission, through the SPTA, to the next session of the Interim Commission.

In addition, the CPM-1 (2006)<sup>26</sup>:

3. *Agreed* that data on existing PFAs be assembled by the Secretariat in 2006, and the outcome presented at the CPM-2 (2007); and
4. *Agreed* that the CPM-2 (2007) would then decide on how to proceed.

At the CPM-2 (2007), the Secretariat presented a follow-on report based on a decision at the ICPM-7 (2005) to undertake a feasibility study on the international recognition of PFAs taking into account legal, technical and economic factors, and assess the feasibility and sustainability of such a system. The terms of reference of the working group were developed by a focus group, reviewed by the SPTA and adopted to by the CPM-1 (2006).

The CPM-2 (2007)<sup>27</sup>:

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<sup>25</sup> ICPM-7 (2005), Paragraph 87

<sup>26</sup> CPM-1 (2006), Paragraph 149

<sup>27</sup> CPM-2 (2007), Paragraph 142



1. *Agreed* that an open-ended working group be established to undertake a feasibility study on the international recognition of pest free areas;
2. *Confirmed* that the terms of reference adopted by the CPM-1 (2006) and revised by the CPM-2 (2007) (Appendix 15) be used for the open-ended working group;
3. *Agreed* that the open-ended working group presents the results of its study to the CPM-4 (2009) through the SPTA;
4. *Agreed* that as an outcome of the CPM-4 (2009), a smaller working group of experts may be established to develop this further.

At the CPM-4 (2009) Secretariat introduced the report of the Open-ended Working Group on pest free areas (OEWG-PFAs). It informed the Commission that the OEWG considered several potential models for recognition of PFAs including:

- an establishment of a recognition process similar to that in the OIE which would result in the Commission providing recognition of a PFA
- establishment of a detailed certification manual that would provide for the basis for an “outside” PFA certification, and
- an information system to document bilaterally recognized pest free areas.

The group focused on the OIE model, and believed that a similar system could be established under the IPPC but would require considerable resources. The proposal was submitted to SPTA. The FAO Legal Office gave the opinion that a system like that used by the OIE was not within the mandate of the IPPC nor the FAO. The Commission was therefore informed that the possibilities remain for either external certification or an information system.

The CPM-4 (2009)<sup>28</sup>:

1. *Considered* options presented by the OEWG noting legal issues associated with the establishment of PFAs;
2. *Agreed* that members could submit information on established PFAs to be posted on the IPP.

### 2.5.3 Implementation

The issue of implementation (compliance) was first discussed at the CPM-1 (2006)<sup>29</sup>, which:

1. *Emphasised* that the issue of compliance needed to be investigated carefully, particularly with respect to legal issues and compatibility with the IPPC Dispute Settlement process;
2. *Decided* to place this subject on the agenda of the SPTA for consideration with the view to making recommendations to the CPM-2 (2007).

### 2.5.4 Electronic certification

The ICPM-7 (2005)<sup>30</sup>:

1. *Agreed* to establish a working group to formulate policy recommendations regarding electronic certification to be presented to the SPTA for submission to the ICPM-8 (CPM-1 (2006));

<sup>28</sup> CPM-4 (2009), Paragraph 213

<sup>29</sup> CPM-1 (2006), Paragraph 164

<sup>30</sup> ICPM-7 (2005), Paragraph 42

2. *Adopted* the terms of reference in Appendix III<sup>31</sup>.

The CPM-1 (2006)<sup>32</sup>:

3. *Noted* the challenges associated with the implementation of electronic phytosanitary certification;

4. *Agreed* that the IPPC Secretariat keep informed of the challenges associated with the global introduction/implementation of electronic phytosanitary certification and assist with addressing these as required and appropriate, and also develop cost estimates for the implementation of electronic certification;

5. *Endorsed* the basic principle of the policy recommendations made by the working group and noted the recommendations on standardization as made by the working group;

6. *Stated* that the IPPC Secretariat should encourage and be actively involved in the UN/CEFACT process on electronic certification for phytosanitary purposes; and

7. *Stated* that contracting parties or NPPOs shall bilaterally agree on the use of electronic certification.

At the CPM-5 (2010) the IPPC Secretariat presented an update on international developments with regard to electronic certification. The outcome proposed was a global standard for phytosanitary electronic certification. The Secretariat advised that reference throughout the paper to 'Annex' needed to be changed to 'Appendix' as inclusion of electronic certification as an Appendix in ISPM 12 was not intended to create obligations for members.

The CPM-5 (2010)<sup>33</sup>:

1. *Considered* the report on Phyto eCert and *recommended* improvements in the proposed Phyto eCert work programme as presented in Appendix 18<sup>34</sup>

3. *Adopted* the proposed work programme with Phyto eCert to be included as an appendix to the revised ISPM 12, with the provision that the revision of ISPMs 12 (and 7) and their adoption should not await or be delayed by the parallel work on electronic certification, and to be made available on the IPP as an Phyto eCert toolkit

4. *Agreed* to submit this appendix to ISPM 12 through the standard setting process

5. *Agreed* to an annual open-ended working group on Phyto eCert for the next two years, to be funded from extra-budgetary resources, to facilitate the exchange of experiences and improve collaboration and cooperation between interested countries

6. *Welcomed* further initiatives by the Technical Consultation among RPPOs to encourage countries to participate fully in the development of the Phyto eCert programme and make resources available as appropriate.

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<sup>31</sup> ICPM-7 (2005)

<sup>32</sup> CPM-1 (2006), Paragraph 140

<sup>33</sup> CPM-5 (2010), Paragraph 144

<sup>34</sup> CPM-5 (2010)



### 2.5.5 Acceptance of correspondence in electronic format

At the CPM-2 (2007), the IPPC Secretariat introduced an initiative to identify NPPOs and RPPOs relying on correspondence provided electronically (posted on the IPP and sent by e-mail) and therefore no longer needing hard copies of correspondence mailed to them.

The CPM-2 (2007)<sup>35</sup>:

1. *Requested* contact points in NPPOs and RPPOs to inform the Secretariat by mail before 31 August 2007... if they no longer required hard copies of correspondence.

It was noted that files would be posted on the IPP as word processing files and that each NPPO contact point would be allowed to have several e-mail addresses which could be notified of the posting of documents on the IPP. It was suggested that contracting parties should have the choice of either being notified of the availability of documents on the IPP, or receiving documents by e-mail<sup>36</sup>.

The CPM-4 (2009)<sup>37</sup>:

1. *Encouraged* members to opt to receive electronic correspondence only, either by choosing that option on the IPP or by sending the model text in Appendix 19 to the Secretariat.

The CPM-5 (2010)<sup>38</sup>:

1. *Encouraged* members to opt to receive electronic correspondence only as soon as practically possible, either by choosing that option on the IPP or by sending the model text in the Commission document CPM 2010/13.
2. *Agreed* that all IPPC communications will be paperless (i.e. electronic only) from 31 December 2012.
3. *Agreed* that after 31 December 2012, individual contracting parties may request in writing paper copies of IPPC communications and documents.

Model text for a letter on acceptance of correspondence in electronic format is given in Annex 5 to this manual.

<sup>35</sup> CPM-2 (2007), Paragraph 115

<sup>36</sup> CPM-2 (2007), Paragraph 114

<sup>37</sup> CPM-4 (2009), Paragraph 158

<sup>38</sup> CPM-5 (2010), Paragraph 120, and noted at CPM-6 (2011), Paragraph 12

## 2.6 Administrative bodies

Several administrative bodies have been established to carry out various activities under the IPPC. These include the Commission, the Commission Bureau, the IPPC Secretariat and subsidiary and ad-hoc bodies.

### 2.6.1 The Commission on Phytosanitary Measures

The 1997 amendments to the IPPC include provision for a Commission on Phytosanitary Measures (CPM) to promote the full implementation of the objectives of the Convention (see Article XI). The Commission was preceded by the Interim Commission on Phytosanitary Measures (ICPM), which acted until the 1997 revised text of the IPPC came into force on 2 October 2005. The last session of the Interim Commission took place in April 2005 (ICPM-7) and the first session of the Commission in April 2006 (CPM-1).

The CPM-1 (2006)<sup>39</sup>:

1. *Noted* that decisions taken by the FAO Conference and the Interim Commission were valid until the Commission decided otherwise.

The Commission provides a global forum for discussion of phytosanitary issues and allows for contracting parties to take decisions on strategic planning and the work programme. The Commission meets annually to implement the objectives of the Convention. Its functions and operation are detailed in Article XI of the IPPC (see Section 1.1)<sup>40</sup>.

#### *Vision and mission of the Commission*

With the revision of the Commission Strategic and Business Plans in 2006 and 2009 (see Section 2.4), the Commission, at the CPM-2 (2007) and the CPM-4 (2009), adopted vision and mission statements as part of the Commission Business Plan<sup>41</sup>, as follows:

#### *Commission Vision*

The world's plant resources protected from pests

#### *Commission 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

A Mission Statement was first adopted by the ICPM-3 (2001) and revised and adopted by the CPM-1 (2006)<sup>42</sup> as follows:

#### *Mission Statement*

To secure common action in protecting the world's cultivated and natural plant resources from the spread and introduction of plant pests, while minimizing interference with the international movement of goods and people. This is accomplished by providing a global forum for promoting the full implementation of the International Plant Protection Convention through the:

- development, adoption and monitoring of the implementation of International Standards for Phytosanitary Measures;

<sup>39</sup> CPM-1 (2006), Paragraph 18

<sup>40</sup> For reference purposes, it is noted that, pending entry into force, specific functions had been assigned to the ICPM by FAO Conference in 1997 in the Terms of Reference for the ICPM, Appendix H of the report of FAO Conference, 1997.

<sup>41</sup> CPM-2 (2007), Paragraph 120, as part of the CPM Business Plan

<sup>42</sup> CPM-1 (2006), Appendix XVI





- exchange of information;
- provision of dispute settlement mechanisms;
- development of phytosanitary capacity of Members by promoting the provision of technical assistance;
- maintenance of an effective and efficient administrative framework;
- promotion of IPPC and cooperation with other relevant international organizations.

The points listed above are addressed by the medium term goals (2007-2011) of the Commission Business Plan.

### ***Rules of procedure of the Commission***

The Rules of Procedure of the Commission were adopted by the CPM-1 (2006)<sup>43</sup>, with Rules II.1 and VII subsequently being revised by the CPM-2 (2007).

#### ***Rule I: Membership***

1. 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”).

2. 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***

1. The Commission shall elect a Chairperson, not more than two Vice-Chairpersons 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. 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.

2. 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.

<sup>43</sup> CPM-1 (2006), Appendix II, with amendments to Rules II.1 and VII adopted at CPM-2 (2007), Appendix 7



3. 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.
4. The Chairperson, in the exercise of his/her functions, remains under the authority of the Commission.

***Rule III: Secretary***

1. 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***

1. 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.
2. Sessions of the Commission shall be convened by the Chairperson of the Commission, after consultation with the Director-General.
3. 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.
4. 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.
5. Meetings of the Commission shall be held in public unless the Commission decides otherwise.
6. A majority of the members of the Commission shall constitute a quorum.

***Rule V: Agenda and documents***

1. The Director-General, in consultation with the Chairperson of the Commission, shall prepare a provisional agenda.
2. The first item on the provisional agenda shall be the adoption of the Agenda.
3. Any member of the Commission may request the Director-General to include specific items in the Provisional Agenda.
4. 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.
5. 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.
6. 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.



7. 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.

8. 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**

1. Subject to the provisions of Article II of the Constitution of the Organization, each member of the Commission shall have one vote.

2. 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.

3. 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.

4. 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.

5. When the Commission so decides, voting shall be by secret ballot.

6. 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**

1. Any country that is not a contracting party but is a Member of the Organization, as well as the United Nations, any of its specialized agencies and the International Atomic Energy Agency, may, upon request communicated to the Director-General, attend sessions of the Commission, and its subsidiary bodies, as an observer. Any such observer may submit memoranda and participate in discussions without a vote. Any country that is not a contracting party and is not a Member of the Organization, but is a Member of the United Nations, any of its specialized agencies or the International Atomic Energy Agency, may, upon request and subject to the provisions relating to the granting of the Observer Status in respect of Nations as provided for by the Basic Texts of the Organization, be invited to attend, in an observer capacity, sessions of the Commission or of its subsidiary bodies. The status of such Nations shall be governed by the relevant provisions of the Basic Texts of the Organization.

2. Representatives of Regional Plant Protection Organizations shall be invited to attend all sessions of the Commission and its subsidiary bodies as observers. Any such observers may submit memoranda and participate in discussions without a vote.

3. Subject to the provisions of paragraph 4 of this Rule, the Director-General, taking into account guidance given by the Commission, may invite international (intergovernmental and non-governmental) organizations to attend sessions of the Commission in an observer capacity.

4. Participation of international organizations in the work of the Commission and the relations between the Commission and such organizations shall be governed by the relevant provisions of the Constitution and other pertinent Basic Texts of the Organization. All such relations shall be dealt with by the Director-General, taking into account guidance given by the Commission.

5. Any country that is a contracting party may attend subsidiary body meetings as an observer, upon request to the Secretary of the IPPC.

***Rule VIII: Records and reports***

1. 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.
2. 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.
3. 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.
4. 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***

1. The Commission may establish such subsidiary bodies as it deems necessary for the accomplishment of its functions.
2. The terms of reference and procedures of the subsidiary bodies shall be determined by the Commission.
3. 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.
4. The representatives of subsidiary bodies shall be specialists in the fields of activity of the respective subsidiary bodies.
5. 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.
6. Each subsidiary body shall elect its own officers, unless appointed by the Commission.

***Rule X: Development and adoption of International Standards***

1. The procedures for the development and adoption of international standards are set out in the Annex I to these Rules (see [Part 3](#) of this manual) and shall form an integral part thereof.
2. 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***

1. 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.

2. 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***

1. 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.

2. 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***

1. 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.

2. 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***

1. These Rules and any amendments or additions thereto shall come into force upon approval by the Director-General of the Organization.

## **2.6.2 The Commission Bureau (composition, functions, and election)**

Rule II of the Rules of Procedure for the Commission (see [Part 2](#)), as revised by the CPM-2 (2007)<sup>44</sup>, states:

1. The Commission shall elect a Chairperson, not more than two Vice-Chairpersons 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. 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.

Rule II of the Rules of Procedure for the Commission also provides for the election of the Commission Bureau. The CPM-2 (2007)<sup>45</sup> revised this rule in order to enlarge the Commission Bureau.

The CPM-2 (2007) also:

<sup>44</sup> CPM-2 (2007), Appendix 7, Rule II

<sup>45</sup> CPM-2 (2007), Paragraph 96

3. *Noted* that a Commission Bureau (consisting of one Chair, two Vice-Chairs and four additional members) would be elected at the CPM-3 (2008);
4. *Agreed* that the Commission Bureau would develop its rules of procedures for adoption at a later Commission.

The election of officers of the Commission Bureau consists of two components – nominating and voting. Voting is addressed in Rule VI of the Commission Rules of Procedure (see [Part 2](#)).

Although offering some guidance on applicable procedures (e.g. setting a two-thirds required majority for decisions), this rule provides that "the provisions of Rule XII of the General Rules of the Organization (FAO) shall apply *mutatis mutandis* to all matters not specifically dealt with under this Rule." As such, the exact procedures regarding voting for officers, including the Chairperson, may be found in Rule XII of the General Rules of the Organization (FAO) (refer to [Annex 6](#) to this manual).

### 2.6.3 IPPC Secretariat

The IPPC Secretariat was established in 1992 within the Plant Protection Service of the FAO with the responsibility of coordinating the work programme for the global harmonization of phytosanitary measures under the IPPC.

The IPPC Secretariat:

- administers the Commission work programme together with the Commission Bureau;
- implements the policies and activities of the Commission, including the development of ISPMs;
- publishes information relating to the IPPC;
- facilitates information exchange between contracting parties to the IPPC; and
- coordinates with the technical cooperation programmes of the FAO to provide technical support matters relating to the IPPC, particularly to least developed nations.

### 2.6.4 Informal Working Group on Strategic Planning and Technical Assistance (Ad-hoc body)

The ICPM-2 (1999) recommended that as part of the work programme of the Interim Commission in 2000, interested Members develop a strategic plan for the work of the Interim Commission. The Technical Consultation on Strategic Planning which met in 2000 later became the Informal Working Group on Strategic Planning and Technical Assistance (SPTA). Although it is an informal working group, the SPTA has subsequently been requested by the Interim Commission and Commission to undertake specific activities related to planning and prioritizing elements of the work programme, including:

- technical assistance;
- information exchange;
- prioritizing topics for standards;
- funding issues; and
- decisions regarding liaising with international, regional or other (e.g. research) organizations.

The ICPM-6 (2004)<sup>46</sup>:

1. *Recognized* the very important role the SPTA has played and its contribution to increasing the profile of and the funding for the IPPC.
2. *Recognized* that the linkage between Strategic Planning and Technical Assistance was important.

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<sup>46</sup> ICPM-6 (2004), Paragraph 84



3. *Recognized* that the open-ended nature of the working group had allowed the input of those particularly interested in this subject and had allowed flexibility.
4. *Noted* that there were some shortcomings in the current operation of the SPTA.
5. *Agreed* that a proposal on a sound structure be developed by the Focus Group, analyzed by the SPTA and be submitted to the ICPM-7 (2005).
6. *Decided* that the Secretariat facilitate the participation of two representatives from developing countries per FAO region at the next SPTA.
7. *Agreed* that an Expert Working Group is to be convened to consider technical assistance.
8. *Agreed* that the SPTA maintain overall administrative and financial oversight of technical assistance matters.

The CPM-1 (2006)<sup>47</sup> decided that the SPTA should be formalized with the enlarged Commission Bureau forming the core group. The CPM-2 (2007)<sup>48</sup> recommended that the SPTA should remain informal and open-ended to ensure that the whole membership could participate in its work on an equal basis.

The CPM-2 (2007)<sup>49</sup>:

2. *Agreed* that the SPTA should meet in October 2007 with the same structure as in 2006 (i.e. core group of 10 members; chairpersons of the subsidiary bodies for the relevant agenda points; other interested persons from contracting parties); . . .
4. *Agreed* that the SPTA constitutes the “others as approved by the Commission” as written in Rule II.1 of the rules of procedure of the Commission.

### ***Terms of reference and rules of procedure for the SPTA***

The CPM-2 (2007)<sup>50</sup> adopted the Terms of Reference and Rules of Procedure for the SPTA:

#### ***Terms of Reference for the SPTA***

##### ***1. Scope of the SPTA***

The SPTA is to assist the Commission with:

- business and strategic planning
- technical assistance
- administrative matters (such as financial matters, staffing etc.)
- procedural matters.

##### ***2. Objective***

The objective of the SPTA is to formulate recommendations to the Commission or its Subsidiary Bodies in the areas covered by its scope and to advise the Commission on issues referred to it.

##### ***3. Structure of the SPTA***

The SPTA will consist of:

- the Commission Bureau

<sup>47</sup> CPM-1 (2006), Paragraph 105

<sup>48</sup> CPM-2 (2007), Paragraph 103

<sup>49</sup> CPM-2 (2007), Paragraph 104

<sup>50</sup> CPM-2 (2007), Appendix 9

- Chairpersons of the Subsidiary Body on Dispute Settlement and the Standards Committee
- other interested persons from contracting parties.

Wherever possible, members of the SPTA fund their own travel and subsistence to attend meetings. Members of the Commission Bureau and the Chairpersons of the subsidiary bodies may request financial assistance from the FAO for meetings, with the understanding that the priority for financial assistance, if available, is given to developing country participants.

#### ***4. Functions of the SPTA***

The SPTA will meet its objectives through carrying out the following functions:

- periodic review of the Commission Business Plan and its strategic goals, objectives, and outcomes
- review of the annual operational plan
- review of technical assistance activities
- review of information exchange activities
- review of resource issues
- recommendation for strategic priorities for new standards
- undertaking of financial planning
- development of appropriate procedures
- consideration of new and emerging issues
- any other activity referred by the Commission.

#### ***5. IPPC Secretariat***

The Secretariat provides administrative, technical and editorial support as required by the SPTA. The Secretariat is responsible for reporting and record keeping regarding the activities of the SPTA.

#### ***Rules of Procedure for the SPTA***

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

Membership of the Commission Bureau is established according to the rules of procedure of the Commission.

Chairpersons of the Subsidiary Body on Dispute Settlement and the Standards Committee are elected according to the respective rules of procedure for those bodies. Upon request of the Chairperson of a Subsidiary Body, the Vice-Chairperson of that body may replace its Chairperson at any meeting of the SPTA.

Other interested persons from contracting parties should have knowledge of plant protection and should be interested in achieving the objectives of the SPTA. They should indicate their intent to participate in a meeting of the SPTA no less than 30 days prior to the beginning of the meeting.

##### ***2. Chairperson***

The Chairperson will be elected by the Commission Bureau from the members of the Commission Bureau.

##### ***3. Meetings***

The SPTA meets at least once a year. Timing of the meetings should be at least 4 months prior to the Commission meeting, to allow report preparation and the undertaking of specified activities before the next Commission meeting.



#### **4. Decision making**

The SPTA strives for consensus on all issues related to recommendations and advice to the Commission or its subsidiary bodies. Where no consensus can be reached, the Commission or the relevant subsidiary body is informed of the situation.

#### **5. Documentation, records and reports**

The Secretariat, in consultation with the Chairperson and the Vice-Chairpersons of the Commission, prepares a provisional agenda and makes it available to the members of the SPTA no less than 45 days prior to each meeting.

Other meeting documents are normally made available as soon as possible after the preparation of the provisional agenda and preferably no less than 14 days prior to the meeting.

The Secretariat keeps the records of the SPTA and prepares a report for the Commission.

#### **6. Language**

The business of the SPTA should be conducted in English.

#### **7. Amendment**

Amendment to the terms of reference and the rules of procedure for the SPTA may be developed and adopted by the Commission as required.

### **2.6.5 Participation of experts in IPPC bodies**

#### ***Statement of commitment***

At the CPM-2 (2007)<sup>51</sup>, the IPPC Secretariat introduced a statement of commitment form. The purpose of the document was to ensure that individuals nominated for IPPC bodies such as the Standards Committee, expert working groups and technical panels were aware of the work and expectations involved in membership of the bodies before accepting the nomination.

The CPM-2 (2007)<sup>52</sup>:

1. *Agreed* to the concept of a written statement of commitment from nominees.

The form should be sent to the Secretariat at the time of nomination, before final selection of the membership of the body<sup>53</sup>.

The statement of commitment form is given in [Annex 7](#) to this manual.

#### ***Declaration of interests***

In 2006, the Director-General of the FAO required that a form be submitted by those experts selected by the Director-General or by the IPPC Secretariat to take part in FAO meetings.

The CPM-2 (2007)<sup>54</sup>:

*Noted* the declaration of interests form for experts participating in IPPC meetings . . .

Experts nominated or selected by a government or intergovernmental organization do not have to complete and submit the form. For the IPPC, the use of the declaration form is mostly limited to those experts chosen in their individual capacity by the IPPC Secretariat<sup>55</sup>.

<sup>51</sup> CPM-2 (2007), Paragraph 106

<sup>52</sup> CPM-2 (2007), Paragraph 109

<sup>53</sup> CPM-2 (2007), Paragraph 107

<sup>54</sup> CPM-2 (2007), Paragraph 112





The declaration of interests form is provided in [Annex 8](#).

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<sup>55</sup> CPM-2 (2007), Paragraph 110



## 2.7 Other Commission Business

### 2.7.1 Interpretation of the term “Public Officer”

This topic on the meaning of “public officers” or “who is authorised to sign a phytosanitary certificate” had been placed on the CPM-4 (2009) agenda at the request of Latvia who provided a position paper by the European and Mediterranean Plant Protection Organization (EPPO) indicating that “EPPO Council can not accept that interpretation of the term “Public Officer” allows for issuance of PCs by private persons or companies”. The EPPO position paper was included as an appendix to the CPM-4 (2009) background paper.

The background paper outlined the discussions on this topic that had taken place in various IPPC fora since 1996 and provided criteria for a possible interpretation of the term “Public Officer”.

Members agreed that the term “public officer” is already sufficiently defined in Article V.2 (a) of the Convention, ISPM 7 (*Export certification system*), and in ISPM 12 (*Guidelines for phytosanitary certificates*) and should not be modified or changed, nor should any change be made to ISPM 12 in this regard.

The CPM-4 (2009)<sup>56</sup>:

*Agreed that the term “public officer” is already sufficiently defined in the IPPC, ISPM 7 (Export certification system) and ISPM 12 (Guidelines for phytosanitary certificates) therefore no further interpretation is required and there should be no changes made to ISPM 12 in this regard.*

### 2.7.2 Describing the number of member interventions to be recorded in the Commission Report

At its meeting in June 2009, the Commission Bureau discussed the terms for describing the number of member interventions to be recorded in the Commission reports. It was noted that when decisions are made by consensus, standardized terms to describe numbers of member interventions should not be necessary<sup>57</sup>.

Decision: The Commission Bureau agreed to use the terms “one” (1), “few” (2—4), or “some” (>4) to record number of member interventions in the Commission reports.

### 2.7.3 Description of the working papers made available to the Commission members before and after the start of the meeting and archiving of the documents

#### Working papers made available to the Commission members before the meeting

DOC, INF and REV are available to the Commission members in advance of the meeting. All are posted on the IPP, and most will also have been distributed through FAO and IPPC distribution systems. According to the FAO rules for the Commission meetings, these papers should be distributed at least 6 weeks prior to the meeting in all languages, although this is not always possible in practice.

#### DOC (e.g. CPM 2010/2)

A DOC always contains one or several decisions. The Commission is invited to do something, e.g. approve, adopt, note etc. If there needs to be a decision on a topic, a DOC should be prepared, and not an INF. This is the most frequent type of paper prepared for the Commission. All DOCs should be available well in advance of the meeting so that members have time to consider the decisions proposed.

<sup>56</sup> CPM-4 (2009), Paragraph 196

<sup>57</sup> CPM Bureau meeting June 2009, Paragraph 72

Languages: DOCs are always translated in all languages. In special cases, an annex might remain in one language (e.g. if it relates only to the Spanish version of an ISPM).

Typical DOC: papers requiring the adoption of a standard or procedure, policy papers, reports to be noted.

### ***INF (e.g. CPM 2010/INF/2)***

An INF never contain decisions. It usually provides background information on an activity, a programme, etc. Calling a paper INF signals to the Commission members that no decision will be required on that particular topic. In other words it is not possible to require a decision on an INF during the session, as members would not have had time to prepare that decision.

Languages: The Secretariat, usually in consultation with the Chairperson, makes the determination of whether to translate INFs depending on the cost of translation, the need for all members to have it in their language, the origin of the paper. In general, INFs from the Secretariat (e.g. reporting on the activities of a group) are translated. INFs provided by contracting parties or organizations are usually made available in the language(s) in which they were provided.

Specific case of papers provided closer to the meeting. Some countries/organizations sometimes provide papers containing advanced reactions on some DOCs/agenda items. Such papers might be made available as INF, even if they are provided close to the meeting, in order to ensure that all members are prepared and to facilitate discussions. This is decided by the Secretariat in consultation with the Chairperson. The decision whether to produce them as INF or CRP will depend on whether members will have time to review them before the meeting (e.g. the week just before the Commission may not give members adequate time for review).

Typical INF: report by the SC or the Commission chairperson, remarks sent by countries on an agenda point.

### ***Working papers made available to the Commission members after the start of the meeting***

#### ***CRP (e.g. CPM 2010/CRP/2)***

A CRP (Conference Room Paper) is a paper made available after the Commission begins, and which might be for information or decision. A CRP is printed and distributed to all participants to the plenary. A CRP does not contain specific decisions, but the Chairperson always indicates to the session what the paper is and what is intended. The decision to distribute a paper as a CRP is taken by the Secretariat in consultation with the Chairperson, i.e. requests from member or organizations for a paper to be distributed should always be examined with the Chairperson prior to producing a CRP.

There are two main cases of CRPs:

- A procedure/text/decision in a DOC is discussed in plenary, but either there are many changes (difficult to follow orally) or a group is mandated to revise the text (evening session, friends of the chair). A CRP is produced is presented to the Commission for the decision as stated in the original paper. This kind of CRP is often translated, but this is a decision to be taken by the Secretariat in consultation with the Chairperson. In particular, if the CRP modifies a decision proposed in a DOC and is not translated, then the modified decision will be read out so that it can be interpreted in all languages.
- A country or organizations provides comments or information (e.g. comments on draft ISPMs compiled just before the Commission, text redrafted in relation to a DOC on the agenda, report from an organization provided after the start of the meeting). These CRPs are normally presented in the language they were provided.



### **REV (CPM 2010/2/REV.1)**

A REV is a revision of a DOC, an INF or a CRP, produced after the first version was made available to the Commission members (e.g. to correct errors, to add information etc.). REV.s are usually produced in advance of the meeting. In a few cases, a REV might be circulated at the beginning of the meeting. The revisions carry the extension REV.1 (REV.2 etc.).

Languages: usually as for the original DOC, INF or CRP papers.

Typical REV: the provisional agenda, which might have several REV.s from the time the invitation is sent to the start of the meeting.

### **Support documents**

Unlike all other papers, support documents are not part of the Commission working papers and do not carry a number. They are presented in relation to some topics for discussion on the agenda (e.g. full reports of meetings) or to provide general information (e.g. guide to the IPPC, ISPMs, Convention itself). The Commission members need to actively obtain them (through the IPP, or at the documents desk).

### **Archiving**

The IPPC Secretariat archives the documents as described below:

All publications are deposited to the Store Room (2 hard copies) and the Secretariat (1 hard copy in English) archives, posted on the Corporate Document Repository – CDR- (pdf format), posted on the IPP (pdf and word format), saved to the I Drive under Library (pdf and word format) and added to the excel sheet Catalogue.

*Store Room bookcases:* two copies of each publication in each language are kept on the bookshelves.

*Secretariat cabinet:* one copy of each publication in English is stored.

IPPC archive preserves **all copies** of each publication related the current and last three years (e.g. 2009-2008-2007-2006) on dedicated shelves.

Once a new year starts, all the extra copies are thrown away (in this case, year 2006) and two copies of each publication in each language are kept in the Store Room and one copy of each publication in English in the Secretariat (cabinet).

Every year, on 28<sup>th</sup> February, a person responsible for maintaining the IPPC archive checks if the publications published in the previous year have been deposited to the Store Room and the Secretariat archives, saved to the I Drive, posted on the IPP, posted on the CDR and added to the excel sheet Catalogue.

## **2.7.4 Policy on the use of the IPPC Logo**

At the Tenth Meeting of the Commission Informal Working Group on Strategic Planning and Technical Assistance (SPTA), October 2008 the Secretariat provided an update on activities and invited participants to deliberate on a paper outlining the appropriate use of the IPPC Logo/brand. The paper highlighted potential for abuse of the logo and offered ways for regulating its use.

The SPTA discussed the problem of enforcing policies of this kind and suggested it be used by the Secretariat as guidance and to place it in the Procedure Manual.

The following draft policy on the use of the IPPC logo was provided for consideration by the SPTA:

- The IPPC logo can be used in/on all materials related to activities endorsed by the Commission or undertaken by the IPPC Secretariat.

- The IPPC logo can only be used in/on training materials, seminar presentations, etc where these are endorsed or supported by the Commission or the IPPC Secretariat.
- RPPOs should be allowed to use the IPPC logo on/in materials that have a direct relevance to IPPC. Where these materials produced by the RPPOs are not specifically endorsed by the Commission or the IPPC Secretariat it should be made clear that the logo does not imply endorsement by the IPPC, (for example with a footnote in the document).
- The IPPC logo is not authorized for use on any commercial products.
- Private consultants are not authorized to use the logo unless undertaking an activity directly endorsed or supported by the Commission or the IPPC Secretariat.
- Speakers at seminars, conferences and training courses should not use the logo in a way that implies they are speaking on behalf of the IPPC unless they have been specifically authorized to do so.

**Table 2.** Examples of documents or activities and the use of the logo

Type of document or activity	Produced by	Status	Use IPPC logo?
Commercial products	Commercial companies	Not endorsed by Secretariat/CPM	No
ISPMs, IPPC meeting reports etc	IPPC Secretariat	Endorsed/authorized by Secretariat/CPM	Yes
Procedures, standards, reports produced by RPPOs	RPPOs	Not endorsed by Secretariat/CPM	Yes –but qualified
Other international organizations to show consistency with IPPC	International organizations	Depends on specific use	Only if specific use is authorized by the CPM
Speakers/seminars/training courses authorized by IPPC	Individuals on behalf of IPPC	Endorsed/authorized by Secretariat/CPM	Yes
Providers of trainers not authorized by IPPC	Individuals/training organizations	Not authorized	No
Conferences/meetings where the IPPC provides some support	Not IPPC	Activity not endorsed/authorized by Secretariat/CPM	Yes – but qualified
Official training and resource materials	Individuals/organizations/member countries/commercial companies	Endorsed by Secretariat/CPM	Yes
Funding applications	Individuals/organizations	Not endorsed by Secretariat/CPM	No

The SPTA was invited to develop a draft policy on the use of the IPPC logo for endorsement at the CPM-4 (2009).



## 2.8 Commission recommendations

At the CPM-3 (2008) the proposal on how decisions could be presented in a consistent manner and numbered in a way that could be tracked for later review, change or deletion was introduced. It was noted that decisions were contained in Commission reports and report appendices, which could be hard to track.

It was indicated that procedural decisions would not fall into the category of recommendations and would continue to be added to the Procedure Manual.

Two working groups discussed this issue and felt that criteria on the development and adoption of IPPC recommendations should be developed at the earliest opportunity.

The CPM-3 (2008)<sup>58</sup>:

1. *Considered* the format for Commission recommendations regarding long term operational and administrative recommendations;
2. *Requested* the further development of the proposal and format, taking into consideration the comments made by the Commission.

### 2.8.1 Replacement or reduction of methyl bromide as a phytosanitary measure

The CPM-3 (2008) discussed whether it was appropriate to adopt the draft as a policy, a recommendation or an ISPM. Two working groups were held. The working group recommended adopting the document as an IPPC Recommendation with a reference in the text to IPPC Article XI.2(g), which refers to the adoption of recommendations for the implementation of the Convention as necessary. The working group also indicated that the recommendation should be published on the IPP independently from the Commission reports. The working group finally suggested that once criteria on the development and adoption of IPPC recommendations were developed, it may be necessary to review the format of the methyl bromide recommendation.

The CPM-3 (2008)<sup>59</sup>:

1. *Adopted* IPPC Recommendation: *Replacement or reduction of the use of methyl bromide as a phytosanitary measure* (Appendix 6), and *agreed* that its format would be reviewed once criteria for IPPC recommendations were available.

At the CPM-4 (2009) the paper outlining a proposal for the presentation of adopted Commission recommendations was presented. It outlined the discussion on this topic that had taken place in the Commission Bureau and the SPTA and described the different types of matters that are put forward to the Commission for agreement, adoption or decision.

The paper proposed that decisions on long-term operational matters be named “Recommendations”, that a harmonized format for these “Recommendations” be used and that such “Recommendations” be recorded in a separate section of the IPPC Procedure Manual and that they be posted separately on the International Phytosanitary Portal.

The CPM-4 (2009)<sup>60</sup>:

2. *Adopted* the format as presented in Appendix 22, noting that the new format does not change the way in which agreement is reached on Commission recommendations.

<sup>58</sup> CPM-3 (2008), Paragraph 172

<sup>59</sup> CPM-3 (2008), Paragraph 80

<sup>60</sup> CPM-4 (2009), Paragraph 193

3. *Noted* that existing Commission procedures provide a process for the development and adoption of Commission recommendations. This process involves:

- a document is presented to the annual meeting of the Commission in accordance with Rule V of the Rules of Procedure of the Commission;
- the Commission considers the document and decides whether it should be adopted as a recommendation;
- if a document needs further review, the Commission decides to send it to the appropriate body depending on the content. The revised document is sent to the next meeting of the Commission for further consideration and adoption;
- adopted recommendations are numbered and formatted by the Secretariat and added to the compiled Commission Recommendations.

### 2.8.2 Format of Commission Recommendations<sup>61</sup>

CPM Recommendation [CPM-x/y]

Title: [A title which provides an indication of the subject matter, e.g. Role of IPPC contact points]

Background: [Information to provide context and a reference to the Commission report paragraph and appendix where the text can also be found.]

Addressed to: [Contracting parties or National Plant Protection Organizations or the Secretariat or a combination of these, depending on the subject matter.]

Recommendation: [The text of the recommendation should have action verbs, such as note, agree, decide, urge in the part of the recommendation which enunciates it. It may have subheadings to indicate a separation between different elements of the recommendation, as appropriate.]

Recommendation(s) superseded by the above: [The recommendation should identify when a previous recommendation or decision is superseded by the present one or should state that the recommendation was repealed and provide the Commission reference.]

At the CPM-5 (2010) the paper prepared by the Commission Chairperson was presented. The paper highlighted Interim Commission and Commission decisions which could be envisaged as Commission Recommendations, and provided the format for such recommendations. The paper listed the 6 decisions which could become Commission recommendations. It was proposed that these recommendations would be reviewed, with a view to updating them.

The CPM-5 (2010)<sup>62</sup>:

1. *Considered* the previous discussions, considerations and decisions regarding Commission Recommendations.
2. *Noted* the scope of Commission Recommendations.
3. *Agreed* to revoke the ICPM-5 (2003) decision on the recommendation on the future of methyl bromide for phytosanitary purposes and agreed that it has been replaced by the IPPC Recommendation on replacement or reduction of the use of methyl bromide as a phytosanitary measure adopted by the CPM-3 (2008).
4. *Requested* the Secretariat to review the remaining Interim Commission and Commission decisions (paragraph 19 of the Commission Document CPM 2010/3) with a view to updating them, if required, and to present them to the next Commission for approval as CPM-6 (2011) Recommendations.
5. *Requested* the Secretariat to publish the Commission Recommendation CPM-3/2008 on Replacement or reduction of the use of methyl bromide as a phytosanitary measure prominently on the IPP independently from the report of the CPM-3 (2008).

<sup>61</sup> CPM-4 (2009), Appendix 22

<sup>62</sup> CPM-5 (2010), Paragraph 136





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## PART 3 - STANDARD SETTING

Medium term goal 1: A robust international standard setting and implementation programme

### 3.1 Procedures for elaboration of ISPMs

The current standard setting procedures have been adopted as Annex 1 of the Rules of Procedure of the Commission in 2008<sup>63</sup>.

#### IPPC Standard Setting Procedure<sup>64</sup>

The process for the development of international standards for phytosanitary measures (ISPMs) is divided into four stages:

- Stage 1: Developing the List of topics for IPPC standards
- Stage 2: Drafting
- Stage 3: Member consultation
- Stage 4: Adoption and publication.

See Annex 9 to this manual for a pictorial scheme of the regular and standard setting process.



<sup>63</sup> The ICPM-2 (1999) originally adopted this section as Annex 1 to the Rules of Procedure for the Interim Commission. Upon adoption of the Rules of procedure of the Commission at the CPM-1 (2006), a revision of the procedures was initiated. A Focus Group reviewed the standard setting procedures and other procedures relating to standard setting and, following their consideration, were adopted by the CPM-3 (2008) as Annex 1 of the Rules of procedures of the Commission .

<sup>64</sup> The Standards Committee (SC) is now transiting into the extended time schedule for the development of additional ISPMs, which will normally mean a year for the development process but it is hoped that the extra time will allow more time for stewards to fully respond to member comments and also allow the full SC to study the SC-7 versions in more detail and seek technical input (SPTA 2009, paragraph 42)

## Stage 1: Developing the List of topics for IPPC standards

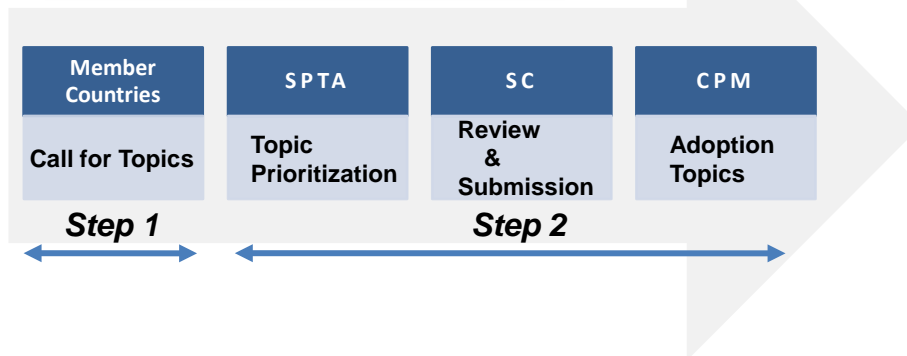
### *Stage 1, Step 1: Call for topics*<sup>65</sup>

The IPPC Secretariat makes a call for topics every two years. Detailed proposals for new topics or for the revision of existing ISPMs are submitted to the IPPC Secretariat.

### *Stage 1, Step 2: Adjustment and adoption of the List of topics for IPPC standards*

The Commission adjusts and adopts the List of topics for IPPC standards, taking into account the strategic priorities identified by the SPTA and the revised List of topics for IPPC standards proposed by the SC.

### Stage 1 Developing Topics



<sup>65</sup> SPTA (2009) stated the following strategic priorities should be considered when reviewing the IPPC standard setting work programme: attempt to cover all high risk pathways; develop treatments for commodity groups that are broadly applicable and useable; endeavor to ensure that topics (especially for treatments) are added considering the long term needs; the Standards Committee should give high consideration to the revision of at least one previously adopted standard each year to ensure continuous and timely updating; the Standards Committee should not add topics that are already generally covered by other topics on the work programme (or adopted ISPMs) (SPTA 2009, paragraph 44)

## Stage 2: Drafting

### Stage 2, Step 3: Development of a specification

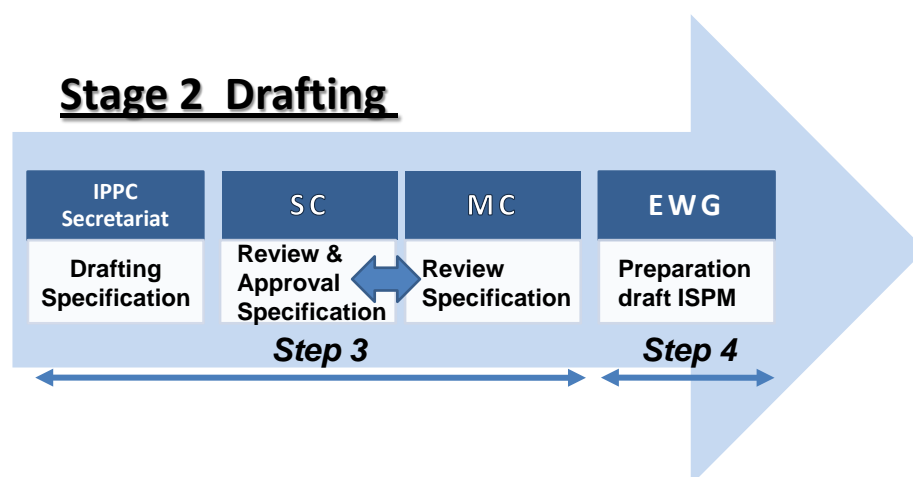
- For each topic or technical panel, the SC appoints a steward, who, in collaboration with the Secretariat, drafts a specification, taking into account the proposal for the topic.
- The SC reviews the specification and, once approved for member consultation, it is then made available on the International Phytosanitary Portal (IPP) for a 60 day consultation period
- Member countries and RPPOs are notified
- The IPPC Secretariat compiles the comments, posts them on the IPP and submits them to the steward(s) and the SC for consideration
- The specification is amended as necessary, finalized and approved by the SC and published on the IPP.

Consult the IPPC Style Guide for further information.

### Stage 2, Step 4: Preparation of a draft ISPM<sup>66</sup>

An expert drafting group (expert working group or technical panel) drafts or revises the standard in accordance with the relevant specification.

Regular process:	Special process <sup>67</sup> :
The resulting draft standard is submitted to the SC. The SC or SC-7 reviews the draft at a meeting and decides whether to send it for member consultation, or to return it to the steward(s) or to an expert drafting group, or to put it on hold. In the case where only the SC-7 meets, comments from any SC members will also be taken into account.	The resulting draft standard is submitted to the SC at any time by e-mail. The SC decides by e-mail whether to send it for member consultation, or to return it to the steward(s) or to an expert drafting group, or to place it on the SC agenda for a decision on how to proceed.



<sup>66</sup> This procedure refers to “draft ISPMs” and “standard” to simplify wording, but also applies to any part of an ISPM, including annexes, appendixes or supplements.

<sup>67</sup> The CPM-3 (2008) superseded the fast-track standard setting process adopted by the ICPM-6 (2004) with the “special standard setting process” as part of the IPPC Standard Setting Procedures. The CPM-3 (2008) agreed to move all draft standards under the fast-track process into the “special standard setting process” (CPM-3 (2008), Paragraph 86.2)



## Stage 3: Member consultation

### Stage 3, Step 5: Member consultation

Following clearance by the SC, the IPPC Secretariat sends the draft standard for member consultation to contracting parties, NPPOs, RPPOs and relevant international organizations for consultation. The draft standard is also posted on the IPP. The length of the consultation period is 100 days. Comments are submitted through the IPPC contact point using the IPPC Online Comment System (OCS).

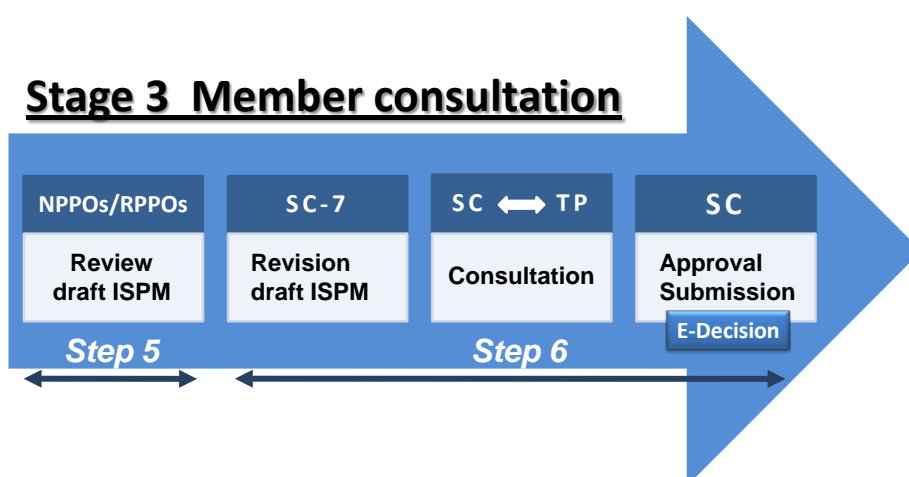
Regular process:	Special process:
The Secretariat compiles the comments and submits them to the steward and the SC for consideration.	The Secretariat compiles the comments and submits them to the technical panel and the SC for consideration (possibly by e-mail).

The Secretariat posts the compiled comments on the IPP at the time of submission to the SC.

### Stage 3, Step 6: Review of the draft ISPM prior to the Commission meeting

Regular process:	Special process:
<p>Considering the comments, the SC-7 and the SC revise the draft standard</p> <p>The SC decides whether to forward the modified draft to the Commission for adoption, or to put it on hold, return it to the steward or to an expert drafting group, or submit it for another round of member consultation.</p> <p>The SC report includes a summary of major issues discussed is produced as part of the SC report and posted on the IPP<sup>68</sup>.</p>	<p>If no one changes the draft text, the draft standard is submitted to the Commission for adoption.</p> <p>If the draft standard is changed as a result of comments, the draft is submitted to the SC. In consultation with the relevant technical panel, the SC examines the draft standard and, if appropriate, modifies it. The SC decides (possibly via e-mail) whether to forward the modified draft standard to the Commission for adoption, or some other action such as to put it on hold, return it to the steward or to a technical panel, or submit it for another round of member consultation.</p>

Draft ISPMs should be posted on the IPP in the languages of the organization as soon as possible and at least 6 weeks prior to the opening of the Commission meeting.



<sup>68</sup> The CPM-4 (2009) replaced the previous text of "A summary of major issues discussed and of SC reactions to substantive comments that were not incorporated into the standard is produced as part of the SC report and posted on the IPP" (CPM-4 (2009), Paragraph 126.6)

## Stage 4: Adoption and publication

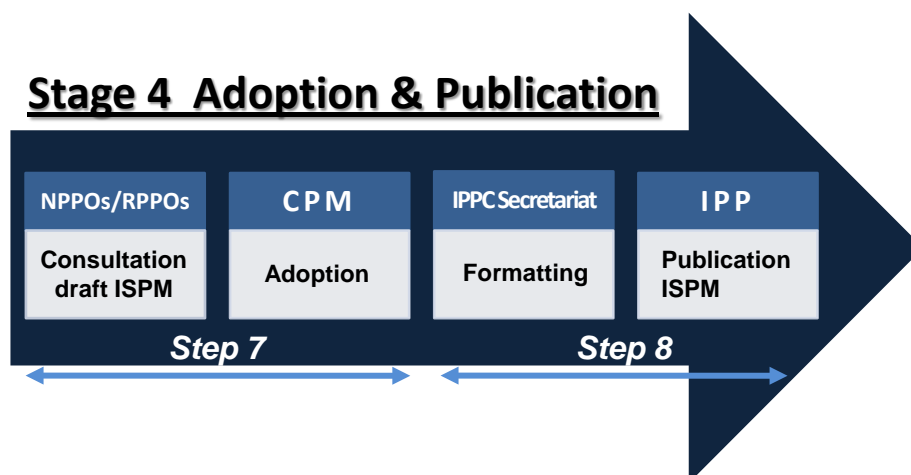
### Stage 4, Step 7: Adoption

Regular process:	Special process:
<p>Following approval by the SC, the draft standard is included on the agenda of the Commission meeting for adoption.</p> <p>The IPPC Secretariat sends the draft standard for member consultation to contracting parties, NPPOs, RPPOs and relevant international organizations for consultation at least 14 days before the Commission meeting, following guidelines.</p>	<p>The draft standard is included on the agenda of the Commission meeting for adoption.</p> <p>If no formal objection<sup>69</sup> is received up to 14 days prior to the Commission meeting, the draft standard will be adopted without discussion</p> <p>If a formal objection is received at least 14 days prior to the Commission meeting, the draft standard is returned to the SC. The SC decides, possibly via electronic means, how to proceed, including the possibility of submitting it to the Commission for adoption through the regular process.</p> <p>Formal objections should be posted on the IPP as soon as possible to ensure that contracting parties are aware of them before the Commission meeting.</p>

The Commission formally adopts the ISPM according to Rule X.2 of the Rules of Procedure of the Commission.

### Stage 4, Step 8: Publication<sup>70</sup>

The Secretariat publishes the ISPM, including posting it on the IPP.



<sup>69</sup> A formal objection should be a technically supported objection to the adoption of the draft standard in its current form, sent through the official IPPC contact point. The Secretariat would not make any judgement about the validity of the objection – an objection with some technical discussion of the issue would be accepted as a formal objection.

<sup>70</sup> CPM-3 (2008), Appendix 10



### 3.2 Standard Setting Procedures

In the 1990s, the IPPC began work on formulating International Standards for Phytosanitary Measures (ISPMs). The ISPMs are intended to harmonize phytosanitary measures applied in international trade. Their status is assured because the SPS Agreement stipulates that WTO members base their phytosanitary measures on international standards developed within the framework of the IPPC.

In November 1993, the Conference of the FAO, at its twenty-seventh session, approved the first ISPM. Since then, standards covering a wide range of topics have been adopted and others are in the draft or consultation phases of the standard-setting process. Existing standards are scheduled for periodic review and are then revised as necessary. [ISPMs currently adopted and in the consultation stage are listed in Annex 10 to this manual.](#)

International Standard for Phytosanitary Measures: An international standard adopted by the Conference of the FAO, the Interim Commission on Phytosanitary Measures or the Commission on Phytosanitary Measures, established under the IPPC<sup>71</sup>.

The process for developing an ISPM comprises four stages: determination of topics and priorities, drafting, consultation and approval ([see Section 3.1](#)). The regular standard setting process and the special standard setting process are presented in this section<sup>72</sup>.

#### *General considerations for standard setting*<sup>73</sup>

As part of the standard setting procedure, the following items should be considered when developing specifications and drafting standards, when providing and considering comments, and when adopting standards. These general considerations, although not presented as part of the standard setting procedure, form an integral part of the standard setting process.

- The standard setting procedure follows a transparent process (including, for example, publishing relevant documents as described in “Provisions for the availability of standard setting documents”, see Part 3.2)
- The ISPMs are of high quality and science based
- The ISPMs are developed according to the Commission-agreed priorities
- All contracting parties have a chance to be involved and to participate in the process, which includes appropriate funding mechanisms for participation in meetings. Domestic stakeholders are involved by the means of the contracting parties
- The standard setting procedure follows a consistent process
- The standard setting programme is implemented using the available IPPC standard setting resources and national or regional funding mechanisms
- The ISPMs are presented to the Commission for adoption after all stages are completed and when no extensive discussion is needed
- The hierarchical relationship between all groups, panels and committees involved in standard setting process is clear
- The standard setting procedures and processes facilitate the development and adoption of standards; they are flexible and periodically reviewed
- Unnecessary bureaucratic steps, which reduce efficiency without improving output, are avoided.

<sup>71</sup> Adopted as part of ISPM 5:1999 (Glossary of phytosanitary terms)

<sup>72</sup> The ICPM-6 (2004) adopted improvements on various elements of the standard setting process (ICPM-6 (2004), Appendix 9). The CPM-3 (2008) adopted further improvements to the standard setting process (CPM-3 (2008), Appendixes 7–10)

<sup>73</sup> General considerations for standard setting were adopted by the CPM-3 (2008) (CPM-3 (2008), Paragraph 92.1, Appendix 9)



### 3.2.1 Procedures for Identifying topics and priorities for ISPMs

The current procedures and criteria for identifying topics for inclusion in the List of topics for IPPC standards were adopted in 2008<sup>74</sup>.

#### *Procedures and criteria for identifying topics for inclusion in the List of topics for IPPC standards*

In establishing topics for standards to be included in the List of topics for IPPC standards, the following procedure should be used<sup>75</sup>:

#### *Biennial call*<sup>76</sup>

The IPPC Secretariat calls for submissions for topics to be included in the List of topics for IPPC standards. A call is made every two years and request submissions are sought from NPPOs, RPPOs, and the WTO-SPS Committee.

The call is posted in the International Phytosanitary Portal (IPP, [www.ippc.int](http://www.ippc.int)). Other organizations, such as the Convention on Biological Diversity, and the Commission's technical panels can also respond to the call.

The CPM-2 (2007) encouraged submission of topics for new or revised standards in response to the Secretariat's biennial call<sup>77</sup>.

#### *Submission of topics*

Detailed proposals for new topics or for the revision of existing ISPMs are submitted to the Secretariat ([IPPC@fao.org](mailto:IPPC@fao.org)) no later than 31 July of that year. The submission form for topics for IPPC standards is available on the IPP ([www.ippc.int](http://www.ippc.int)) (refer to Annex 12 to this manual). Submissions should address the applicable criteria for justification of the proposed topic, and, where possible, information should be indicated in support of the justification and that may assist in the prioritization. Submissions should preferably be made in an electronic format.

#### *List of topics prepared*

The IPPC Secretariat compiles a list of topics from the submissions received. Submissions from previous years not added to the List of topics for IPPC standards are not included in this compilation. They may be re-submitted, as appropriate.

#### *SPTA consideration*

The compiled list of detailed proposals is presented to the Informal Working Group on Strategic Planning and Technical Assistance (SPTA) and posted on the IPP. The SPTA reviews these submissions and identifies strategic priorities taking into account the criteria for justification of proposed topics (as listed below).

#### *Standards Committee consideration*

The Standards Committee (SC), taking into account the SPTA strategic priorities and using the criteria listed below, reviews the existing List of topics for IPPC standards and the compiled list of detailed

<sup>74</sup> The ICPM-4 (2002) adopted the procedures for identifying topics and priorities for standards. Revised procedures were adopted by the CPM-3 (2008). Modified procedures and criteria for identifying topics for inclusion in the IPPC standard setting work programme were adopted, following consideration of outcomes of a Focus Group (CPM-3 (2008), Paragraph 89.3 and Appendix 8)

<sup>75</sup> Other than proposals for subjects related to topics previously adopted by the Commission related to annexes and appendices to be worked on by technical panels.

<sup>76</sup> The ICPM-7 (2005) adopted and modified the procedure regarding future submissions of topics as follows: calls for topics should be made biennially; it should be made clear that a new list would be compiled every other year (ICPM-7 (2005), Paragraph 93.4)

<sup>77</sup> CPM-2 (2007), Paragraph 83



proposals. The SC proposes a revised List of topics for IPPC standards (including subjects<sup>78</sup>), adding topics from the compiled list, deleting or modifying topics from the existing List of topics for IPPC standards as appropriate, giving each topic a recommended priority (high or normal) and identifying those topics that may be processed under the special standard setting process.

### *Commission review*

The Commission reviews the List of topics for IPPC standards proposed by the SC and adjusts and adopts the List of topics for IPPC standards, including the priority for each topic and whether the topic may be processed under the special standard setting process. A revised List of topics for IPPC standards is attached as an appendix to the Commission meeting report.

### *Urgent standards*

In any year, when a situation arises in which a standard is required urgently, the Commission may insert such a topic (or subject) into the List of topics for IPPC standards.

### *Criteria for justification and prioritization of proposed topics*

#### *Core criteria*

- Contribution to the purpose of the IPPC as described in article I.1.
- Feasibility of implementation at the global level (includes ease of implementation, technical complexity, capacity of NPPOs to implement, relevance for more than one region).
- Clear identification of the problems that need to be resolved through the development of the standard.
- Availability of, or possibility to collect, information in support of the proposed standard (e.g. scientific, historical, technical information, experience).
- Supporting criteria
  - Practical
  - Feasibility of adopting the proposed standard within a reasonable time frame.
  - Stage of development of the proposed standard (is a standard on the same topic already widely used by NPPOs, RPPOs or a relevant international organization).
  - Availability of expertise needed to develop the proposed standard.
  - Economic
  - Estimated value of the plants protected.
  - Estimated value of trade affected by the proposed standard (e.g. volume of trade, value of trade, the percentage of Gross Domestic Product of this trade) if appropriate.
  - Estimated value of new trade opportunities provided by the approval of the proposed standard.
  - Potential benefits in terms of pest control or quarantine activities.
  - Environmental
  - 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.
  - Utility in the management of non indigenous species which are pests of plants (such as some invasive alien species).
  - Contribution to the protection of the environment, through the protection of wild flora, and their habitats and ecosystems, and of agricultural biodiversity.
  - Strategic
  - Extent of support for the proposed standard (e.g. one or more NPPOs or RPPOs have requested it, or one or more RPPOs have adopted a standard on the same topic).

<sup>78</sup> For details on the terms "technical area", "topic" and "subject", see Hierarchy of terms for standards, section 3.2.2.

- Frequency with which the issue addressed by the proposed standard emerges as a source of trade disruption (e.g. disputes or need for repeated bilateral discussions, number of times per year trade is disrupted).
- Relevance and utility to developing countries.
- Coverage (application to a wide range of countries/pests/commodities).
- Complements other standards (e.g. potential for the standard to be used as part of a systems approach for one pest, complement treatments for other pests).
- Foundation standards to address fundamental concepts (e.g. treatment efficacy, inspection methodology).
- Expected standard longevity (e.g. future trade needs, suggested use of easily outdated technology or products).
- Urgent need for the standard.

### ***Other topics***

The submission of topics for diagnostic protocols and phytosanitary treatments is also done using this form. Detailed data for phytosanitary treatments is called for separately from the call for topics and uses a different submission form (see Annex 12 to this manual). The submission form for phytosanitary treatments is posted on the IPP (www.ippc.int) and the prioritization criteria for proposed phytosanitary treatments and score definitions are given in Section 3.6.5.



### 3.2.2 Hierarchy of terms for standards

A hierarchy of terms to clarify the different types of items on which expert drafting groups work was adopted in 2008<sup>79</sup>.

**Table 3.** Hierarchy of terms for standards

Term	Use	Example
Technical area	The Commission establishes a Technical Panel (TP) to work on a specified technical area (reflected in the title of the TP and described in its specification)	Technical Panel on: diagnostic protocols (TPDP) forest quarantine (TPFQ) pest free areas and systems approaches for fruit flies (TPFF) phytosanitary treatments (TPPT) glossary (TPG)
Topic	Calls for topics are made biennially and a topic is added to the List of topics for IPPC standards by the Commission	revision to ISPM 15 diagnostic protocols for bacteria irradiation treatments areas of low pest prevalence for fruit flies
Subject	Subjects require approval by the SC. The concept of subject applies only to TPs. The lists of subjects may be revised by the Commission <sup>80</sup> .	individual treatment within an approved topic individual diagnostic protocols for a specific pest within an approved topic new glossary term

<sup>79</sup> CPM-3 (2008), Paragraph 89.1 and Appendix 7

<sup>80</sup> Contracting parties or other interested parties, in accordance with the Procedure and criteria for identifying topics for inclusion in the IPPC standard setting work programme, may contribute to the list of subjects in response to calls.

### 3.2.3 Detailed Procedures at different steps

#### *Drafting of standards*

Drafting of standards involves mainly Technical Panels (TP)/Expert Working Groups (EWG), the SC, stewards of ISPMs and the IPPC Secretariat. Standard setting bodies are detailed in Sections 3.5 and 3.6. The SC oversees the standard setting process while the Secretariat provides administrative and technical support.

- Once a topic is added to the List of topics for IPPC standards, a steward (usually an SC member) is assigned, to oversee the development of a particular standard from draft to approval.
- A specification for a standard is developed by the Secretariat and steward, and reviewed and approved by the SC.
- An EWG or TP established by the SC drafts the standard and submits it to the Secretariat.
- The draft is then passed to the SC.
- The SC reviews the draft and recommends what further action is to be taken.
- In due course the SC recommends the standard for submission to members and RPPOs for comments.

#### *Environmental and biodiversity concerns<sup>81</sup>*

The CPM-3 (2008) adopted action items regarding the response by the SPTA to the independent evaluation of the working of the IPPC and its institutional arrangements. This included the inclusion of a statement regarding biodiversity consideration in all standards as appropriate (new standards as they are developed and old standards as they are revised). When new ISPMs are being specified, or existing ones revised, consideration of environmental and biodiversity concerns should be included in the specification, where appropriate.

The task of considering these issues is now being added to new specifications<sup>82</sup>. At its May 2009 meeting, the SC indicated that the Secretariat should insert this task into all approved and draft specifications for which an Expert Working Group (EWG) has not met and that future EWGs should take these issues into consideration when developing ISPMs.

#### *Member Consultation*

In the consultation stage, individual member countries and RPPOs review and comment on the draft standard. Guidelines for the submission of comments on draft ISPMs are given in Section 3.2.3. The input from contracting parties and RPPOs is considered by the SC, which then changes the draft in response to the comments received. Acceptance of a redrafted standard by the SC results in submission of the standard to the Commission.

#### *Length of consultation period*

Governments are provided 100 days<sup>83</sup> to review the documents, consult on their content, compile and submit comments to the Secretariat<sup>84</sup>. IPPC contact points are encouraged to send their national official comments by email<sup>85</sup>.

<sup>81</sup> CPM-3 (2008), Paragraph 55.2, Appendix 2

<sup>82</sup> SC (May 2009), Paragraph 37

<sup>83</sup> ICPM-6 (2004), Paragraph 77.11

<sup>84</sup> The ICPM-6 (2004) agreed to the reduction of the consultation period from 120 days to 100 days, for both the regular and fast-track standard setting processes (ICPM-6 (2004), Paragraph 77.7). The CPM-4 (2009) noted the Secretariat will conduct the member consultation periods for both the regular and special processes at the same time (late June – late September) until further notice. The currently accepted dates are 20 June to 30 September (CPM-4 (2009), paragraph 113.9). The CPM-5 (2010) noted the 100 day June-September consultation period is the key comment period; comments made until 14 days prior to the Commission Meeting should be only substantive comments clearly linked to revised text or for correction of evident errors; comments from all members received during both periods are considered when developing ISPMs, but that only the comments received just prior to the Commission Meeting are distributed and discussed at the Commission Meeting; and some member



### ***Posting of draft ISPMs on the IPP and distribution of hard copies by mail***

The IPPC Secretariat:

- posts the English version of standards for country consultation on the IPP as soon as available and prior to official dispatch. It informs members that the draft standards for consultation are available on the IPP.
- posts other languages once translated<sup>86</sup>
- continues to send out a hardcopy of the standards to the IPPC contact points in NPPOs<sup>87</sup> except for those members that have notified the IPPC Secretariat that they do not want to receive hard copies<sup>88</sup>.

### ***Regional workshops on draft ISPMs***<sup>89</sup>

Regional workshops on draft ISPMs provide a forum for countries within a region to discuss issues related to draft ISPMs and to prepare comments to use as a basis for their national comments. Countries must submit national comments through their NPPO contact point in order for them to be considered by the SC in redrafting the standards. These regional workshops are funded through the IPPC Trust Fund, as decided by the Commission, or by specific donations.

### ***Organizational arrangements for regional workshops***<sup>90</sup>

- Participation and responsibilities
  - . Invitations to the workshops should be drafted by the IPPC Secretariat and sent by the organizers to NPPOs in advance to allow the Secretariat to enter in contact with the selected participants, to release information at least one month before the date of the meeting.
  - . Participants are responsible to analyze the documents made available for the meeting, collect and prepare national comments before attending the workshop and provide feedback through the workshop survey available in the IPP.
  - . Participants are asked to fully attend the workshop meetings and respect the established timeframes and participation conditions.
  - . The Secretariat support staff should be responsible to contact the organizer, discuss the program and establish the interactions needed to support the meeting, as well as to stimulate participation and provide information, as needed.
  - . The workshop organizer shall be responsible for circulating the invitations, under a model established by the IPPC Secretariat, provide the facilities needed for the meeting and manage the necessary logistic arrangements.
  - . Some regions may invite Bureau members, SC members or stewards from their region or from other regions to enhance understanding of the contents of the draft standards and of the process to set standards. These resource persons should be proactive in reaching these

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countries would be likely to participate more actively if comments on draft ISPMs that are submitted in FAO official languages other than English are translated into English. Any further consideration of this issue should be based on the implications for resources, timing and efficiency in developing ISPMs (CPM-5 (2010), Paragraph 85.4)

<sup>85</sup> ICPM-6 (2004), Paragraph 77.12

<sup>86</sup> ICPM-6 (2004), Paragraph 77.9. CPM-5 (2010) agreed that diagnostic protocols be translated at two stages in the following way: before the 100-day consultation period: translation into official FAO languages be provided on request of any member; as normal, prior to the adoption of the diagnostic protocol by the Commission. The CPM-5 (2010) requested the Secretariat to provide a mechanism for the requests for translation into FAO languages before the 100-day consultation period; and agreed that this mechanism be re-evaluated at the CPM-6 (2011) (CPM-5 (2010), Paragraph 89)

<sup>87</sup> ICPM-6 (2004), Paragraph 77.10

<sup>88</sup> CPM-3 (2008), Paragraph 146.1, Appendix 16

<sup>89</sup> ICPM-6 (2004) adopted the name change, formerly "Regional Technical Consultation on Draft ISPMs" (ICPM-6 (2004), Appendix IX, 4.2)

<sup>90</sup> SC May 2011, Agenda item 12

objectives and in improving the understanding of the IPPC and its standards. However, in either case, participation is contingent on available financial resources.

- Program and report
  - . The IPPC Secretariat shall provide a standardized program for the workshops.
  - . The workshops could integrate other topics of regional concern or topics of specific interest for building national phytosanitary capacity or to get information on the IPPC implementation, that need to be agreed with the IPPC Implementation Officer through the discussion of the program of the meeting. Time for complete discussion of the draft ISPMs should be a priority.
  - . The report of the meeting should be prepared during the workshop as a joint effort of the Chair, Rapporteur and IPPC support staff, approved by the participants and posted in the IPP.
- Evaluation
  - . The IPPC Secretariat shall provide a complete evaluation of the results of the workshops to the CPM, Bureau and SC, based on the survey completed by the participants and the reports of IPPC support staff.

### ***Recommendations for regional technical assistance/consultation***

As many as possible regional technical consultations on draft ISPMs should be conducted and the Commission should investigate potential mechanisms to expand these consultations as well as seek to build opportunities for regional consultations through the trust fund or voluntary contributions. RPPOs should play a role, as appropriate, in such regional workshops within their region<sup>91</sup>.

### ***Guidelines for the submission of comments***

Submitting comments following the guidelines helps ensure the maximum benefit from the consultation process and faster compilation of comments.

- Members are provided 100 days to review the draft standards, consult on their content, and compile and submit comments to the Secretariat.
- The Secretariat provides a format for member comments. Members are asked to provide comments electronically using one of the formats provided to allow comments to be compiled more easily.
- Member comments should be submitted through the online submission form (if available) or through templates provided by the Secretariat. Member comments should be submitted through the IPPC contact point and this should be easily verifiable.
- Compiled member comments will be published on the IPP.
- The Secretariat encourages submissions as early as possible to facilitate the timely compilation of comments for the SC.
- The following are guidelines for the submission of comments to help ensure maximum benefit from the consultation process, and faster compilation of comments:
- Members may submit comments for each standard using the Online Comment System (OCS) (<http://ocs.ippc.int/index.html>). Comments should be submitted through the IPPC contact point. In addition, at its May 2011 meeting, the Standards Committee (SC) reviewed the classification of comments and their definitions. The SC developed a document to give guidance to explain the different categories of comments and these categories had been used in the Online Comment System (OCS). The classification of comments and their definitions are below:

<sup>91</sup> ICPM-6 (2004), Appendix IX, 4





- **EDITORIAL:** This type of comment clarifies or simplifies the text without changing the meaning. This includes spelling or grammatical corrections, suggestions of different but equivalent words, and simplification of sentence structure.
- **SUBSTANTIVE:** This type of comment takes into account conceptual changes and the addition of new aspects or ideas. This class of comments contains additions or extensions as well as changes, reorganization of the text or deletions resulting in alteration of the content of a sentence /paragraph /section of the draft. It is that this point is addressed in the revision process in some way.
- **TECHNICAL:** This type of comment takes into account scientific corrections and technical adjustments. It aims at further clarification and improvement of the standard and sometimes at conformity with other standards from the technical viewpoint. These comments are incorporated unless there is disagreement or some misunderstanding.
- **TRANSLATION:** This type of comment corrects points that are considered to be inaccurately translated into another language version of the text.
- If a contracting party wishes to support all of the comments submitted by another contracting party or RPPO, this should be indicated in the online submission form or a letter or e-mail (instead of sending the comments under the country's own name). The name of the country will still appear in the comments compiled for the SC<sup>92</sup>.
- Comments should be supported by an explanation of their purpose. Alternative text should be proposed where appropriate. It is essential that care is taken to ensure all comments and rationales are clear.
- Note that paragraphs in the draft standards are numbered. It is essential to ensure that the paragraph numbers used when submitting comments correspond to that of the draft standard as sent for consultation as these numbers will be used to compile the comments for the SC. Comments submitted with errors in paragraph numbering will not be ordered properly in the compiled tables and will cause confusion.
- Due to the short time available between the end of the consultation period and the SC meeting, and to avoid misinterpretation in translation, countries sending comments in a language other than English are encouraged to send an English translation as well.

**Note:** The Secretariat only distributes to the SC comments received from contracting parties, RPPOs and relevant international organizations. Any comments on the draft standards from the public should be channeled through the national IPPC contact point for the respective countries. IPPC contact points can be found on the IPP (<https://www.ippc.int/>).

### ***Reporting back to members***

#### ***Additional round of formal consultation***

The ICPM-6 (2004) adopted a procedure to allow for an additional round of formal consultation on standards that have undergone extensive changes as a result of formal country consultation<sup>93</sup>:

The SC should initiate a further round of consultation on standards that have undergone extensive changes as a result of formal member country consultation. In such cases the SC should report to the Commission their justification for sending a standard for a second round of consultation but could use its judgment in regard to this matter.

The SC should draw up criteria/guidance that it proposes to apply in determining the need for a further round of formal consultation on a draft standard.

<sup>92</sup> Please note that comments from RPPOs are considered to represent the views of the organization and which may be based on consultation within the organization. Such comments, however, are not considered to represent the views of individual contracting parties unless specifically indicated as such by the contracting party(ies) (for example, by indicating this in the online submission form, templates of comments, or a letter or e-mail).

<sup>93</sup> ICPM-6 (2004), Appendix IX, 1. Modified at the CPM-4 (2009). See section 3.1, Stage 3, Step 5.



In cases where a standard was submitted to the Commission but not adopted, the Commission could decide if another round of consultation was needed

***Extended time schedule for standard setting***

Amendments to the time schedule for standard setting were revised in 2007, allowing the normal development time of a standard to be lengthened by at least one year<sup>94</sup>. This was to allow more time for stewards and the SC to consider and incorporate member comments and would address SC members' concerns of the limited time that was allocated to review comments which had a negative impact on the quality of standards. The need for flexibility was recognized, in particular that the current time to review comments on a draft ISPM could be maintained if a standard was urgently needed or few comments were received. The SC noted that this would be determined on a case-by-case basis. Consequently drafts submitted for member consultation may be presented for adoption at the Commission meeting two years after the member consultation period.

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<sup>94</sup> CPM-3 (2008), Paragraph 99.4



### 3.2.4 Procedures for urgent alteration or suspension of ISPMs after adoption

Procedures for urgent alteration or suspension of ISPMs after adoption were adopted at the ICPM-6 (2004)<sup>95</sup> which:

- *Noted* that emergency suspension or withdrawal of an approved ISPM or elements of an ISPM, as had occurred in the case of the original ISPM 15 logo, was an extremely unlikely event.
- *Noted* that each situation needed to be evaluated on a case by case basis and that it was impossible to predict the circumstances where emergency suspension and/or withdrawal of an ISPM may be needed.
- *Noted* that the Commission functions within the framework of the FAO and therefore the FAO had the responsibility and mandate for the governance of the Commission (decision making and financial), and to protect the interest of Parties under exceptional and urgent circumstances.
- *Noted* that under this mandate the FAO had the responsibility to act quickly in cases where a risk was posed to the ability of the FAO to carry out its core responsibilities and requirements under the FAO Constitution and Basic Texts governing its operations.
- *Noted* the importance of promoting transparency and consultation between the FAO and the appropriate bodies established under the IPPC with respect to any such possible action, but also that circumstances may arise (for example with some types of legal action) where there were requirements for confidentiality and it may not be possible to provide at a certain stage full details to the Commission.
- *Agreed* that, where recommendations relating to the emergency suspension or withdrawal of an approved ISPM were being considered by the FAO:
- As far as possible any recommendations should be discussed and endorsed by an emergency meeting of the Commission Bureau.
- The Commission should be informed of any recommendations and justifications as soon as possible.

<sup>95</sup> ICPM-6 (2004), Paragraph 89

### 3.3 General Considerations on Standard Setting

Improvements to the standard setting process include:

- financial
- transparency
- role of RPPOs in standard setting
- publication and distribution of ISPMs

#### 3.3.1 Financial Considerations<sup>96</sup>

The ISPM-2 (1999) noted:

- whenever possible, SC Members and those participating in standard setting 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 SC or activities associated with standard setting, be directed as far as possible to expanding the work programme for the establishment of standards and assisting the participation of developing Member Countries.
- extra budgetary funds be made available for developing countries to participate in ad hoc Open-ended Discussion groups.
- sponsors and donors be encouraged to make contributions to the work programme.

#### ***Rules for directed financial assistance for standard setting (sponsorship of standards)***<sup>97</sup>

The provision of external resources for standard setting should:

- be applied only for standards 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; and
- follow the normal procedures, policies and practice of standard-setting with no modifications according to the preferences of the funding entity.

<sup>96</sup> ICPM-2 (1999), Appendix VII

<sup>97</sup> ICPM-4 (2002), Appendix XI



### 3.3.2 Transparency

The ICPM-2 (1999) determined that<sup>98</sup>:

- maximum practical transparency be encouraged in the standard setting procedure.
- the Commission should encourage the wide use of electronic communication and the Internet in the standard setting procedure.

#### *Recommendations for an improved transparency to and from the SC*

To improve the transparency<sup>99</sup>:

- All country comments should be published on the IPP.
- The IPPC Secretariat should produce and make accessible a **generic** summary of SC reactions to classes of comments made during the country consultation.
- Members of the SC should report back to countries in their regions.
- Guidelines for members of the SC to be developed should incorporate guidance on this reporting function of SC members.

#### *Recommendation on the use of modern communications*

E-mail, teleconferencing and other modern communication methods should be used where possible to advance discussion on standards<sup>100</sup>. However, face to face meetings of experts should be continued with e-mail communications used to supplement these meeting but not replace them.

<sup>98</sup> ICPM-2 (1999), Appendix VII

<sup>99</sup> ICPM-6 (2004), Appendix IX, Paragraph 6

<sup>100</sup> ICPM-6 (2004), Appendix IX, Paragraph 7

### 3.3.3 Role of RPPOs in standard setting

RPPOs<sup>101</sup>:

- establish regional standards and provide them to the Secretariat;
- encourage cooperation between their member countries in the preparation of:
- proposals for new or revised ISPMs;
- deposit of regional standards as candidates for ISPMs;
- comments on specifications for new or revised ISPMs; and
- comments on draft ISPMs received for consultation.
- cooperate with the Secretariat in support of the work programme.

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<sup>101</sup> ICPM-2 (1999), Appendix VII



### 3.3.4 Provision for the availability of standard setting documents

The CPM-3 (2008) adopted provisions for the availability of standard setting documents<sup>102</sup>.

**Table 4.** Provisions for the availability of standard setting documents.

	Type of document	Level of access <sup>103</sup>	Notes
<b>Expert drafting groups (EWGs<sup>104</sup>, TPs)</b>	Working documents	relevant expert drafting group	As currently
	reports	not restricted (public)	Once approved by the expert drafting group
<b>Standards Committee: input</b>	agenda and list of participants	contracting parties, RPPOs and SC	Indicating who has access to each document Duly marked as a draft and numbered as an identifiable version.
	list of SC documents	contracting parties, RPPOs and SC	
	draft ISPMs and draft specifications presented to the SC	contracting parties, RPPOs and SC	
	Compiled member comments on draft specifications	Contracting parties, RPPOs and SC	
	compiled member comments on draft ISPMs	not restricted (public)	This will be determined on a case by case basis. The SC will consider at its next meeting how this case-by-case decision will be made. Documents approved to be processed further are included as annexes to the SC report, and will therefore be available without restriction.
	detailed stewards' reactions to member comments	The SC only	
	a summary of major issues discussed and of SC reactions to substantive comments that were not incorporated into the standard (for both draft ISPMs and draft specifications)	not restricted (public), as annexes to the SC report	
<b>Standards Committee: output</b>	other SC documents	Contracting parties, RPPOs and SC, or the SC only	As currently Posted once the topics have been compiled for the SPTA
	all documents approved by the SC during its meetings	not restricted (public), as annexes to the SC report	
<b>Others</b>	SC report	Not restricted (public)	In this case, an SC member or a contracting party could request access to the document. This document would be made available with the prior agreement of the SC and, if applicable, of the person or group preparing the document.
	Compiled list of detailed proposals for topics for inclusion in the List of topics for IPPC standards	Not restricted (public)	
	Any document whose access is restricted according to the above	Group concerned	

<sup>102</sup> CPM-3 (2008), Paragraph 99.1 and Appendix 12

<sup>103</sup> "Contracting parties" means that the contact points and IPP editors of contracting parties will have access to the relevant work area and documents on the IPP. Bureau members currently have access to all restricted work areas on the IPP; the Bureau is therefore not mentioned here.

<sup>104</sup> List of abbreviations: EWG - expert working group; IPP - International Phytosanitary Portal (<https://www.ippc.int>); ISPM - International Standards for Phytosanitary Measures; RPPO - Regional Plant Protection Organization; SC - Standards Committee; SPTA - Informal Working Group on Strategic Planning and Technical Assistance; TP - Technical Panel.

### *Distribution of ISPMs* <sup>105</sup>

Currently, printed ISPMs are distributed in an ad-hoc manner to contact points, at various IPPC meetings and made available at the Commission meeting. All adopted ISPMs are also placed on the IPP, normally as PDF files. Given the lead times on final translation, formatting and printing, ISPMs are generally available on the IPP many months before the printed versions are available. Some languages are available before others.

The use of electronic means for distributing ISPMs should be promoted. Contact points should be notified when electronic versions are available and should be encouraged to make use of electronic versions wherever possible. Contact points with adequate electronic communication systems should be encouraged to make use of the electronic version of the ISPM and circulate it internally in electronic form.

There should be an adequate number of paper copies of the ISPM to meet requests and needs that might arise.

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<sup>105</sup> ICPM-7 (2005), Appendix II



## 3.4 Content of the ISPMs and standard setting documents

### 3.4.1 Recommendations on use of supplements, annexes and appendixes in ISPMs

There are several ways to add information in an ISPM – supplements, annexes and appendixes. Criteria for the formation, content and subsequent change of supplements, annexes and appendixes in ISPMs were adopted by the CPM-1 (2006)<sup>106</sup>.

#### *Supplements*

In certain situations, the Commission uses supplements to add conceptual information that is supplemental to a standard and that provides additional text without changing existing text. This is different from amendments or revisions to a standard. A supplement is an official part of a standard, i.e. is prescriptive. Text from supplements may be integrated into the standard according to the decision of the Commission. In this case, the integrated text should be clearly indicated by a symbol or other means, and the standard should carry the date the Commission adopted the supplement.

Glossary supplements (ISPM 5) are used to clarify and explain complex phytosanitary terms and definitions which cannot be understood from a normal concise definition.

#### *Annexes*

An annex adds technical information to the standard. It is referred to in the main text of the standard. An annex is an official part of a standard i.e. is prescriptive. Information in annexes does not affect the principles incorporated in the primary standard. An annex does not normally include conceptual information of relevance to the standard.

Annexes may provide technical guidelines for phytosanitary treatments or procedures, including treatments, treatment schedules and diagnostic protocols. They may include tables and figures.

Annexes may contain information that may need to be amended or revised to ensure that the specific information provided is consistent with and reflects current scientific knowledge and other relevant information. The circumstances under which amendments and revisions become necessary may include:

- the approval of new guidelines, treatments or procedures
- a change in existing methods
- as a result of experiences with implementation of a particular standard.

New annexes or amendments and revisions to existing annexes may be proposed following the Procedures for identifying topics and priorities for standards above. Amendment or revision of annexes may be made without modifying the standard.

#### *Recommendations on the use of annexes*<sup>107</sup>

Technical annexes (such as treatment schedules, e.g. wood packaging) should be used as much as possible, where appropriate. Annexes should be open to revision separately to the main standard. Revision of annexes could be by a fast track procedure special process.

Annexes should only contain highly specific information that may need to be changed over time and that does not affect the principles incorporated in the primary standard.

Criteria for the formation and content of annexes should be developed by the SC.

<sup>106</sup> CPM-1 (2006), Appendix XIII, 1-2.

<sup>107</sup> ICPM-6 (2004), Appendix IX, 8.





## *Appendixes*<sup>108</sup>

Appendixes provide references or further information relevant to the standard. Appendixes are not official parts of standards i.e. are for information/reference only and are not prescriptive.

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<sup>108</sup> CPM-1(2006) Appendix XIII, 3.



### 3.4.2 Add or change information in an ISPM and component documents

There are several ways to add or change information in an ISPM and its component documents (supplements, annexes and appendixes).

- ISPMs may be:
  - . amended
  - . revised or
  - . have supplements, annexes and/or appendixes added to them.
- Supplements, annexes and appendixes may be:
  - . amended or
  - . revised or
  - . eliminated.

In general, a revision affects the entire document whereas an amendment affects a specific part or parts of the document.

#### *Criteria for the formation, content and subsequent change of supplements*

- A supplement is an official part of a standard (prescriptive) and this should be stated in the header.
- Supplements are the mechanism that the Commission uses in certain situations to add conceptual information that is supplemental to a standard and that provides additional text without changing existing text. This is different from amendments or revisions to a standard.
- Supplements to an ISPM are numbered sequentially with Arabic numerals.
- Supplements are the first component document to follow the body of the standard.
- Glossary (ISPM 5) supplements are used to clarify and explain complex phytosanitary terms and definitions which cannot be understood from a normal concise definition.
- Text from supplements may be integrated into the standard according to the decision of the Commission. In this case, the integrated text should be clearly indicated by a symbol or other means, and the standard should carry the date of adoption of the supplement by the Commission.
- Glossary supplements are attached to the end of the section containing terms and definitions, and are numbered sequentially with Arabic numbers in the order of adoption of the supplement by the Commission.
- The date of adoption by the Commission should be indicated in the amended or revised supplement.

#### *Criteria for the formation, content and subsequent change of Annexes*

- An annex is an official part of a standard (prescriptive) and this should be stated in the header. An annex adds technical information to the standard. It is referred to in the main text of the standard.
- Annexes to an ISPM are numbered sequentially with Arabic numerals.
- Annexes follow the body of the standard and follow supplements, if present.
- Information in annexes does not affect the principles incorporated in the primary standard. They do not normally include conceptual information of relevance to the standard.
- Annexes may provide technical guidelines for phytosanitary treatments or procedures, including treatments, treatment schedules and diagnostic protocols. They may include tables and figures.
- Annexes may contain information that may need to be amended or revised to ensure that the specific information provided is consistent with and reflects current scientific knowledge and

other relevant information. The circumstances under which amendments and revisions become necessary may include:

- the approval of new guidelines, treatments or procedures
- a change in existing methods
- as a result of experiences with implementation of a particular standard.
- New annexes or amendments and revisions to existing annexes may be proposed following the Procedures for identifying topics and priorities for standards, Section 3.2.1.
- Amendment or revision of annexes may be made without modifying the standard.
- The date of adoption by the Commission should be indicated in the amended or revised annex.

***Criteria for the formation, content and subsequent change of Appendixes***<sup>109</sup>

- Appendixes are not official parts of standards (for information only, not prescriptive) and this should be stated in the header.
- Appendixes to an ISPM are numbered sequentially with Arabic numerals.
- Appendixes should be the last component document in a standard.
- Appendixes provide references or further information relevant to the standard.
- The date of adoption by the Commission should be indicated in the amended or revised appendix.

***Procedure to correct errors in International Standards for Phytosanitary Measures (ISPMs) in language versions other than English after adoption***<sup>110</sup>

1. Representatives from National Plant Protection Organizations (NPPOs) and Regional Plant Protection Organizations (RPPOs) from each FAO language group, other than English, are invited to organize a Language Review Group (LRG) to consider the preferred use of terminology and to identify editing and formatting errors resulting from translation. Each LRG should identify a coordinator for communications with the Secretariat, describe how they will organize communications within the group (e.g. teleconference, exchange of documents etc.), explain its structure and respond to queries from members on how to join the LRG. Each LRG should invite a representative from the appropriate FAO language translation group and the respective TPG member(s) for that language to participate in order to ensure a clear understanding of the LRG issues.

2. Once established and recognized by the Secretariat, each LRG is invited to review adopted ISPMs and submit comments, in track changes, on terminology preferences, editorial and formatting mistakes to the Secretariat through their identified coordinator no later than two months after they have been advised that the adopted ISPMs are posted on the IPP (www.ippc.int); this time begins for the specified language once the ISPM has been posted on the IPP in that language.

3. FAO translation services may participate as a member of the LRG but any official communication on proposed changes to the ISPMs should come from the LRG Coordinator to the IPPC Secretary (ippc@fao.org) in order to maintain version control of the standards.

4. If no comments are submitted, the version adopted at CPM would remain the final version.

5. If comments are submitted by the LRG coordinators through the above process, the Secretariat will forward the comments, in track changes, to the FAO translation services.

6. The FAO translation services will review the proposed changes. If all proposed changes are acceptable by the FAO translation services, the track change version of the ISPM produced by the LRG will be forwarded to the Secretariat. If FAO translation services disagree with any of the LRG

<sup>109</sup> CPM-1 (2006), Appendix XIII

<sup>110</sup> CPM-6 (2011), Appendix III (Replaces procedure adopted at CPM-5 (2010), Appendix 9 of CPM-5 Report)



proposed changes, they will document the reasons and consult with the LRG to discuss and seek consensus. If consensus cannot be achieved, the FAO translation service will make the final decision.

7. Comments regarding the translation of glossary terms will be transmitted to the Technical Panel for the Glossary (TPG) through the SC as they may result in consequential changes to numerous ISPMs. Formatting issues would be addressed by the Secretariat.

8. The Secretariat will post the modified ISPMs on the IPP as a document for the next CPM meeting. The CPM agenda will include a standing item for verification of modifications and a corresponding paper will indicate which ISPMs have been modified along with reasons why any LRG-proposed changes have not been accepted. This agenda item will not be used to re-open discussion on already adopted ISPMs; it is strictly to verify terminology, editorial and formatting corrections.

9. The CPM will request the IPPC Secretariat to accept all track changes as presented and revoke previously adopted versions of the ISPMs.

More information on Language Review Groups can be found on the IPP at <https://www.ippc.int/index.php?id=1110770>.

### 3.4.3 Explanatory documents, training guides and other supporting documentation

The ICPM-6 (2004) noted that there is a demand for explanatory documents, manuals and similar documents to help countries implement provisions of the IPPC and ISPMs. A programme of development of explanatory documents on ISPMs started in 2004. Explanatory documents reviewed by the SC and posted on the IPP are<sup>111</sup>:

- ISPM 5 - Glossary of phytosanitary terms
- ISPM 17 - Pest reporting
- ISPM 18 - Guidelines for the use of irradiation as a phytosanitary measure
- ISPM 20 - Guidelines for a phytosanitary import regulatory system
- ISPM 31 - Methodologies for sampling consignments

The ICPM-6 (2004)<sup>112</sup>:

- *Endorsed* a policy to allow explanatory documents, training guides and similar documents to be developed and distributed under the auspices of the Secretariat.
- *Decided* that these documents be reviewed by experts acting under the auspices of the Secretariat before publication, but that the draft documents would be made available to the SC which may comment in the reviewing process.
- *Decided* that these documents would be published under the name of the author acting under the auspices of the Secretariat, with a clear disclaimer that these cannot be taken as an official legal interpretation of the IPPC or its related documents, and are produced for public information purposes only.
- *Decided* that these documents be placed on the IPP.

#### *Explanatory documents*

##### *The purpose of explanatory documents on standards*

Standards by their nature are often not easy documents to understand. This is not because the language is difficult or the writing is complex, but because a standard describes a particular set of activities often using specific terminology. The definition of a “standard” in ISPM 5 (Glossary of phytosanitary terms) is:

**Standard:** Document established by consensus and approved by a recognized body that provides, for common and repeated use, rules, guidelines or characteristics for activities or their results, aimed at the achievement of the optimum degree of order in a given context.

The activities described in a standard are usually technical, aimed at a certain result, with the idea of having all who carry out this series of activities doing it the same way. Usually, this also means that those using the standard and achieving the result know precisely what they are doing. So the standard describes the set of activities but does not necessarily explain them.

This leaves those who are not experienced in the activities described in the standard without explanation of the content of the standard and of why certain activities are done the way they are. Some more detailed explanation may be given in some areas of the standards but generally this is limited. Therefore, the Interim Commission recommended that explanatory documents be made available to those who want them. Such documents would explain what the standards apply to, and how they are employed and would note any difficulties in using a particular standard. These explanatory documents should be seen as tools to inform, clarify difficult issues and assist in the implementation of ISPMs.

<sup>111</sup> The explanatory document for ISPM 15 is out of date as it has been revised subsequent to the publication of the explanatory document.

<sup>112</sup> ICPM-6 (2004), Paragraph 111



### ***Form of the explanatory document***

Normally, a document of 5–10 pages would be sufficient to help with the understanding of the standard. In certain cases, longer documents may be necessary. Diagrams or flowcharts may be of assistance in certain circumstances (for example to explain relationships with other ISPMs) as long as they do not introduce more questions than they answer. Presentations in the form of PowerPoint or its equivalent may well be helpful for some officials in training roles.

The name of the writer of the explanatory document will be at the head of the document.

### ***Status and use of explanatory document***

Readers of explanatory documents should recognize that these documents are written by one or several experts, and they are not standards in themselves. The expert will be familiar with the standard and with international thinking on the standard. The explanatory documents will be reviewed by the Secretariat and other experts (including the SC), and it is unlikely that they will contain contentious or incorrect statements. However, it is important that readers note that the comments of the expert are those of the expert only, and cannot be quoted as part of a standard. The Secretariat has been concerned that papers published under the auspices of the Secretariat could be regarded as an official interpretation of the standard. These explanatory documents are not official interpretations – they are the comments of the expert writer of the explanatory document only.

### ***The content of an explanatory document***

Explanatory documents will differ in some matters of form depending on the subject of the standard. Some might describe various aspects of the standard at length; others might concentrate on particular problem areas that the standard deals with, while for other standards with fewer difficulties the explanatory document might be quite short. However, whatever the length of the explanatory document, it should cover a number of basic areas. These include:

- purpose and relationships with other standards
- general form of the standard
- contents of the standard (the major headings should be listed)
- major points of concern
- references to additional explanatory material.

### ***Purpose and relationships with other standards***

This section should describe the general intent of the standard and state how it interacts with other standards.

Some standards have a section on the purpose of the standard (for example ISPMs 17 and 19) but this is generally quite short. It needs to be made quite clear what the standard was written for, what problems it was meant to try to solve and what benefits might accrue from its use.

An explanatory document can discuss how a standard fits into the framework of the IPPC and how it relates to other standards. For example, the relationship of the standards on pest risk analysis (PRA), and the link between Export Certification system and Guidelines for phytosanitary certificates (ISPMs No 7 & 12) would be noted. In later years, the links between a concept standard and specific standards will be able to be described – for example ISPM 6 (Guidelines for surveillance) and Surveillance for citrus canker (standard not completed yet).

### ***General form of the standard***

The form of the standard relates to the requirements section of the standard, not the administration section (Endorsement, Application, Review and amendment, Distribution) or the Introduction (Scope, References, Definitions and abbreviations, Outline of requirements).

The basic structure of the standard could be commented on: for example, the three main stages of pest risk analysis in ISPM 11, the respective responsibilities of those involved in the import and release of biological control agents in ISPM 3, or the technical issues listed in ISPM 18 (Guidelines for the use of irradiation as a phytosanitary measure) – treatment, dosimetry, approval of facilities, phytosanitary system integrity etc. The reasons for the structure could be explained if not immediately obvious.

### ***Contents of the standard***

In this part of the explanatory document, the individual sections of the standard can be discussed. This might not always be necessary, and when this is the case, no explanation should be offered. However, with many standards background information could well be of great assistance to those not familiar with the activities described in the standard. This is the particular use and help of the explanatory documents.

### ***Major points of concern***

With some points in some standards it may be helpful to provide a background to the discussions that led to the particular point being expressed or the way it is expressed. There may have been contentious issues discussed at the EWG, at the SC meeting, in country consultations or at the Commission meeting. It is helpful for users of the standard to be aware of the difficulties that have arisen, been debated and hopefully solved. These are often the very points that new users of the standard have concerns about and where they need guidance. This section could also list points which have shown to be of particular concern when starting to apply the standard (e.g. treatment schedules) or found to require systematic consideration when applying a standard (e.g. consideration of environmental consequences under economic consequences in the earlier versions of the PRA standards).

### ***References to additional explanatory material***

The references noted here are not those referred to in the standard. If available, they should provide additional background to the standard. This may be material on the way some countries and their agencies apply the standard or other discussion documents on the standard (generally information that will be useful in understanding the use of the standard).



### 3.4.4 Administrative guidelines for the structure of standard setting documentation

Work on a document to aid those involved in preparing ISPMs, specifications for ISPMs, specifications for diagnostic protocols, explanatory documents and other documents relating to ISPMs began by the SC in 2003. They are used internally by the SC and are provided to other drafting groups to help standardize various aspects of standard setting documentation. They are updated frequently to reflect the current situation in standard setting.

#### *Guidelines*

##### *Introduction*

These guidelines have been prepared to aid those involved in preparing ISPMs, specifications for ISPMs, specifications for diagnostic protocols, explanatory documents and other documents relating to ISPMs. They provide a model to be used for these documents and guidance as to what information is needed under each section within the document. They will be updated by the SC as necessary to take into account changes in the standard setting process.

##### *Specifications for International Standards for Phytosanitary Measures*

Specifications for ISPMs are clear and precise guidelines that an expert drafting group (expert working group or technical panel) should follow when drafting or revising a standard. They are drafted by, or under the auspices of, the IPPC Secretariat, Steward and the SC after direction is given by the Commission as to the standard's priority. The specifications are sent for member consultation and then reviewed, edited and approved by the SC.

#### *Standards*

##### *Use of standards*

Standards can be used:

- by contracting parties as guidelines in the construction of their national regulations and application of phytosanitary measures
- by panels or arbitrators where ISPMs can assist in the resolution of international disputes that are substantially technical in nature
- by other stakeholders, where appropriate
- to enhance international cooperation.

##### *Types of standards*

**Reference standards:** Reference standards normally cover general phytosanitary issues (e.g. ISPMs 1 and 5).

**Concept standards:** Concept standards describe a concept or provide an overview of an area for phytosanitary standardization. As such they tend to be of a general nature and not list specific details. Examples include ISPMs on risk analysis and pest free areas (ISPMs 2 and 4, respectively).

##### Operational standards

**Diagnostic protocols:** Specific diagnostic protocols for regulated pests provide all the information needed for a specific pest to be detected and positively identified.

**Methodology:** These standards describe specific procedures, such as treatment procedures.



### Specific standards<sup>113</sup>

**Pest specific standards:** Pest specific standards provide guidelines on specific issues on a pest or group of pests (for example ISPM 26 on pest free areas for fruit flies and the draft standard on systems approach for citrus fruit against citrus canker).

**Commodity specific standards:** Commodity specific standards provide guidelines on specific issues for a commodity (for example ISPM 15 on regulating wood packaging material).

### Drafting or revising a standard

#### *Format*

An expert drafting group drafting or revising a standard should follow the general format outlined in the IPPC Style Guide. Specific formats and templates for a series of similar standards might be developed in the future and added to these guidelines.

Using a standard format for ISPMs helps streamline the information, makes it easier to use, ensures maximum understanding and facilitates the preparation of drafts by diverse groups. Following these recommendations at the drafting stage will also allow for quicker processing of drafts.

#### *Language*

The language used in draft ISPMs should be clear, simple and focused. Please refer to the IPPC Style Guide for more information.

#### *References in the text*

Where clarity of a particular issue is needed, references can be included in the text of the standard. This should be limited to essential references, for the purpose of eliminating the need to explain a concept when it is covered in an existing ISPM. Guidance on the use of references is given in the IPPC Style Guide.

#### *Terminology*

Draft ISPMs should use, wherever appropriate, the terms of ISPM 5 (Glossary of phytosanitary terms), and do so in such a way that their agreed definitions are respected. If a new term is used in a draft ISPM for which there is no equivalent in the Glossary, that new term and its proposed definition should be placed in the Definitions section of the standard. It will be reviewed by the Technical Panel for the Glossary for possible addition to the Glossary.

However:

- there is no need to include terms which are already well defined in common dictionaries, or widely used and understood without ambiguity in a technical context
- it is preferable not to propose restricted definitions (for plant protection purposes) of terms which are commonly used with wider meanings (since this limits the possibility of using those terms in other ways)
- there should be a clear phytosanitary reason for defining the term
- the term should be usable in other standards (terms which are only relevant in the draft standard concerned should be explained in the text)
- the use of new acronyms should be avoided as much as possible.

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<sup>113</sup> Formats for pest specific and commodity specific data sheets that compile information on pests or commodities have been developed (see section 1.2). However, no activities on the preparation of such data sheets have been undertaken or planned to date.



If the use of a particular existing Glossary term or definition creates a serious problem in a draft standard, this should be reported to the Secretariat with appropriate explanations (Glossary terms should not simply be redefined).

#### *Drafting or revising a diagnostic protocol*

In addition to the guidance given above, specific instructions to authors of diagnostic protocols, developed by the Technical panel on diagnostic protocols, can be found in Section 3.6.3.

#### Explanatory documents

Explanatory documents provide guidance on the implementation or interpretation of ISPMs. They are developed and distributed under the auspices of the Secretariat. These documents are developed and/or reviewed by experts before publication and are also made available to the SC which may comment during the review process. The documents are published under the name of the author with a clear disclaimer that they can not be taken as an official legal interpretation of the IPPC or its related documents, and are produced for public information purposes only. Further information is contained in Section 3.4.3.

### 3.4.5 Must, shall, should, may, can

CPM-1 (2006)<sup>114</sup> reached the following conclusions concerning the use of these terms in ISPMs:

- The word “should” in English is interpreted to mean a type of moral or political commitment. It creates an expectation (though non-binding) that something will be done.
- There is no limit on the use of the words “shall” and “must” provided their use is justified and is within the framework of the Convention and the legal status of the standards.
- The present tense of verbs (without “should”, “shall”, “must” or “may”) should not be used in ISPMs to express a level of obligation.

The following examples from the Convention and ISPMs illustrate typical use:

*Must* provides the most unequivocally expressed directive. However, note that its preferred use is to describe unavoidable situations (see third example) rather than to express mandatory requirements (where *shall* is preferred):

Measures taken against these pests must be technically justified.

When an eradication programme is completed, the absence of the pest must be verified.

Measures are not justified if the risk ... must be accepted because it is not manageable ....

*Shall* is equivalent to *is required to*, and is used when there is an obligation to take action. It is commonly used in formal legal wording for mandatory requirements:

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.

Wood packaging material subjected to the approved measures shall be identified by application of an official mark ....

*Should* is commonly used in the sense of *it is recommended that*. The decision of CPM-1 means that *should* also implies a commitment to take action. However, it is “softer” in its expression of that obligation than *must* and *shall*:

These certificates should be completed and issued taking into account relevant international standards.

Phytosanitary measures for RNQPs should respect the principle of non-discrimination both between countries and between domestic and imported consignments.

*May* offers a possibility and does not involve obligation (see first example). It is frequently used in ISPMs in the sense of *is permitted to* in providing guidance on possible actions for implementing standards (see second and third examples):

manufactured products that, by their nature or that of their processing, may create a risk for the introduction and spread of pests.

The issuing of regulations is a responsibility of the contracting party ..., although contracting parties may delegate this responsibility to the NPPO.

For LMOs, measures may also include procedures for the provision of information on the phytosanitary integrity of consignments ....

*Can* refers to possibility or capability and does not involve obligation:

[when phytosanitary measures] can be technically justified by the contracting party concerned.

Definitions of phytosanitary terms used in the present standard can be found in ISPM 5 ....

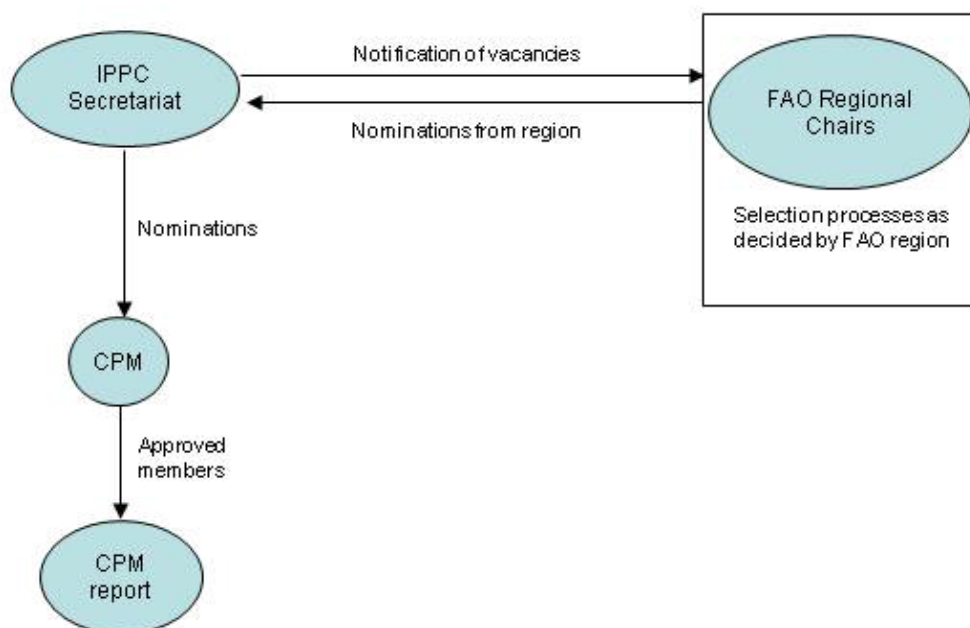
<sup>114</sup> CPM-1 (2006), Paragraph 87

### 3.5 Standards Committee

The Commission established the SC as its standard setting body at the CPM-1 (2006)<sup>115</sup>. The SC comprises of 25 members drawn from the seven FAO regions (Africa, Asia, Europe, Latin America & Caribbean, Near East, North America, and Southwest Pacific). Each region determines its own procedures to select nominees for the SC.

The SC selects from within its members a subgroup of seven experts, the SC Working Group of seven members (SC-7), to undertake detailed work on draft standards.

**Figure 1.** The processes of nomination of members of subsidiary bodies (including the SC)



<sup>115</sup> The SC was previously established by the ICPM-4 (2002) to replace the former Interim Standards Committee and its predecessor, the Committee of Experts on Phytosanitary Measures (CEPM).

### 3.5.1 Functions of the Standards Committee Chairperson, Vice-Chairperson and Rapporteur (in session and inter-sessionally)<sup>116</sup>

The SC has agreed on the functions of the SC Chair, Vice-Chair and Rapporteur.

#### *Chairperson*

The Chairperson of the SC is elected in accordance with the Terms of Reference and Rules of Procedure for the SC. The main functions of the Chairperson are to:

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

#### *Vice-Chairperson*

The Vice-Chairperson of the SC is elected in accordance with the Terms of reference and Rules of procedure for the SC. The main function of the Vice-Chairperson is to assist and replace the SC Chairperson as necessary.

#### *Rapporteur*

The Rapporteur of an SC meeting is elected by the SC 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 SC meeting report
- facilitate the SC e-mail discussions in relation to points of the SC reports.

<sup>116</sup> SC (November 2008), Appendix 3



### 3.5.2 Terms of Reference and Rules of Procedure for the Standards Committee<sup>117</sup>

#### *Terms of Reference*

##### Scope

The SC manages the standard-setting process and assists in the development of International Standards for Phytosanitary Measures (ISPMs) which have been identified by the Commission as priority standards.

##### Objective

The main objective of the SC is to prepare draft ISPMs according to the standard-setting procedures in the most expeditious manner for adoption by the Commission.

##### Structure of the Standards Committee

The SC consists of 25 members drawn from each of the FAO regions. The distribution for each region will be:

- Africa (4 members)
- Asia (4)
- Europe (4)
- Latin America and the Caribbean (4)
- Near East (4)
- North America (2)
- Southwest Pacific (3)

Temporary or permanent working groups, and drafting groups consisting of SC members, may be established by the SC as required. SC working groups are selected by the SC from its membership.

Seven SC members are selected by the SC to form the SC-7 and are guided by the terms of reference and rules of procedure for this group which are approved by the SC.

The functions and working procedures of the SC-7 and other SC working groups are determined by the SC.

##### Functions of the Standards Committee

The SC serves as a forum for:

- examination and approval or amendment of specifications;
- review of specifications;
- designation of members of SC working groups and identification of tasks of the groups;
- establishment and disestablishment of expert working groups and SC working groups as appropriate;
- approval of the work programmes of technical panels, and review, guidance and supervision of their activities and outcomes of their meetings;
- selection of membership of expert drafting groups as required and in accordance with the appropriate terms of reference and/or rules of procedure for these groups;
- review of draft ISPMs;

<sup>117</sup> Adopted by the CPM-1 (2006) and aligned by the Standards Committee (November 2008, Appendix 4), as requested by the CPM-3 (2008)

- approval of draft standards to be submitted to contracting parties, NPPOs, RPPOs and relevant international organizations under the member consultation procedure;
- establishment of open-ended discussion groups where appropriate;
- revision of draft ISPMs in cooperation with the IPPC Secretariat taking into account comments of contracting parties, NPPOs, RPPOs and relevant international organizations;
- approval of final drafts of ISPMs for submission to the Commission;
- review of existing ISPMs and identification and review of those requiring reconsideration;
- identification of priorities for ISPMs under development;
- ensuring that language used in draft ISPMs is clear, simple and focused;
- assigning stewardship for each ISPM ; and
- other functions related to standard setting as directed by the Commission.

These functions may be executed during face to face meetings and between meetings, via electronic means, as determined by the SC<sup>118</sup>.

#### IPPC Secretariat

The Secretariat provides administrative, technical and editorial support as required by the SC. The Secretariat is responsible for reporting and record keeping regarding the standard-setting programme.

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<sup>118</sup> The SC (2008) discussed issues related to electronic communication for SC business. The issues include selection of experts, approval of explanatory documents, finalizing specifications, adjustment of stewards and deciding on other tasks as appropriate. The SC discussed what type of work could be handled electronically outside of the meeting. The SC considered that development of specifications via electronic means could be done partially through electronic means, but that discussion in the SC is also valuable. The length of time for responses was changed from two weeks as previously agreed to three weeks. The SC agreed to these new procedures (SC November 2008, Appendix 4)



## ***Rules of Procedure for the Standards Committee***

### **Rule 1. Membership**

Members should be senior officials of National Plant Protection Organizations (NPPO), designated by contracting parties, and have qualifications in a scientific biological discipline (or equivalent) in plant protection, and experience and skills particularly in the:

- practical operation of a national or international phytosanitary system;
- administration of a national or international phytosanitary system; and
- application of phytosanitary measures related to international trade.

Contracting parties agree that SC members dedicate the necessary time to participate in a regular and systematic way in the meetings.

Each FAO region may devise its own procedures for selecting its members of the SC. The IPPC Secretariat is notified of the selections that are submitted to the Commission for confirmation.

The SC is responsible for selecting the SC-7 members from within its membership. Members selected for the SC-7 will meet the above-mentioned qualifications and experience.

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

Each FAO region shall, following its own procedures, nominate potential replacements for members of the SC and submit them to the Commission for confirmation. Once confirmed, potential replacements are valid for the same periods of time as specified in Rule 3. These potential replacements should meet the qualifications for membership set forth in these Rules. Each FAO region shall identify a maximum of two potential replacements. Where a region nominates two, it should indicate the order in which they would serve as replacements under this Rule.

A member of the SC 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 SC.

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 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. Period of membership**

Members of the SC shall serve for terms of three years. Members may serve no more than two terms, unless a region submits a request to the Commission 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 4. Chairperson**

The Chairperson and Vice-Chairperson of the SC are elected by the SC from its membership and serve for three years, with a possibility of re-election for one additional term of three years. The Chairperson and Vice-Chairperson may serve in these capacities only when a member of the SC.



### Rule 5. Sessions

Meetings of the SC are normally held at the FAO Headquarters in Rome. The SC meets at least once per year.

Depending on the workload and resources available, the SC or the Secretariat, in consultation with the Commission Bureau, may request additional meetings of the SC. In particular, the SC may need to meet after the Commission meeting in order to prepare draft standards for member consultation.

Depending on the workload and resources available, the SC, in consultation with the Secretariat and the Commission Bureau, may authorize the SC-7 or extraordinary working groups of the SC to meet.

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

Some tasks, as agreed by the SC, may be undertaken between meetings via electronic means, and should be reported on in the report of the next session of the SC.

### Rule 6. Approval

Approvals relating to specifications or draft standards are sought by consensus. Final drafts of ISPMs which have been approved by the SC are submitted to the Commission without undue delay.

### Rule 7. Observers

For observer status, Rule 7 of the Rules of Procedure of the Commission will apply.

### Rule 8. Reports

SC meeting records shall be kept by the Secretariat. The report of the meetings shall include:

- approval of draft specifications for ISPMs
- finalization of specifications with a detailed explanation including reasons for changes
- reasons why a draft standard has not been approved
- a generic summary of SC reactions to classes of comments made in member consultation
- draft standards that are sent for member consultation and draft standards recommended for adoption by the Commission.

The Secretariat shall endeavour to provide to Commission Members upon request the rationale of the SC for accepting or not accepting proposals for modifications to specifications or draft standards.

A report on the activities of the SC shall be made by the Chairperson of the SC to the annual session of the Commission. Reports of SC meetings shall be adopted by the SC before they are made available to Commission Members and RPPOs.

### Rule 9. Language

The business of the SC shall be conducted in the languages of the organization.

### Rule 10. Amendments

Amendments to the Rules of Procedures and the Terms of Reference may be promulgated by the Commission as required.



### 3.5.3 Guidelines on the duties of members of the Standards Committee

The SC approved Guidelines on the duties of members of the SC in November 2006, noting that, where necessary, they can be modified using the SC's normal procedures<sup>119</sup>.

#### *Purpose of the Standards Committee*

The SC is an integral component of the standard setting process with the purpose of assisting the production of draft standards that are of sufficient quality to be adopted by the Commission as International Standards for Phytosanitary Measures (ISPMs). The SC does not write standards but prepares draft ISPMs according to the standard setting procedures, monitors each standard's development and ensures they have a consistent quality. The SC may also be assigned additional tasks by the Commission.

The SC ensures that the standards:

- fulfill the specification for the standard
- fall within the scope of the IPPC
- are technically based
- have scientific integrity
- follow the principles and policies of the Commission, including the General considerations for standard setting.
- are presented in the required format for standards
- are written in a simple, clear and focused language.

The Commission has decided that the SC should be made up of experts from different regions. The Commission intends that the committee include a diversity of global views on any subject it deals with. These views are used in the production of internationally harmonised standards. They encompass, for example, the views of different geographic regions of the world, developing and developed countries, tropical and temperate regions, continental and island nations, highly and sparsely populated countries, countries with intensive agricultural or forestry interests etc. The choice of experts on a regional basis is a pragmatic choice to obtain a range of views that can produce internationally acceptable standards.

The primary purpose of the SC is to ensure that ISPMs help to protect plant health on a global scale. The SC members that are selected are expected to act as individual experts, not as country representatives. However, the views of the expert are usually those characteristic of the region the expert comes from.

In addition to assisting with the development of standards, the SC serves as a forum for other functions as directed by the Commission. These types of functions could include the review of procedural and administrative documents to ensure they are consistent with the standard setting process and are feasible.

#### *Structure of the SC*

The membership of the SC is outlined in the Terms of reference and Rules of procedure for the SC. The whole body is referred to as the SC and this body selects its own chair and vice chair. In addition, the SC members from each FAO region select a member to form the SC-7 who, in turn, select their own chair. The SC oversees the work of expert drafting groups in particular through the use of specifications. The SC may decide to break into smaller working groups as necessary in order to deal with a heavy workload, maintaining the diversity of global views. Holding additional meetings of the SC should be done in consultation with the Commission Bureau and IPPC Secretariat. The

<sup>119</sup> SC (November 2006, paragraph 104) modified by the SC (November 2008)

Commission establishes the Terms of reference and Rules of procedure for the SC, and the SC determines the working procedures of the SC working groups.

### ***Decision making***

The SC is responsible to collectively make decisions presented for consideration to the Commission. These are recorded in the report of the SC. The SC may agree to use electronic means for consultation on specific issues between meetings. The views of the SC members collected at SC meetings and recorded in SC reports on these issues should be taken into consideration. Some decisions, such as those outlined in the IPPC standard setting procedure, may be taken between sessions by e-mail without prior agreement.



### 3.5.4 IPPC Standards Committee procedures for conducting discussions and making decisions by electronic means<sup>120</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 SC.

To initiate a discussion via electronic means, an SC member may submit the proposed topic and a proposed timeline for discussion to the Secretariat. In consultation with the SC Chair, the Secretariat communicates the topic for discussion and the timeline to the SC. If a decision is needed as a result of the discussion, the SC Chair will provide a summary of the discussion and a proposed decision to the SC to be taken.

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

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

- approval of selected nominations for expert drafting groups (2005 November SC)
- comment on explanatory documents in the reviewing process (ICPM-6 (2004))
- clearance of draft ISPMs for member consultation (Step 4 – special process) (CPM-3 (2008))
- consideration of member comments (Step 5 – special process) (CPM-3 (2008))
- determining how to proceed with draft ISPMs that are modified as a result of comments (Step 6 – special process) (CPM-3 (2008))
- determining how to proceed with draft ISPMs that have received formal objections 14 days prior to the CPM (Step 7 – special process) (CPM-3 (2008))
- development and approval of draft specifications for member consultation (2009 November SC)
- adjustments to stewards (of specifications, draft ISPMs and technical panels) (2009 November SC)
- any other tasks decided by the CPM or the SC during a face to face meeting (2005 November SC)
- Exceptional cases determined in consultation with the Secretariat and the SC chairperson (2005 November SC).

#### *Rules for agreement*

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

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

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

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

#### *Timeframe for response*

Normally three weeks (except in urgent cases and for simple decisions). At its May 2011 meeting<sup>121</sup>, the SC decided that the combined duration of a forum followed by a poll would be three weeks (two-

<sup>120</sup> Standards Committee (November 2010), Appendix 5

<sup>121</sup> SC (May 2011), Agenda item 4.2

week forum, one-week poll) and that three weeks would be allowed if a poll was used alone. The SC also agreed that, in exceptional circumstances, this duration could be shortened by the Secretariat in consultation with the Chair.

#### ***Secretariat email notice to SC members***

At its May 2011 meeting<sup>122</sup>, the SC decided that the SC 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.

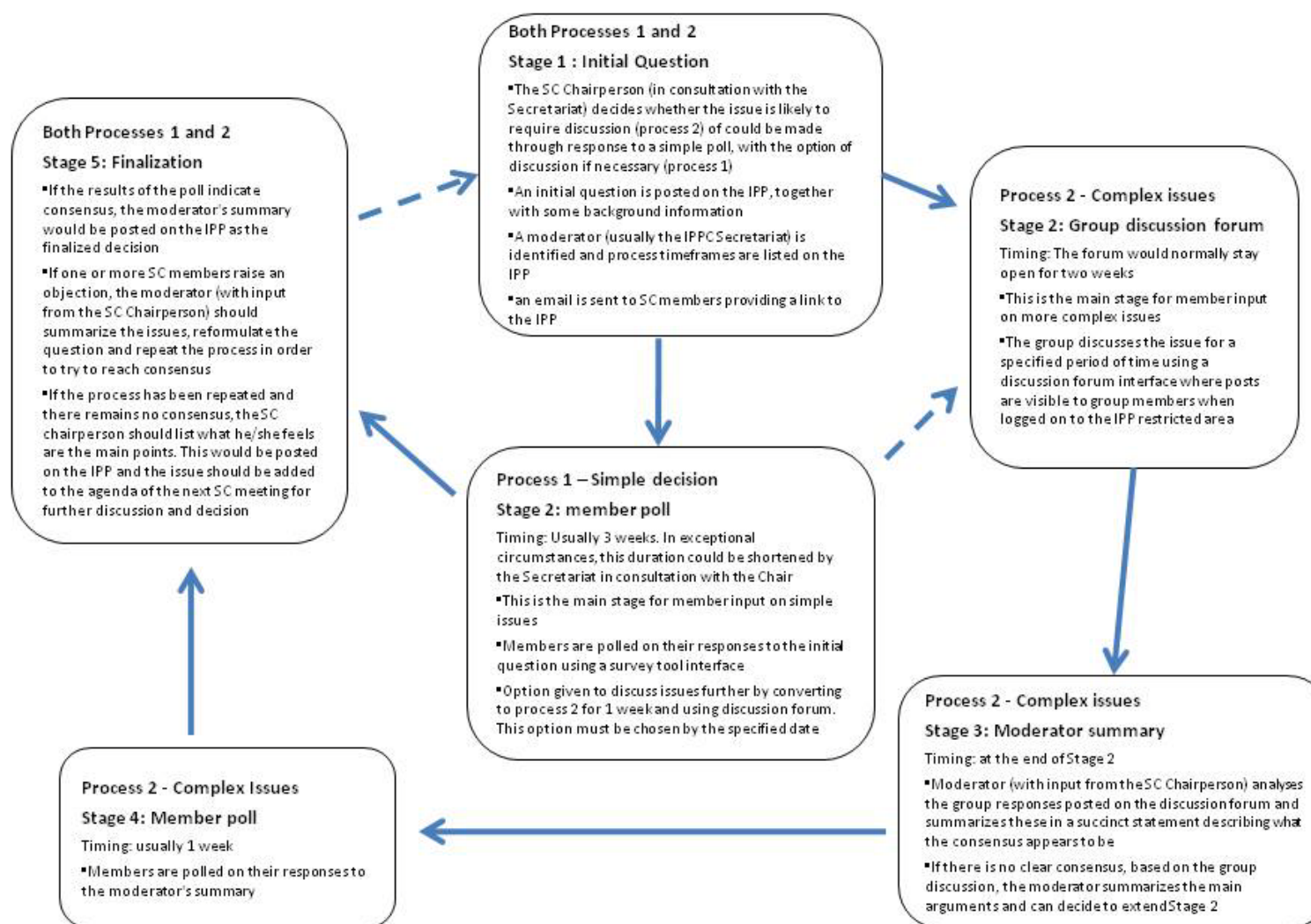
#### ***Communication of decisions made electronically***

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

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<sup>122</sup> SC (May 2011), Agenda item 4.2

**Figure 2.** This diagram<sup>123</sup> presents the process for an electronic decisions mechanism to implement the SC procedures for electronic discussion and decision-making.



<sup>123</sup> Standards Committee (November 2010), Appendix 6. Updated SC May 2011

### 3.5.5 Duties and Associated tasks of SC members

During the standard setting process, SC members have a number of duties directly concerned with draft standards by virtue of their membership of the SC. These duties are listed in point 4.1 below. Normally, however, SC members also undertake any one or several of a number of other roles within the standard drafting procedure. The duties of these roles are described in points 4.4 and 4.5 below. The other duties of SC members are listed in the following sections.

#### ***Basic duties directly related to the evaluation of draft standards***

The basic duties of the SC member include:

- examination of draft standards from expert drafting groups. Prior to the meeting, the SC member reads the drafts, considers the reports of expert drafting groups and prepares comments. The SC member presents any comments or changes to the draft to the SC meeting, usually held in May.
- examination of comments on draft standards after member consultation. The SC member reviews the member comments (except those relating to editing and translation), discusses them with the SC and proposes appropriate changes to the draft. This meeting is usually held in November of the year of or following the member consultation period.
- the making of consequential proposals to:
  - send draft standards for member consultation
  - approve the standard and send it to the Commission for adoption
  - initiate a further round of consultation or
  - send the draft back for redrafting by the steward or an expert drafting group.

#### ***Time requirements***

The participation as a SC member may involve a considerable time input. The estimate of this time input would be, as a minimum:

- 3–4 weeks for meetings (depending on involvement in the SC-7 and travel distance)
- 2 weeks to review draft standards
- 2 weeks to review member comments.

This may be increased if the SC member participates in regional workshops on draft standards and/or is a steward of an ISPM(s).

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

#### ***Regional communication***

SC members are requested, where possible, to assist with the communication of information regarding the draft standards to countries within their region. This could be done by discussing the issues with other regional experts, attending regional workshops on draft standards, or contributing to supplementary written information on the draft standards. SC members should also respond to concerned members about comments that were not incorporated into draft ISPMs.

SC members also inform experts nominated for expert drafting groups from their region if they were not selected.

#### ***Duties of SC members in an expert drafting group when they are not a steward***

The Commission recommends that each expert drafting group have one SC member within the group. The SC member can be a basic member of the group (see *Guidelines for the operation of expert working groups*, Section 3.7) or can be a steward (see *Guidelines on the role of a steward* (Section

3.5.6) and *Duties of SC members in an expert drafting group when they are a steward* below). The SC member may assist with the expert drafting group more than an ordinary member because of their experience. The duties of a SC member of the expert drafting group who is not a steward may include:

- Prior to the meeting of the expert drafting group:
  - assist with the arrangements for the meeting
  - offer their advice to others organizing the meeting.
- During the expert drafting group meeting:
  - explain the standard setting process, if necessary
  - act as the chair or rapporteur if required
  - participate as an expert
  - assist the steward as required.
- At the SC meeting:
  - act as a backup to the steward to explain the draft standard and the main discussion points during the expert drafting group meeting.

Frequently the SC member is the steward for the standard (see Section 3.5.6).

#### ***Duties of SC members in an expert drafting group when they are a steward***

It is intended that most expert drafting groups will have a steward that is a SC member. The functions of a steward are described in detail in Section 3.5.6. A brief summary of these duties are:

- participate in the selection of experts
- explain the standard setting process and the specifications to the expert drafting group
- assist in the development of discussion papers
- assist the Secretariat in the organization and running of the meeting
- explain the main points of the draft standard to the SC and answer questions
- assist in the analysis of member comments.

#### ***Examination of specifications for standards***

The SC member carefully reviews the specifications for standards that are prepared by, or under the auspices of, the Secretariat.

The SC member reviews the specifications by:

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

#### ***The examination of procedural and administrative documents***

The Commission adopts procedural and administrative documents (e.g. terms of reference and rules of procedure of various groups). These are reviewed by the SC to ensure they are consistent with the standard setting process and feasible. They are then amended if necessary and forwarded to the Commission.



***Other administrative duties***

These include:

- approval of the membership of expert drafting groups
- approval of stewards for expert drafting groups
- approval of subjects for specific standards as proposed by technical panels
- establishment of open-ended discussion groups
- review of priorities for ISPMs proposed by the SPTA with the opportunity to add other priorities
- undertaking of other duties as requested by the Commission.



### 3.5.6 Stewards of ISPMs

The ICPM-6 (2004) recommended an expanded role of stewards; that they should be invited to relevant SC meeting to assist the work of the SC on the standard that the steward is responsible for; and that the Secretariat should supply editorial expertise to assist stewards in carrying out their role<sup>124</sup>. Guidelines on the role of stewards were therefore developed<sup>125</sup>.

#### *Guidelines on the role of a steward*<sup>126</sup>

##### Selection of stewards

Stewards are senior plant health officers or scientists who are familiar with the standard setting process. Proposed stewards should recognize that considerable time may be required (see point 3 below). Stewards should be drawn from the SC if possible or from the membership of the expert drafting group.

##### Role of the steward

In general terms, the role of the steward is to oversee a technical panel or assist with the development of a particular standard from the time of the drafting of the specification to the adoption the standard by the Commission and to provide a linkage between the expert drafting group and the SC. The functions of a steward will vary according to the nature and complexity of the technical panel or standard and the requirements stated in the specification. The steward should assist the Secretariat to ensure that the expert drafting group follows the IPPC standard setting procedures. The steward could be involved in the following sequence of normal standard development.

##### Prior to the expert drafting group meeting

If requested, the steward may be able to provide guidance to the Secretariat and SC in relation to the selection of experts for the expert drafting groups. The steward should liaise with the Secretariat to ensure that discussion papers are produced for the expert drafting group meeting.

##### At the expert drafting group meeting

The steward would be expected to:

- explain the standard setting process
- explain the requirements of the specification to the expert drafting group at the time of its first meeting. Hence, the steward should have a good understanding of the specification for the standard. If some issues are unclear, the steward should discuss the matters with the Secretariat or members of the SC.
- assist with the running of the meeting
- assist the Secretariat to complete the draft standard
- assist the Secretariat in the preparation of the meeting report.

At the SC meeting that approves draft ISPMs for member consultation

The steward may attend the relevant SC meeting to assist the work on the standard that he or she is responsible for. If the steward cannot attend the SC meeting, he or she should provide documentation about the standard, brief a SC member or hold a conference call with the SC.

At regional workshops on draft ISPMs

<sup>124</sup> ICPM-6 (2004), Appendix IX, Paragraph 5

<sup>125</sup> SC (November 2006), Paragraph 104

<sup>126</sup> Modified by the SC (November 2008)

In order to support member consultation, stewards should assist the Secretariat in preparing a presentation of their draft standard and by attending a workshop.

Prior to the SC meeting that approves draft ISPMs for adoption at Commission meetings

In preparation for the meeting, the steward should review member comments according to the following guidelines:

- Sufficient time should be allocated to the task of reviewing member comments. In the interests of quality work it should be anticipated that 50 comments per day is the most that can usually be dealt with adequately.
- A standard response key is recommended for primary indication of how a comment has been acted on by the steward. This keyword should precede any other steward comments. There are four options:
  - incorporated: where a comment has been acted upon and incorporated exactly as written
  - modified: where the comment was acted on, but not exactly as written
  - considered: where the comment has not been acted upon at all and has not been incorporated by the steward
  - for consideration by SC: this may be where the comment has not been acted on by the steward, not because it has not been incorporated, but because consideration of the full SC is required. In addition, this keyword should be used to indicate where a comment has been acted upon, but it is still necessary to bring it to the attention of the SC for their awareness. This includes comments which the steward believes require review by the SC rather than the steward alone.
- In the interests of transparency for members of the SC, wherever a comment has not been incorporated, a response by the steward may provide some reasoning for this decision. An overview of such cases is also provided by the steward to the SC.
- To assist the SC, the steward may prepare a list of the comments that require their review. This list should identify (by number) every comment that has been identified as “for consideration by SC.”
- As part of this task, the steward should also consider and act upon editorial comments as appropriate.

At the SC-7 meeting that modifies draft ISPMs for the SC prior to being recommended for adoption at Commission meetings

The steward, if not a member of the SC-7, is invited by the Secretariat and encouraged to attend the relevant SC-7 session in which his/her standard is discussed to assist with discussions on the member comments. If the steward cannot attend the meeting, he/she should provide documentation about the standard, brief an SC-7 member or be available to hold a conference call with the SC-7.

#### Prior to the Commission meeting at which adoption of the ISPM is considered

Prior to the Commission Meeting at which the draft standard is presented for adoption, stewards should be provided with copies of any written comments received. Where possible, the steward should review these comments and provide written suggestions on how best to respond to the comments, accompanied by rationale as appropriate.

#### At the Commission meeting at which adoption of the ISPM is considered

Where possible, the steward should participate in any special meeting on the draft standard that takes place at the Commission meeting. This would allow the steward to participate in discussions, as appropriate, and indicate the expert drafting group’s intention on various points that may arise.



### Conclusion

The level of involvement of the steward in the preparation of a standard will vary with the complexity of the standard. There is also likely to be limits on the time that some stewards can spend on this work and the travel expenditures regarding SC meeting attendance. The estimated time requirements for the involvement of a steward in a single standard is at least eight weeks, including activities such as reading documents, developing discussion papers, attending the expert drafting group meeting, reporting, preparation of a presentation for regional workshops on draft ISPMs, reviewing member comments, attending SC or SC-7 meetings, or briefing SC members. Contracting parties, and the regional plant protection organizations of which they are members, are encouraged to support the production of standards by supporting the work of stewards where this is possible.

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

### 3.5.7 SC-7 Working Group

The SC-7 is a working group of the SC.

#### *Terms of reference*<sup>127</sup>

##### Scope

The SC-7 working group of the SC supports the work of the SC in the detailed consideration of documents.

##### Structure of the SC-7 Working Group of the Standards Committee

The SC-7 consists of seven members.

##### Functions of the SC-7

The SC-7:

- examines all of the substantive member comments (including proposed amendments) identified by the steward;
- reviews and revises draft ISPMs prepared by the stewards in response to member comments and proposes revisions to the SC;
- drafts SC responses to substantive member comments not incorporated into the draft ISPM as identified by the steward;
- proposes which changes to draft ISPM should be considered further by the SC;
- explains the proposed revisions to draft ISPMs to the SC as required, and
- carries out other functions regarding draft standards and specifications as directed by the SC.

##### IPPC Secretariat

The Secretariat provides administrative, technical and editorial support as required by the SC-7. The Secretariat is responsible for record keeping regarding the work of the SC-7 and for the drafting of a report from the SC-7 meeting which is not held in conjunction with a SC meeting.

The Secretariat provides expertise in the use of the English language, if required.

##### Rules of procedure

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

Members should be selected from members of the SC, representing seven FAO regions.

Contracting parties agree that SC-7 members dedicate the necessary time to participate in a regular and systematic way in the SC-7 meetings.

The SC is responsible for selecting the SC-7 members. The IPPC Secretariat is notified of the selections.

###### *Rule 2. Temporary replacement of members*

Temporary replacement members of the SC-7 for specific meetings are selected by the SC members of each FAO region and the SC-7 member notifies the Secretariat well in advance of the meeting.

###### *Rule 3. Period of membership*

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<sup>127</sup> Standard Committee (November, 2008), Appendix 8



Terms of membership shall correspond to the terms of membership of the SC as outlined in Rule 3 of the Terms of reference and Rules of procedure for the SC.

Membership of the SC-7 lapses with membership of the SC or upon resignation.

#### *Rule 4. Chairperson*

The Chairperson of the SC-7 is elected by the members of the SC-7 at the beginning of each meeting.

#### *Rule 5. Sessions*

Meetings of the SC-7 are normally held at the FAO Headquarters in Rome or wherever the SC meets.

The SC-7 meets at least once per year. Depending on the workload and resources available, the SC, in consultation with the Secretariat and the Commission Bureau, may authorize the SC-7 to hold an additional meeting.

A session of the SC-7 shall not be declared open unless there is a quorum of at least 5 members.

#### *Rule 6. Observers*

Observers are limited to the chair of the SC, stewards and subject experts who are invited by the Secretariat. Stewards and subject experts are invited to attend specified sessions of the SC-7 meeting. The SC-7 recommends experts to be invited if necessary. In cases when the SC-7 meets instead of the SC, members of the SC may participate as observers on request to the Secretariat.

#### *Rule 7. Decision making*

Decisions are taken through consensus. If no consensus is possible the matter is referred to the SC.

#### *Rule 8. Reports*

The chair of the SC-7 will provide a verbal report to the SC on the activities of the SC-7 and in cases when the SC-7 do not meet in conjunction with a meeting of the SC, a full report of the meeting will be prepared by the Secretariat and adopted by the SC-7.

#### *Rule 9. Records*

Records shall be kept by the Secretariat. The record of the meetings shall include:

SC-7 revisions to steward's draft ISPMs responding to member comments, and

SC-7 revisions to steward's draft summaries of responses to member comments.

#### *Rule 10. Language*

The working language of the SC-7 should be English.

#### *Rule 11. Amendments*

Amendments to the Rules of Procedures and the Terms of Reference may be promulgated by the SC as required.

### 3.6 Technical Panels

Technical panels (TP) were established<sup>128</sup> to develop standards under special process. Five technical panels are currently established:

- Technical panel 1: Technical panel to develop diagnostic protocols for specific pests (TPDP)
- Technical panel 2: Technical panel on pest free areas and systems approaches for fruit flies (TPFF)
- Technical panel 3: Technical panel on phytosanitary treatments (TPPT)
- Technical panel 4: Technical panel on forest quarantine (TPFQ)
- Technical panel 5: Technical panel on the glossary (TPG)

TP members should work according to the specification for each TP approved by the SC and the procedures of the TP, which are included in the IPPC Procedure Manual and which should be in accordance with other procedures approved by the SC.

#### 3.6.1 Recommendations for the use of Technical Panels<sup>129</sup>

The SC should establish Technical Panels in specific areas to assist the work of the SC

These Technical Panels should work under general specifications established by the SC, according to Section 5 of the Terms of Reference of the SC, with membership according to current expert working group membership rules. Technical Panels should be groups responsible for the development of specific standards under the fast track system and also for providing advice at the request of the SC in their specific allocated subject area.

Under the direction of SC, Technical Panels should provide the SC with: draft technical standards under the special process, advice on draft technical standards, advice on country comments and advice on topics and priorities for technical standard development in their field of activity and other task as requested by SC. Technical Panels may draw on specialized expertise, the work of other working groups, other appropriate standards and the work of other relevant organizations in their work as appropriate. The chair of the Technical Panel should act as the steward for the subject area of the Technical Panel.

Potential areas for the formation of Technical Panels may include technical matters such as diagnostics, seed pathology, specific pest free areas, organism or commodity specific standards or treatments.

When the specific work of a Technical Panel is completed the SC should disestablish the group.

The ICPM-6 (2004) limited the role of TPs to the now special process standard setting process and to providing technical advice to the SC when requested<sup>130</sup>. However, it recognized that there may be occasions when it is appropriate to seek advice from TPs for some standards being developed under the regular standard setting process.

<sup>128</sup> The ICPM-6 (2004) made provision for technical panels to develop standards the fast-track standard setting process (paragraph 77); the CPM-3 (2008) amended the fast-track process to the special process (paragraph 81).

<sup>129</sup> ICPM-6 (2004), Appendix IX, Paragraph 2

<sup>130</sup> ICPM-6 (2004), Paragraph 77.5.



### 3.6.2 Terms of Reference and Rules of Procedure for Technical Panels

The Terms of Reference and Rules of Procedure for Technical Panels were developed and approved by the CPM-3 (2008)<sup>131</sup>.

#### *Terms of reference*

##### Scope of Technical Panels

Technical Panels (TPs) assist the SC in the development of ISPMs in their specified technical areas<sup>132</sup> on topics which have been determined by the Commission.

##### Objective

The main objective of TPs is to develop specific draft standards, annexes, supplements, amendments or additions to standards on topics in their specified technical areas requiring continuous work, as well as advising the SC on scientific or technical matters.

##### Structure of Technical Panels

TPs should consist of 6-10 members with the necessary scientific expertise representing a wide geographic area (including proportional developing country participation). In specific cases and depending on the technical area, a TP may consist of more or less members according to the SC's decision.

##### Functions of Technical Panels

TPs operate under the guidance and supervision of the SC, and serve as a forum for providing:

- draft standards, annexes, supplements, amendments or additions to standards in their specified technical areas
- advice on member comments in their technical area
- advice on subjects, topics and priorities for technical standard development in their technical area, and
- other tasks as requested by the SC within its mandate and to progress the objectives of the TP.

##### IPPC Secretariat

The Secretariat provides administrative, technical and editorial support as required by TPs. The Secretariat is responsible for reporting and record keeping.

##### Establishment of Technical Panels

TPs are established by the Commission and work on an ongoing basis until disestablished by the Commission on the recommendation of the SC.

<sup>131</sup> CPM-3 (2008), Appendix 11

<sup>132</sup> For details on the terms "technical area", "topic" and "subject", see section 3.2.2.



## ***Rules of procedure***

### **Rule 1. Membership**

Members of TPs should have the necessary scientific expertise and subject matter experience, and should be able to participate and contribute to the proceedings. The steward of the TP is considered a member.

Membership of TPs should be reviewed by the SC on a regular basis and may be adjusted as necessary, taking into account, in particular, changes in the needs of scientific or other expertise required and in the professional duties of the experts.

### **Rule 2. Procedure for nomination and selection of Technical Panel members**

Members of TPs are nominated and selected according to the following:

- the Secretariat requests nominations as directed by the SC;
- contracting parties, NPPOs, RPPOs or, exceptionally, the IPPC Secretariat, submit nominations of experts;
- the Secretariat summarizes and comments on the nominations, and submits them to the SC and the Commission Bureau. The SC selects the members based on their demonstrated expertise and communicates this to the Secretariat; and
- the Secretariat maintains lists of Technical Panel members on the IPP.

### **Rule 3. Period of Membership**

Members of TPs may serve for a 5 year period<sup>133</sup>, after which, with the member's agreement, the SC may extend membership for additional terms. The SC may, in accordance with Rule 1 of these Rules of Procedure, change or amend the membership of TPs at any time. Membership should be reviewed regularly by the SC, and membership may be confirmed. Extension of membership does not require the application of the nomination procedure according to Rule 2. Members may at any time withdraw from the TP.

### **Rule 4. Chair**

The Chairpersons of TPs are elected at each meeting by their members.

### **Rule 5. TP Steward**

Each TP should have a TP steward, selected by the SC. Where possible, that TP steward should be a member of the SC. The TP steward is responsible for liaison between the SC and the TP, ensuring the TP follows the guidance given by the SC.

### **Rule 6. Other stewards**

Stewards assigned by the SC to work on a specific standard, annex or supplement referred to the TP may also participate in that TP meeting.

### **Rule 7. Observers and participation of non-members of the Technical Panel**

TPs should not allow observers.

In specific cases, with prior agreement of the TP members and without objection of the SC, the TP may invite individuals with specific expertise to participate on an ad hoc basis at a specified meeting or part of a meeting of a TP, as invited experts.

<sup>133</sup> The CPM-3 (2008) noted that the calculation for 5 year terms for membership of Technical Panels would commence with the adoption of the Terms of Reference and Rules of Procedure (CPM-3 (2008), Paragraph 95.2)



A representative of the host country and/or organization may participate in the meeting of a TP, and assist the IPPC Secretariat in the organization and efficient running of the meeting.

Decisions of TPs are taken by their members only.

#### Rule 8. Sessions

TPs should meet as necessary, generally once a year. E-mail, teleconferencing and other modern communication methods should be used where possible to prepare and supplement face to face meetings of TPs<sup>134</sup>.

#### Rule 9. Approval

Approvals relating to draft documents and agreement on advice provided to the SC should be by consensus and communicated to the SC by the relevant steward. If consensus is not reached, contentious issues should be bracketed in the text of the draft document, positions explained in the report and brought to the attention of the SC.

#### Rule 10. Reports

The report of each TP meeting should be published on the IPP. Major discussion issues should be noted in the report and the rationale for conclusions should be recorded.

The report should be presented to the SC by the TP steward advising the SC of the specific actions that they are requested to take.

#### Rule 11. Working Language

English should be the working language of TP meetings.

#### Rule 12. Amendments

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

#### ***Common procedures for Technical Panels***<sup>135</sup>

- Technical panels operate under the guidance and supervision of the SC in accordance with the Terms of Reference and Rules of Procedure for Technical Panels (see report of the CPM-3 (2008), Appendix 11).
- In relation to their technical areas, technical panels should:
- Assist in the development of draft standards, annexes, appendixes, supplements, amendments or additions to standards in response to requests for work by the Commission and as directed by the SC. Specific guidance is provided in the specification for each technical panel.
- Propose topics and priorities for new or revised standards (including supplements, annexes, appendixes or other components of standards) for inclusion in the Commission work programme via the biennial call for topics, and in accordance with the Procedure and criteria for identifying topics for inclusion in the List of topics for IPPC standards (see Section 3.1).
- Propose subjects and priorities to the SC for new or revised standards (including supplements, annexes, appendixes or other components of standards) under any topic that is already on the List of topics for IPPC standards.

<sup>134</sup> The bulk of TP meetings have been moved to the summer months in order to avoid conflicts with the peak preparation period for the Commission Meeting (Bureau June 2009, paragraph 12)

<sup>135</sup> The CPM-3 (2008) requested the SC to carry out pending actions as detailed in paragraph 22 of the Commission Meeting Document CPM 2008/21 to include TPs, under the guidance of the SC, to check each TP working procedure to make sure that it is not contradictory to changes in the standard setting procedures (CPM-3 (2008), Paragraph 99.6). As modified by the Standards Committee (November 2008)

- Provide advice on work areas that need further research or investigation and propose a strategy for progression of the topic.
- Provide advice on whether the work of the technical panel overlaps with the work of other IPPC groups and ensure coordination with these groups to prevent duplication of work. Propose a mechanism for any interactions.
- Provide advice on outcomes and issues of relevant IPPC workshops or meetings or other relevant meetings and monitor technical and scientific progress in the relevant field. Where appropriate, make recommendations to the SC.
- Propose an annual work programme for the technical panel taking into account the direction given by the SC.
- Produce a report of each meeting in accordance with Rule 10 of the Terms and reference and rules of procedures of technical panels, reporting on all the elements above and presenting, as relevant, new or revised technical panel working procedures.
- Produce an executive summary of the work of the technical panel for the SC as necessary, including recommendations for action. This is reported to the SC, through the steward, generally at the May meeting of the SC (or at the November meeting for specific topics if needed).

### ***Work on “subjects”***

The Technical Panel on the Glossary, Technical Panel on Diagnostic Protocols and Technical Panel on Phytosanitary Treatments were currently the only technical panels allowed to work on “subjects”<sup>136</sup>.

<sup>136</sup> Following the Focus Group meeting in July 2007 and review by the SPTA and the SC, a hierarchy of terms (technical area, topic, subject) were developed to clarify the different types of items on which expert drafting groups might work (CPM-3 (2008), Paragraph 89.2)

### 3.6.3 Technical Panel to develop diagnostic protocols for specific pests (TPDP)

#### *Current tasks of the TPDP*<sup>137</sup>

The tasks of the TPDP are described in the *Specification TP1 Rev 3- Technical Panels on Diagnostic Protocols*<sup>138</sup>.

#### *Issues associated with technical standards*<sup>139</sup>

The CPM-4 (2009) discussed issues associated with technical standards and :

- Underlined its agreement with the statements below in accordance with ISPM 27:
 

Diagnostic Protocols are developed to allow general use by competent diagnosticians in a laboratory performing pest diagnosis as part of phytosanitary measures. The methods described in diagnostic protocols provide the minimum requirements for reliable diagnosis of the specified regulated pests and include information on the specificity, sensitivity and reproducibility of these methods, where available. Methods providing other levels of specificity, sensitivity and reproducibility are also included where appropriate.

DPs usually describe more than one method to take into account the capabilities of laboratories and the situations for which the methods are applied. They provide guidance, but NPPOs should determine which methods are appropriate for their circumstances.

Once adopted, DPs will be reviewed regularly by the TPDP and updated to take into account advances in diagnostic methods.
- Acknowledged that DPs are based on the level of scientific knowledge available at the time of drafting. They will have been considered by appropriate experts and reviewed by a TPDP referee for consistency with the requirements of ISPM 27 prior to submission to the Standards Committee.

#### *TPDP Working Procedures*<sup>140</sup>

##### Annual work programme

The TPDP annually identifies priority subjects for diagnostic protocols (DP) taking into account guidance from the Standards Committee (SC), and any requests for reviews and amendments to a DP that have been received by TPDP members and the criteria for prioritization of DPs. The TPDP submits recommendations on subjects to the SC. NPPOs and RPPOs may also submit subjects for a DP in response to the IPPC Secretariat's biennial call made for topics to be considered for the List of topics for IPPC standards. The list of subjects may be revised by the CPM.

The TPDP reports annually through the Steward to the SC. This report includes the achievements during the year, proposals for subjects, a proposed work programme, report on tasks allocated by the SC, such as revision of working procedures as necessary, and other items needing SC decision.

##### Nominations of experts

Once subjects for DPs are put on the List of topics for IPPC standards, the IPPC Secretariat issues a call requesting nominations of experts for DPs identified as priorities and posts the call on the IPP. For seed-related DPs the Secretariat also informs the International Seed Testing Association and the International Seed Federation of the call.

The TPDP discipline leads are encouraged to notify relevant experts of the call.

<sup>137</sup> Introduced into the work programme by the ICPM-6 (2004)

<sup>138</sup> Specification approved by the SC in April 2004. First revision approved by the SC in November 2004. Second revision approved by the SC in May 2007. Third revision approved by SC in May 2011

<sup>139</sup> CPM-4 (2009), Paragraph 117

<sup>140</sup> Approved by the TPDP (October 2006) and noted by the SC. Revised by the TPDP (June 2008, Annex 5) and noted by the SC (November 2008). Revised by the TPDP (July 2010, Annex 5) and noted by the SC (May 2011).

Experts are encouraged to be nominated by NPPOs or RPPOs, but all nominations will be considered

The CVs of nominated experts are reviewed by the discipline lead taking into account the expertise required for authors for DPs (as detailed below). The TPDP discipline lead recommends an expert to lead the development of a DP (lead author) and a small group of experts to assist them with the development (editorial team). This information, along with a summary of the expertise of each expert, is submitted to the TPDP, who agrees or amends the recommendations as appropriate. The list of lead authors, editorial teams and referees is included in the TPDP report, which is presented to the SC.

#### Expertise required for experts to draft DPs

The editorial team should have appropriate global coverage.

Authors of existing DPs, such as regional DPs, should be included in the editorial team, where appropriate.

#### Core expertise required

Diagnostic expertise with the pest.

#### Additional expertise that would be helpful:

- taxonomy and molecular diagnostics
- practical experience related to the pest (detection, identification, isolation etc.)
- drafting of DPs (such as regional DPs)
- development of novel diagnostic methods
- experience using DPs for diagnosis of regulated pests, including in the context of international trade
- experts associated with international seed testing organizations may be included, where considered appropriate by the TPDP.

#### The development of a draft DP

The lead author uses ISPM 27 (*Diagnostic Protocols for Regulated Pests*) and the *Instructions to authors of diagnostic protocols for regulated pests* to produce a first draft. Additional guidance is provided by the TPDP discipline lead if needed.

The lead author is assisted in the preparation of the DP by the editorial team.

Where the subject of the DP is above species level, or the scope is unclear, the discipline lead and author, in consultation with the editorial team, should propose amendments to the scope of the DP. The TPDP may modify the amended scope and should inform the author and the editorial team. The TPDP should report on its discussions to the SC, in the report of a meeting or by email through the Secretariat.

Where disagreement arises within an editorial team during preparation of a protocol, the author should discuss the issues with the discipline lead. The discipline lead may discuss the issues, if necessary, with the full editorial team in order to resolve them. The discipline lead should decide how to proceed based on scientific evidence and present a proposal to the TPDP. Once the proposal is final, it should be reported to the author and editorial team.

#### Changes to the editorial team

When an expert who has been chosen as lead author is unable to continue in this role, the TPDP discipline lead will ask a member of the editorial team to become the lead author. The TPDP is informed of the change of leadership.



Where additional experts are required for the editorial team, the TPDP discipline lead, in consultation with the lead author, chooses from the experts nominated in the original call for authors. If no suitable experts are available, the IPPC Secretariat is requested to seek new nominations for the DP by announcing the vacancy on the IPP, with a 30 day deadline for receipt of CVs. The TPDP discipline lead or editorial team may also notify relevant experts of the call... The TPDP discipline lead reviews the CVs and submits a recommendation of an expert, along with a summary of their expertise to the TPDP, who reviews and approves the addition, which is included in the TPDP's annual report to the SC. In special circumstances (e.g. when the expertise was so small for the pest that the discipline lead was aware of all experts working on it), discipline leads might "hand-pick" an expert, and submit a recommendation to the TPDP.

In its review of the status of protocol the TPDP also reviews the list of lead authors, editorial teams and referees to identify those teams where additional authors or replacements are needed.

When the lead author or a member of the editorial team is not answering, the discipline lead should request the Secretariat to contact the NPPO (date of the last attempt to contact the expert should be provided).

### Assessment of draft DPs by the TPDP

The lead author and editorial team discuss the draft DP (possibly involving other experts)

Once the author and editorial team are satisfied with the draft DP, the author submits it to the TPDP discipline lead .

The TPDP discipline lead reviews the draft DP and ensures it meets all the requirements set out by ISPM 27 (*Diagnostic Protocols for Regulated Pests*) instructions previously agreed to by the TPDP including the checklist for DPs.

The discipline lead consults the lead author and editorial team to modify the draft.

The draft DP should then be reviewed by a wider group of experts from the particular discipline related to the DP in order to ensure broad global relevance.

The discipline lead may in consultation with the lead author request from the Secretariat that the draft is put on the IPP publicly available for comments by experts to be submitted by e-mail to the discipline lead (and lead author). This public consultation should be advertised (e.g. through NPPOs, RPPOs, scientific societies and networks (e.g. thrips net etc.), relevant organisations, conferences etc.)

The draft may be revised by the lead author based on expert comments. The lead author lists experts involved and records substantial comments that were not be included in the draft.

Once the discipline lead and lead author consider that the expert consultation has been completed the draft is submitted to the member of the TPDP identified as referee together with a list regarding consultation on the technical level (written by; reviewed by; fora at which the draft was discussed) and a list of main issues discussed during the development of the draft.

The referee reviews the draft, assembles comments using the "checklist for DP review" and proposes changes of the draft to the discipline lead.

The discipline lead consults the lead author and editorial team to modify the draft.

Once satisfied with the draft DP, the TPDP discipline lead sends the draft DP and updated "checklist for DP review" to the entire TPDP, through the Secretariat, for assessment. The checklist should show that the draft fulfils the requirements. If relevant, the discipline lead should highlight in the protocols sections modified based on comments received at a meeting or by email. [Note: Protocols not meeting the requirements may be presented to the TPDP only to solve specific issues of content or scope. In

this case, it is preferable to present only questions, except if the text of the diagnostic protocol is necessary to the discussion.]

The TPDP either finds the draft DP suitable for member consultation and recommends it to the SC, or returns with specific comments or proposals it to the lead author and editorial team for further work, or agrees on some other action such as to consult with other relevant experts.

#### Review of member comments on a draft DP

Member comments are compiled by the Secretariat

Compiled member comments are forwarded to the TPDP discipline lead for action, to the TPDP, TPDP steward and SC for information, and are posted on the IPP.

Member comments are reviewed by the TPDP discipline lead, who produces an amended draft (with track changes) and includes responses to member comments within the compiled member comments. The TPDP discipline lead should consult with and may be assisted by the lead author and editorial team in this process, and should be assisted by the steward on specific matters. The amended draft and responses to comments are circulated to all TPDP members, with a recommendation from the TPDP discipline lead and steward on how to proceed.

Substantial comments that have broad implications should be discussed by the TPDP, even if the discipline lead might have made a proposal for the specific DP under consideration. This process is coordinated by the TPDP discipline lead or TPDP steward. Proposed changes may be incorporated or not, or the TPDP may recommend further study, with the reasons documented.

Whether the draft is changed or not as a result of member comments, the compiled comments and responses to comments are submitted to the SC

If no amendments are made to the draft, it is submitted to the CPM for adoption.

If the draft standard is changed as a result of comments, the draft is submitted to the SC, with recommendations on how to proceed.

#### Review of published DPs

On a regular basis, the TPDP members review existing DPs in their disciplines. In consultation with the original authors and editorial teams, discipline leads recommend updates to take into account newly published and/or validated methods, and modifications to methods in existing DPs. Proposals for update are presented to the TPDP. If a change is required, the TPDP makes a proposal and sends it to the SC with recommendations.

#### ***Role of TPDP Members***<sup>141</sup>

TPDP members:

- Track and manage preparation of DPs under their lead, including editing and ensuring compliance with ISPM 27.
- Consult and use TPDP procedures available on the TPDP work area.
- Ensure proper communication with lead authors and editorial teams, including: contact authors and editorial team once selected; inform authors and editorial teams of changes in procedures or instructions relevant to development of DPs; ensure that lead authors engage their editorial teams in the drafting process; maintain appropriate contact with lead authors and editorial

<sup>141</sup> Approved by the TPDP (October 2006) and noted by the SC. Revised by the TPDP (June 2008, Annex 5), noted by the SC (November 2008). Revised by the TPDP (July 2010, Annex 5) and noted by the SC (May 2011) as part of the TPDP working procedures.

teams. In case of communication problems with an expert (wrong address, no response, etc.), contact the Secretariat with details on last attempt(s).

- Identify protocols for which new lead authors or additional/replacement members of the editorial team are needed.
- Regularly update the document on the status of DPs for each DP under their lead (at dates indicated on the annual work plan) and provide updates at the TPDP meeting, including issues raised during the development of the DP.
- Act as referees for draft DPs and assemble comments using the “checklist for DP review”.
- Use the “checklist for DP review” for each DP under their lead, when receiving the first draft and before presenting a draft DP to the TPDP.
- Manage the response to comments received during member consultation
- Review published DPs in their discipline, and recommend revision as appropriate.
- On demand from the Secretariat, arrange for the preparation of a powerpoint presentation on a draft DP for member consultation, in preparation for regional workshops for the review of draft ISPMs.
- When they leave the TPDP, transmit appropriate information to the new member for the discipline.

**Table 5.** Criteria for the prioritisation of diagnostic protocols <sup>142</sup>

1.	Relevance of the diagnosis to the protection of plants including to measures to limit the impact of the pest.
2.	Importance of the plants protected on the global level (e.g. relevant to many countries or of major importance to a few countries).
3.	Volume/importance of trade of the commodity that is subjected to the diagnostic procedures (e.g. relevant to many countries or of major importance to a few countries).
4.	Need for international harmonization of the diagnostic techniques for the pest (due to difficulties in diagnosis or disputes on methodology).
5.	Other criteria for topics as determined by the Commission that are relevant to determining priorities.
6.	Balance between the disciplines (virology, entomology etc) and pests of importance in different climatic zones (temperate, tropics etc) and commodity classes.
7.	Number of labs undertaking the diagnosis.
8.	Feasibility of production of a protocol, including availability of knowledge and expertise.

<sup>142</sup> Approved by the TPDP (September 2007), and modified and approved by the SC in November 2007



### ***Instructions to authors of Diagnostic Protocols***<sup>143</sup>

These instructions are based on International Standard for Phytosanitary Measures (ISPM) 27 (*Diagnostic protocols for regulated pests*) and are compiled to provide more specific explanatory guidance for authors of diagnostic protocols (DPs). Authors are encouraged to study ISPM 27 to ensure that the DP is consistent with the standard. Guidelines on the format of DPs are given as [Annex 11, Part 1](#).

#### ***General considerations***

##### Minimum requirements for reliable diagnosis of regulated pests

Under the heading “purpose and use of diagnostic protocols”, ISPM 27 states:

Diagnostic protocols may be used in different circumstances that may require methods with different characteristics. Examples of such circumstances grouped according to an increased need for high sensitivity, specificity and reliability are:

- routine diagnosis of a pest widely established in a country
- general surveillance for pest status
- testing of material for compliance with certification schemes
- surveillance for latent infection by pests
- surveillance as part of an official control or eradication programme
- pest diagnostic associated with phytosanitary certification
- routine diagnosis for pests found in imported consignments
- detection of a pest in an area where it is not known to occur
- cases where a pest is identified by a laboratory for the first time
- detection of a pest in a consignment originating in a country where the pest is declared to be absent.

These instructions are based on International Standard for Phytosanitary Measures (ISPM) 27 (*Diagnostic protocols for regulated pests*) and are compiled to provide more specific explanatory guidance for authors of diagnostic protocols (DPs). Authors are encouraged to study ISPM 27 to ensure that the DP is consistent with the standard. Guidelines on the format of DPs are given as Appendix 1.

The ISPM also states:

Diagnostic protocols provide the minimum requirements for reliable diagnosis of regulated pests. This may be achieved by a single method or a combination of methods. Diagnostic protocols also provide additional methods to cover the full range of circumstances for which a diagnostic protocol may be used. The level of sensitivity, specificity and reproducibility of each method is indicated where possible. NPPOs may use these criteria to determine the method or combination of methods that are appropriate for the relevant circumstances.

This means that the minimum requirement usually is applicable to one of the first indents (e.g. routine surveillance). Authors should provide information for the National Plant Protection Organization (NPPO) to make decisions on the methodology required for the relevant circumstances.

If necessary, DPs may describe more than one method to take into account the varying capabilities of laboratories and the situations for which the methods are applied. Such situations include diagnosis of different developmental stages of pests, which require different methodologies, as well as the degree of certainty required by the NPPO. For some purposes a single method may be sufficient, for others a

<sup>143</sup> Approved by the TPDP (October 2006, Annex 1), revised by the TPDP (June 2008, Annex 4) and noted by the SC (May 2011) as part of the TPDP working procedures.



combination of methods may be necessary. This applies both to the minimum requirements for a diagnosis and where additional requirements are necessary (such as where a high degree of certainty in the diagnosis is required). In cases where morphological methods can be reliably used but appropriate molecular methods have been developed, the latter should be presented as alternative or supplementary methods.

### Other general considerations

DPs are published as annexes to ISPM 27 (*Diagnostic protocols for regulated pests*). They describe procedures and methods for the detection and identification of pests that are regulated by Contracting Parties of the International Plant Protection Convention (IPPC) and relevant for international trade. They are addressed to diagnosticians/diagnostic laboratories performing official tests as part of phytosanitary measures. The DPs provide guidance on the diagnosis of specified pests. Information is provided on the specified pest, its taxonomic status and the methods to detect and identify it. As indicated in Section 1.1, DPs contain the minimum requirements for reliable diagnosis of the specified pest and provide flexibility to ensure the methods are appropriate for a range of circumstances of use.

DPs may cover a species, taxa below species level, several species within a genus, or an entire genus, for example where several species within a genus are regulated pests.

Authors should draft DPs in accordance with the requirements given in the main text of ISPM 27.

General guidelines on the formatting of DPs are appended. By using these guidelines, authors will help ensure consistency between DPs and facilitate processing of draft DPs. These guidelines will be consolidated as more DPs are developed. Authors are also invited to refer, as a model, to the first DP (for *Thrips palmi*).

DPs are drafted by a group of authors called an editorial team co-ordinated by a lead author and overseen by a discipline lead from the TPDP. The editorial team, including the lead author, is recommended by the TPDP discipline lead and approved by the entire TPDP. To ensure global coverage of the protocol and to facilitate adoption, authors should consult relevant experts from different regions outside of the editorial team prior to submission of final drafts to the TPDP. A cover note giving the list of experts/countries that have written and reviewed the draft, and any main discussion points that have arisen and been resolved should be included.

### **Definitions**<sup>144</sup>

- **Pest Diagnosis:** The process of detection and identification of a pest.
- **Reproducibility:** Ability of a test method to provide consistent results when applied to aliquots of the same sample tested in different conditions.
- **Sensitivity:** Smallest detectable amount of the target (target may include live organisms, antibodies, nucleic acids).
- **Specificity:** Characteristics of a test as concerns its performance with regard to cross-reactions with non-target (false positives) or lack of reaction with target (e.g. subgroups or individuals of the pest) (false negatives).

### **Methodology**

Each DP should contain the methods and guidance necessary for the named pest(s) to be detected and positively identified by an expert (i.e. an entomologist, mycologist, virologist, etc.). Authors should select methods on the basis of their sensitivity, specificity and reproducibility, also taking into account the availability of equipment, the expertise required for these methods and their practicality (for example, ease of use, speed and cost). Only methods of relevance for diagnostics should be indicated in the protocol.

<sup>144</sup> To be modified, if definitions are changed in the document on QA terms (under development)

All methods should be described separately in a consistent manner with sufficient detail (including equipment, reagents and consumables) to be able to perform the test without further reference to the literature. However, common laboratory procedures do not need to be detailed in the text. Brand names should not be given unless they are technically necessary and directly affect the result of the diagnosis (see also below). If the method is based on a commercial kit it is not necessary to repeat the manufacturer's instructions. DPs should not be written in the form of standard operating procedures but should provide sufficient detail to allow NPPOs to develop such procedures. Where appropriate, reference may be made to methodology described in other adopted DPs annexed to the ISPM 27.

For all methods, information on their sensitivity, specificity and reproducibility, and specifications from multi-laboratory validation trials (when available) should be included. These data, as far as possible, should be quantitative, but in the absence of quantitative data, qualitative information may be provided.

The names of particular brands of chemicals, reagents and equipment should, as far as possible, be avoided and a correct designation or description of the chemical, reagent or equipment shall be given rather than a trade name (brand name).

Brand names should only be included when the brand is considered to affect the level of specificity, sensitivity and/or reproducibility quoted in the diagnostic protocol. If this is the case, the brand name may be given in the text but shall be associated with a footnote as follows:

FOOTNOTE: "The use of .....in this diagnostic protocol implies no approval of them to the exclusion of others that may also be suitable. This information is given for the convenience of users of this protocol and does not constitute an endorsement by the CPM of the chemical, reagent and/or equipment named. Equivalent products may be used if they can be shown to lead to the same results."

If it is known that only one chemical, reagent and/or equipment is currently available, that is suitable for the successful application of the protocol, the brand name may be given in the text of the protocol but shall be associated with a footnote as follows:

FOOTNOTE: "The use of .....in this diagnostic protocol implies no approval to the exclusion of others that may also be suitable. This information is given for the convenience of users of this protocol and does not constitute an endorsement by the CPM of the chemical, reagent and/or equipment named. Equivalent products may be used if they can be shown to lead to the same results."

Guidance on positive and negative controls and reference material should be included in each of the tests. Methods where the inclusion of appropriate controls is essential (e.g. enzyme-linked immunosorbent assay [ELISA]) should be indicated. Sources and specifications of controls and reference materials (e.g. catalogue numbers of bacterial reference strains) should be provided.

Authors should provide information and guidance on methods that either singly or in combination lead to diagnosis of the pest. Guidance should also be provided on the interpretation of results, in particular the criteria for the determination of a positive or negative result for each method. General elements on combination of methods are provided as [Annex 11](#), [Part 2](#) for information.

It is not necessary to include all methods which have been reported for a particular pest, only those which are reliable, currently available and considered to be of use for the purposes described in ISPM 27.

If several methods are needed for the diagnosis, and / or if many alternative methods are included, a flow diagram may be presented. It should show the different alternative methods allowing to reach the minimum requirements for the diagnostic. Where relevant, it should present the alternative methods for specific circumstances (e.g. symptomatic fruit, asymptomatic fruit). The diagram should indicate the reliability of each method or combination of methods. It is not intended to be a decision-making tree but is intended to assist NPPOs in determining which method(s) are appropriate for use under different circumstances. It should not refer to different scenarios/situations of use of the diagnostic protocols, i.e. interception etc. When authors conclude that a combination of methods is needed, the

reasons should be provided. The flow diagram should be accompanied by some explanation in the text, indicating the methods available and their advantages. The flow diagram can first be referred to in the *identification* section, before methods are described.

When several methods are mentioned, their advantages and disadvantages should be given (e.g. duration of the test, cost, availability of reagents, requirements for specialized knowledge or equipment, limited validation data available such as covering only some populations of an organism) as well as the extent to which the methods or combinations of methods are equivalent.

If illustrations (e.g. photographs or line drawings) are essential to the diagnosis, they should be included in the protocol (detailed guidance in [Annex 11, Part 2](#)). In addition, photographs that provide additional information but are not essential for the diagnosis may be posted on the IPP. In some cases links may be provided to other web sources for photographs. The lead author is responsible for obtaining any relevant permissions to use the photographs.

### ***Structure and content of a diagnostic protocol***

DPs should follow the layout of section 2 of ISPM 27 and should be arranged into the following sections, numbered as follows:

1. Pest information
2. Taxonomic information
3. Detection
4. Identification
5. Records
6. Contact points for further information
7. Acknowledgements
8. References

Each section should be divided into sub-sections as required (especially the detection and identification sections) and both sections and sub-sections should be numbered. An index of the sections should be included at the start of the DP and the pages of the DP numbered. As DPs themselves will be annexes to ISPM 27, they should not have annexes or appendices.

#### **Pest information**

Authors should provide brief information on the pest (generally less than one page of type-written text), including, where appropriate, its life cycle, morphology, variation (morphological and/or biological), relationship with other organisms, host range (in general), effects on hosts, present and past geographic distribution (in general, not country-by-country), mode of transmission and dissemination (vectors and pathways). It is not necessary to include specific details about the epidemiology of the disease or its management.

Supplementary information, such as detailed information on the pest's geographic distribution or hosts, should not be included except when directly relevant for diagnosis. The DP is not intended to be a pest data sheet but reference to such data sheets should be provided when publicly available and considered to provide useful background information.

All general information on the pest (biology, hosts, etc.) should be under this section, and not under other sections of the protocol.

#### **Taxonomic information**

Under this section, the correct scientific name and authority should be given and an overview of the relevant taxonomic hierarchy (e.g. Kingdom, Phylum, Order, Family, Genus, Species, relevant below species taxon). Mention the references used for the scientific names indicated in this section.

Include synonyms and relevant former names (these may be taxonomically incorrect but relevant in relation to the literature) as appropriate. Only important synonyms should be mentioned, listed by chronological order. If there are other synonyms, a reference to a publication listing them can be added.

For fungi, the teleomorph name should be used; teleomorph synonyms may be included as appropriate. The anamorph name and its synonyms (as relevant) should also be presented. For viruses, internationally recognized acronyms should be included.

The English common names widely used in international scientific literature should also be included. If possible and available, indicate a reference giving common names in other languages (but do not include common names in other languages in this section).

### Detection

As stated in ISPM 27, this section provides information and guidance on:

- the plants, plant products or other articles capable of harbouring the pest
- the signs and/or symptoms associated with the pest (characteristic features, differences or similarities with signs and/or symptoms from other causes), including illustrations, where appropriate
- the part(s) of the plant, plant products or other articles on/in which it may be found
- the developmental stages of the pest that may be encountered, together with their likely abundance and distribution on/in the plants/plant products or other articles
- the likely occurrence of the pest associated with developmental stages of the host(s), climatic conditions and seasonality
- methods for discovering the pest in the commodity (e.g. visual, hand lens)
- methods for extracting, recovering, and collecting the pest from the plants, plant products or other articles, or for demonstrating the presence of the pest in the plants, plant products or other articles.
- methods for indicating the presence of the pest in asymptomatic plant material or other materials (e.g. soil or water), such as ELISA tests or culturing on selective media
- viability of the pest

The ISPM also states that *guidance is also provided on resolving possible confusion with similar signs and/or symptoms due to other causes.*

Methods for detection may be interpreted differently depending on the type of pest being considered. For example, detection of an insect may relate to observation of individuals or signs of damage in consignments, whereas detection methods for bacteria may involve culturing extracts of suspected plant material on differential or semi-selective medium.

When a detection method may also be used for identification, it is recommended that it is described in the detection section and then referred to in the following identification section. Any comments about its use for detection or identification should be included in the relevant section. Methods that detect a group of pathogens rather than a specific pathogen should be described in the detection section.

Sampling in protocols refers to sampling for laboratory analysis, not to sampling for inspection of a commodity. For seed/grain, it might be acceptable to give more details. Sampling procedures for inspectors and inspectors' instructions on recognition of the pest from signs and symptoms should not be included but only essential information for diagnosis should be given. Procedures for inspectors are likely to be covered in an inspection manual. Additional information on the sample that may be relevant for proper diagnosis should be provided (e.g. storage conditions).

Note: in some cases (e.g. virology), sections 4.3 Detection and 4.4 Identification might be combined.



## Identification

In this section, in addition to a description, authors should provide information and guidance on methods that either used alone or in combination lead to the identification of the pest. Methods for quick, presumptive indications of identity (which will later need to be confirmed) may also be included.

Two main types of methodology are included in DPs, methodologies based on morphological, morphometric or biological characteristics of a pest and those based on biochemical and/or molecular properties. Morphological characteristics may be investigated directly or may only be examined after culturing or isolation of the pest. This may also be required for biochemical and/or molecular assays. Where culturing or isolation procedures are necessary components of methods, details should be provided.

Where appropriate, methods for isolation of pests from asymptomatic plants or plant products (such as tests for latent infection) should be given as well as methods for extraction, recovery and collection of pests from plant or other material. Methods should similarly be provided for direct identification of pests using biochemical or molecular tests on asymptomatic material.

ISPM 27 states that, for morphological and morphometric identifications, details are to be provided, as appropriate, on:

- methods to prepare, mount and examine the pest (such as for light microscopy, electron microscopy and measurement techniques)
- identification keys (to family, genus, species)
- descriptions of the morphology of the pest or of its colonies, including illustrations of diagnostic characters [as appropriate], and an indication of any difficulties in seeing particular structures
- comparison with similar or related species
- relevant reference specimens or cultures.

Guidance should be provided on resolving possible confusion with similar and related species or taxa.

For molecular methods, details should be provided, as appropriate, on:

- the target sequence (e.g. target gene, amplicon size and location) and reaction conditions (e.g. oligonucleotide sequence, enzyme source and thermal cycler)
- nucleic acid extraction and purification (e.g. tissue sources, extraction and purification methods, and nucleic acid concentration)
- reverse transcription (e.g. reaction volume, concentration and volume of constituents, denaturation and incubation temperatures)
- polymerase chain reaction (e.g. reaction volume, concentration and volume of constituents, thermocycling conditions)
- restriction analysis (e.g. DNA preparation, reaction volume, concentration and volume of constituents, denaturation and incubation conditions)

Elements regarding the preservation of specimen, especially for entomology, should be included if necessary. Under the section identification, guidance should be given on short- and long-term preservation (where relevant).

In the case of diagnostic protocols for insects or nematodes, consider presenting the main characters for the diagnostic in a table (see *Thrips palmi*)

In the case of diagnostic protocols for plants, if there is no specific difficulty for identifying plants of the species concerned using a key, the text may simply give a reference(s) to suitable key(s).

## Records

In this section, authors should refer to section 2.5 of ISPM 27 which lists the records required to be kept. There is no need to repeat section 2.5, only records that are required in addition to those detailed in ISPM 27 should be listed in the DP. However, in addition, authors should include a description of appropriate evidence of results where other NPPOs may be adversely affected by the results of the diagnosis and therefore the records and evidence of the results of the diagnosis should be retained for at least one year.

## Contact points for further information

In this section, authors, in cooperation with the discipline lead, should provide contact details (name, address, e-mail, telephone, facsimile, etc.) of organizations or individuals with particular expertise on the pest(s), which may be consulted regarding any questions on the DP. These contacts must agree to act in this capacity prior to their inclusion in the DP.

It might be useful to have a global coverage when possible, or at least contacts in several regions. However the centre of excellence might be in one region, and contacts from one region only might be indicated in this case. In general, it is preferable to avoid mentioning two contacts from the same country, except if they have very specific expertise and no contact is available elsewhere. The Secretariat can also be mentioned, in case none of the contact points can be reached.

## Acknowledgements

In this section, the name and address of the experts who wrote the first draft of the DP are given, together with those of any others who made major contributions. In instances where these experts are the same individuals as those listed in the preceding section, the details should be cross-referenced. Only those significantly involved in the development of the draft should be included in this section.

## References

ISPM 27 states: *References to accessible scientific publications and/or published laboratory manuals are given that may provide further guidance on the methods and procedures contained in the diagnostic protocol.*

In this section, relevant references to scientific publications and published laboratory manuals cited in the text should be given. The references should be kept to a minimum and should concern the diagnosis of the pest and species with which the pest may be confused, its symptomatology and methods for extraction, detection and identification. It is not necessary to include a complete list of references concerning geographic distribution, host lists, epidemiology and general biology, although reference may be made to key publications which review this information, e.g. pest data sheets. The number of references included will vary between DPs, but preferably the list should include fewer than 40 references.

See the guidelines [Annex 11, Part 3](#) to these Instructions to authors for the format of references.





### 3.6.4 Technical Panel on pest free areas and systems approaches for fruit flies (TPFF)

The CPM-4 (2009) discussed issues associated with technical standards<sup>145</sup> and:

- *Noted* that the TPPT intends to produce criteria to assist the consideration of treatments based on historical data.
- *Underlined* its agreement with the statements below, which are in line with ISPM 28:
 

“Phytosanitary treatments should have a level of efficacy in killing, inactivating or removing pests, or rendering pests infertile, or for devitalisation that is both feasible and applicable for use primarily in international trade.

When considering phytosanitary treatments for submission to the TPPT, NPPOs and RPPOs should consider factors such as the effects on human health and safety, the impact on the environment and the quality and intended use of the regulated article. The scope of phytosanitary treatments does not include issues associated with product registration or other domestic requirements for approval of treatments. As appropriate these should be addressed by contracting parties using their normal domestic regulatory procedures.

Submissions are evaluated by the TPPT and, where necessary, further information may be requested to support the submission. If appropriate, submissions will be evaluated to determine if data can be extrapolated to other relevant situations.”
- *Noted* that contracting parties should consider the level of efficacy of a phytosanitary treatment in determining whether the treatment can be used as a phytosanitary measure in a specific situation. The acceptance of a treatment will depend on factors such as the pest population(s) to be controlled, the pathway, whether the PT is to be used as part of a systems approach and the probability of any remaining pests being able to escape from consignments and cause damage.
- *Encouraged* the development of phytosanitary treatments for broad groups of pests or families or genera that provide appropriate control while maintaining the quality of a wide range of commodities, where possible.

#### ***TPFF Working Procedures***

##### Mechanism for working and TP composition

The TP discussed the mechanism for working and decided that they would use a work area on the IPPC web site to share documents and to communicate by email correspondence.

After considering the composition of the panel, the TP recommended that there should be a core group of general fruit fly experts with the following expertise:

- Systems approaches for fruit flies
- Implementing PFA & ALPP for fruit flies
- Regulatory experience on fruit flies.

The TP also recommended that the core group should have experts:

- with expertise in two different genera of fruit fly
- with experience in implementing fruit fly programs
- from at least two different geographic regions
- with experience with the standard setting process
- who are proficient in English.

The TP further recommended that specialists should be involved in TP meetings and email consultations as required, depending on the topic.

<sup>145</sup> CPM-4 (2009), Paragraph 117. 3-6.



The TP recommended that, where the other technical panels set up under the SC required information on fruit flies (for example experts to draft diagnostic protocols or treatment protocols), the fruit fly technical panel could provide appropriate contacts in the relevant fields

The TPFF was comprised of core members and extended members<sup>146</sup>.

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<sup>146</sup> In May 2007, the SC decided to just have one category of membership. It was also decided that prior to each TP meeting, the steward and Secretariat would discuss which expertise was needed for that meeting, and would identify members with the most relevant expertise in the topics to be discussed at that meeting who would then be given priority for financial assistance in accordance with the IPPC funding policy SC (May 2007), paragraph 26



### 3.6.5 Technical Panel on Phytosanitary Treatments (TPPT)

Procedures for the production of phytosanitary treatments were noted by the SC in 2006. The TPPT must wait for treatment submissions before they could be evaluated and adopted.

#### *Procedure for the production of phytosanitary treatments*<sup>147</sup>

Phytosanitary treatments are submitted by NPPOs or RPPOs for evaluation as an international standard either in response to a call for submissions by the IPPC Secretariat or on an ad-hoc basis (step 6).

#### Setting priorities for the TPPT work programme

The IPPC Secretariat sends to NPPOs and other organizations involved in the Commission a call for priorities for phytosanitary treatments for international standards as required.

The “Request Form for Identifying Priorities for Phytosanitary Treatments” is used by NPPOs or RPPOs to submit requests for priority treatments.

The request forms are collated by the Secretariat and sent to the TPPT for review. The requests are analysed by the TPPT and used to recommend the priority areas for development of phytosanitary treatments as ISPMs. The recommendations are made taking into account the criteria for prioritization of phytosanitary treatments. In the absence of clear guidance, the TPPT will determine priority areas. Within a treatment area or type (such as treatments for fruit flies, or hot water treatments), the TPPT may also decide priorities for production of ISPMs (based on a list of possible treatments). The TPPT will also take into account recommendations by other Commission bodies.

#### Call for treatment submissions

Once the priority treatment areas/types (and, if appropriate the specific treatments within these areas/types) have been identified by the TPPT, the Secretariat issues a call for submissions of data for these treatments (e.g. fruit flies, post harvest treatments). Guidance on the information to be contained in these submissions is provided in the draft ISPM “Requirements for the submission of phytosanitary treatments”.

#### Evaluation of treatment submissions

Within a treatment area or type, depending on the submissions received, the TPPT may decide to prioritize the evaluation of submissions.

If the submission proposes a treatment for inclusion in a specific ISPM, the Secretariat is notified and, if appropriate, the submission is passed to the relevant Commission body.

Submissions for priority treatments will be evaluated for their suitability as an international treatment by the TPPT or an expert or group of experts nominated by the TPPT (see paragraph A below). Decisions will be made on the efficacy of the treatment and will result in:

- an acceptable treatment
- a treatment requiring more information or research in order to evaluate its efficacy or
- an unacceptable treatment for international use.

Acceptable treatments will be submitted to Standards Committee for member consideration under the special regular standard setting process [or submitted for country consultation by the fast track procedure]. For treatments requiring more information, or unacceptable treatments, the contact person for the submission will be notified by the TPPT and the reasons for the rejection will be given.

<sup>147</sup> Approved by the TPPT (August 2005), Annex 1 and noted by the SC (May 2006) paragraph 24

Where there is a requirement for more research and where it is appropriate, the group dealing with liaison with research institutes may be informed of the outcome of the evaluation. Refer to [Annex 13](#) and [Annex 14](#) of this manual for the prioritization criteria, score definitions, and prioritization score sheet for phytosanitary treatments.

Process for the evaluation of treatment submissions by experts:

Suitable experts for each treatment type are commissioned by the TPPT to evaluate submissions.

One expert is selected to lead this process, supported by other experts as necessary.

The expert(s) will review the data to ensure it supports the stated efficacy. The expert(s) uses the guidance provided in section 3 of ISPM 28 (Phytosanitary treatments for regulated pests), [Annex 13](#), and additional instructions from the TPPT if needed.

In some cases, for example where more than one submission is received for a particular treatment/commodity/pest combination, the experts may need to resolve differences between data sets and to prevent duplication of near identical treatments.

The technical experts may be able to accumulate further data to support a treatment submission. Usually, however, where partial data is received, the submission will be returned to the NPPO for further work.

The treatment is then submitted to the TPPT for assessment.

Suitable treatments are submitted to the SC (or sent directly for country member consultation under the special process).



### 3.6.6 Technical Panel on Forest Quarantine (TPFQ)

#### *Procedure for submission of treatments for forest quarantine*<sup>148</sup>

New treatment submissions should be forwarded to and evaluated by the Technical Panel for Phytosanitary Treatments. The TPFQ would then evaluate approved treatments for incorporation within appropriate ISPMs.

#### Process:

Step 1: An applicant (company, NPPO, RPPO, organization etc) has an idea for a treatment to be included in an ISPM managed by the TPFQ and obtains submission information from IPPC website.

Step 2: The applicant formulates the submission which contains reasoning/data in support of the application as per the requirements of standard established by Technical Panel on Phytosanitary Treatments (TPPT), and any additional criteria necessary for inclusion in the TPFQ ISPM.

Step 3: The applicant forwards the completed submission to the Secretariat which then forwards the application to the TPPT for evaluation as an IPPC phytosanitary treatment, and to the TPFQ for evaluation as a treatment suitable for inclusion in a TPFQ ISPM.

Step 4: TPPT and TPFQ in collaboration may request experts or expert groups or organizations (e.g. IFQRG) to provide support for the evaluation.

Step 5: TPPT recommends for approval the application provided technical efficacy criteria are met for inclusion in IPPC register of treatments. TPPT through its Steward advises the TPFQ through its Steward that the treatment has been recommended for approval. If the TPPT does not recommend approval of the submission, the applicant must return to Step 2.

Step 6: The TPFQ evaluates the submission against criteria for inclusion within the TPFQ ISPM. If the TPFQ does not recommend approval of the submission, the applicant must return to Step 2.

Step 7: TPFQ recommends revision of the relevant ISPM to the SC.

<sup>148</sup> Approved by the TPFQ (March 2005), Annex 2 and noted by the SC (May 2006) paragraph 17

### 3.6.7 Technical Panel for the Glossary (TPG)

The TPG was created by the CPM-1 (2006) to harmonise phytosanitary terms<sup>149</sup>. It meets regularly to discuss issues related to the Glossary of Phytosanitary Terms.

#### ***Recommendations on future revision of ISPM 5***<sup>150</sup>

The Commission may recommend terms it wants added, deleted, or reviewed and determines priorities for the further review of the Glossary.

The Glossary should include all new terms from ISPMs and the IPPC, except that any such terms which are considered to be restricted in their use only to the document concerned should be appropriately identified.

Terms in draft ISPMs not yet approved by the Interim Commission may be proposed by the Secretariat as additions to the Glossary if they have a wider application. However, in other cases, they should not be included until approval of the whole ISPM (including the terms and definitions)

The authors and bodies concerned with preparing new ISPMs should bear in mind that all defined terms will appear in the Glossary. They should consider the reasons why it is necessary to include a definition of a term, and avoid as far as possible using definitions to prescribe limits to how terms are to be used (when this is properly done by the standard itself). In some cases, an explanation of how a term should be used may be preferable to a definition.

Each term and definition in the Glossary should be followed by an indication of the body which included them or, as appropriate, made the last amendment, with the year. Up to 1993, this should be specified as the FAO, from 1994 to 1999 as CEPM, and after 1999 as the Interim Commission or Commission, in accordance with the responsible authority at the time

#### ***Current tasks of the Technical Panel for the Glossary***<sup>151</sup>

The tasks of the TPG are described in the *Specification TP5- Technical Panel of the Glossary*.

#### ***Process for proposals of terms to be defined or revision of terms***<sup>152</sup>

As per the procedures of standard setting, the SC decides on the terms on which the TPG should work, based on suggestions normally made by the TPG itself or in the new drafts presented to the SC. The SC reviews the TPG proposals and decides to add them, or not, as subjects to the List of topics for IPPC standards, and requires the TPG to start working on them. Note: addition of TPG terms as subject to the List of topics for IPPC standards is decided upon by the SC, and does not require approval by the Commission.

Requests to work on new terms/definitions or to revise a definition may come from:

- the Commission
- the SC
- the TPG itself during its discussions of various agenda items
- other expert drafting groups
- members and possibly organizations (such as CBD, RPPOs) as part of comments on draft ISPMs

<sup>149</sup> The CPM-1 (2006) endorsed the addition of Technical Panel 5: Technical Panel for the Glossary, with a high priority. It requested the Standards Committee to report to the CPM-3 (2008) on the functioning of this TP, for evaluation paragraph 85.1. It replaced the Glossary Working Group which first met in 1993 to review phytosanitary terminology being used by national and regional plant protection organizations.

<sup>150</sup> ICPM-2 (1999), paragraph 11

<sup>151</sup> Introduced into the work programme by CPM-1 (2006). Specification approved by the Standards Committee, May 2006

<sup>152</sup> Approved by the TPG (October 2009) and noted by the SC (May 2010)



- members as part of regional workshops on draft ISPMs
- members when proposing topics for the List of topics for IPPC standards.

All such requests should be considered, even if they are eventually not added to the List of topics for IPPC standards.

- The TPG is best placed to list requests made in comments on draft ISPMs, since it is the first group to see these comments (the Secretariat is not looking at detailed comments when compiling them).
- The Secretariat is best placed to gather and compile requests from other bodies (as indicated in their reports), and send them on to TPG for consideration.

The following process is proposed:

- Before the TPG meeting, the Secretariat compiles a list of requests, made from various groups since the previous TPG meeting (but not requests made as part of comments on draft ISPMs)
- At its meeting, the TPG identifies requests coming from:
  - comments on draft ISPMs
  - its own discussions under various agenda items.
- For each request from 1 or 2 above, the TPG recommends to the SC whether to work on the term or not. A revised list of all requests from 1 or 2 and corresponding recommendations to the SC is included to the TPG report as an annex, and the executive summary of the TPG report also contains a specific request for the SC to note the terms which would be worked on, and those which would not be worked on.
- In considering the work of TPs (i.e. currently at its May meeting), the SC reviews the requests and recommendations, and decides which terms should be added to the List of topics for IPPC standards as subjects for the TPG
- After the SC meeting, the Secretariat adds these subjects to the List of topics for IPPC standards.
- General rules and process applied for the consistency analysis<sup>153</sup>

This section outlines the process followed for the review of individual ISPMs for consistency. It is based on the process followed between 2008 and 2010 for the first set of consistency amendments. It provides details on steps of the process and the roles of TPG members and Secretariat TPG lead. Processes for adopted ISPMs and draft ISPMs for member consultation are presented in parallel.

For adopted ISPMs, the process covers both consistency amendments to be noted by CPM as ink amendments, and how to deal with obvious errors that are detected during the examination of the standards. Although only consistency amendments will be submitted to CPM, the corrections of errors are recorded and will be used when the relevant ISPMs are revised in the future. They are also taken in consideration when the SC prioritizes the work programme (as agreed by SC in November 2009).

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<sup>153</sup> Approved by the TPG (October 2010, Annex 13) and noted by the SC (May 2011).

**Table 6.** An annual TPG work schedule for Standard Setting process.

Adopted ISPMs	Draft ISPMs for member consultation
1. October. The TPG reviews the list of priorities for consistency review of adopted ISPMs, and allocates the review of individual adopted ISPMs to TPG members	1. May-June. The Secretariat informs the TPG of which draft ISPMs will be sent for member consultation
<p>2. October-1 March. Each TPG member then reviews individual ISPMs and tabulates changes according to the template. At this stage, the proposed changes should include both consistency amendments and corrections of obvious errors. The reviewer uses:</p> <p>a- the documents produced during the 2008 consultant's review of ISPMs regarding consistency (report and individual ISPMs)</p> <p>-Consultant's Review of International Standards for Phytosanitary Measures, final report, September 2008 (posted on TPG work area 2009-06 as 2009-TPG-06)</p> <p>-Consultants' revisions and comments in the texts of ISPMs with JH comments (available as TPG 2008 meeting documents). Members may request Secretariat's assistance to tabulate these.</p> <p>b- the <i>General recommendations on consistency</i></p> <p>c- the recommendations on the formatting of ISPMs approved by the SC in November 2009 as adjusted in.</p> <p>In addition the TPG member will analyse the draft ISPM, the consultant's proposal, the ISPM and other proposals as appropriate, taking also into account the ISPMs adopted after the consultants' review was completed i.e. from 2009 onwards..</p>	<p>2. June-15 August. Each TPG member then reviews all draft ISPMs. At this stage, both the consistency amendments and the corrections of obvious errors should be considered. The reviewer may use:</p> <p>a- the <i>General recommendations on consistency</i></p> <p>b- the recommendations on the formatting of ISPMs approved by the SC in November 2009</p> <p>In addition the TPG member will analyse the draft ISPM and provide her/his own analysis.</p>
3. 1 March. TPG member sends a table of comments to the TPG	
4. 1 March-1 May. Other TPG members review the table of comments and then send their comments by email directly to the TPG member who conducted the initial review.	
5. 1 May-15 August. Each TPG member revises the table in response to comments provided and sends it to the Secretariat for inclusion of the agenda of the next TPG meeting	
6. 1 September. Secretariat checks format, aligns to SC format etc. and posts as a TPG meeting document	
7. October. TPG meeting reviews and finalizes the table, and separates consistency amendments from corrections of errors	
8. October, after TPG review. Secretariat produces final tables, based on comments of the TPG, in consultation with the TPG steward.	8. October, after TPG meeting. Same as for adopted ISPMs
<p>9. November. The SC receives:</p> <p>- for decision, the table of ink amendments to ensure consistency, to be submitted to the CPM in English for noting and for incorporation into the ISPMs</p> <p>- for information, the table of corrections of obvious errors, to be taken into account when revising the standard</p>	9. October-November. The Secretariat sends the table to the steward of the draft ISPM, and the table is also made available to the SC

***General recommendations on consistency***

General recommendations on consistency where approved by the TPG and noted by the SC<sup>154</sup> are given in Annex 16, and are to be used when drafting ISPMs. In addition the SC (May 2011) noted that the general recommendations on consistency will be regularly reviewed and consolidated by the TPG.

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<sup>154</sup> TPG October 2010 and SC May 2011



### 3.7 Expert Working Groups (EWGs)

#### *Criteria for the composition of Expert Working Groups*

An EWG:

- should have 6-10 participants;
- should have members representing a wide geographic area (including proportional developing country participation);
- should allow a participant from the host country to participate regardless of the Expert Working Group composition;
- should have a member from the Standards Committee if possible (e.g. steward);
- may be attended by any member of the Commission Bureau;
- may invite representatives of industry or others to provide expertise, but not to participate as members; and
- should not allow observers.

#### Members of Expert Working Groups should:

- have necessary qualifications (scientific expertise, subject matter experience or experience in phytosanitary risk management); and
- be available to participate and contribute to the proceedings (e.g. provide discussion papers).

#### Procedure for nomination and selection of Expert Working Group members:

- nominations are requested at the time of adoption of the List of topics for IPPC standards or specifications for standards are suggested at the Interim Commission or later when the specifications are put on the IPP;
- governments, NPPOs or RPPOs nominate experts to the Standards Committee;
- Standards Committee designates members of the EWG and submits a list to the Interim Commission Bureau and IPPC Secretariat for confirmation; and
- lists of EWG members, and representatives of industry or others, are added to the IPP.

#### *Criteria for the organization of Expert Working Group meetings*

EWG members from developed countries should, wherever possible, be funded by their governments or employers for all costs connected to their participation.

EWG meetings should usually be organized to minimize incurring costs (e.g. administrative, accommodation, travel).

ICPM-5 (2003) noted the need for flexibility and agreed that deviations from the procedures may be necessary on a case-by-case basis for administrative contingencies<sup>155</sup>.

#### *Guidelines for the operation of Expert Working Groups*<sup>156</sup>

##### Introduction

These guidelines have been prepared to aid those assisting, involved in organizing or attending an EWG meeting. The guidelines cover most of the requirements and procedures for the successful operation of an EWG. They are general guidelines so not all parts apply to every EWG meeting and some very specific requirements of some groups may not be included.

<sup>155</sup> ICPM-5 (2003), Paragraph 106

<sup>156</sup> ICPM-7 (2005), Appendix VI



## Funding

The main funding for EWG meetings comes from the IPPC budget. This is normally supplemented by member countries or organizations covering participants' expenses [travel and daily subsistence allowance (DSA)]. In some instances, member countries or organizations have funded, or partially funded, an EWG on a specific subject. A member country, organization or agency offering such funding or providing any level of assistance in operating an EWG is referred to as a collaborator in this document.

Participation of the IPPC Secretariat is funded by the FAO.

## Organization

EWG meetings can only be organized for those topics which have been adopted under the topics and priorities for standards at the Commission meeting. The organization of EWG meetings is normally done by the IPPC Secretariat with varying levels of assistance from a collaborator.

## Composition of the EWG

Meetings held at the FAO Headquarters in Rome or other FAO Offices

The IPPC Secretariat in general uses FAO offices to make logistical arrangements, including travel and DSA.

For a meeting at the FAO Headquarters in Rome, the IPPC Secretariat does not make hotel bookings, but names and addresses of accommodation are provided on the IPP ([www.ippc.int](http://www.ippc.int)).

## Meetings held outside of FAO offices

Meetings held outside the FAO offices are usually arranged with the assistance of a collaborator. The collaborator may take various levels of involvement. A commonly operated system is where the FAO enters into a letter of agreement with the collaborator (after agreeing on a budget) and transfers the funds needed for the meeting. The letter of agreement generally covers participants' expenses (travel and DSA) and may cover other items as appropriate. The collaborator is expected to make arrangements for participants' expenses, meeting rooms, photocopying, field trip etc.

In other cases the collaborator may fund the entire meeting (including participants' expenses, meeting room, photocopying, field trip etc.) or part of the meeting.

## Roles of meeting organizers and participants

### *IPPC Secretariat*

The Secretariat is expected to:

- plan a meeting date and seek a collaborator
- provide resources for the meeting, if held on FAO premises
- approve budget being paid by the IPPC and, if necessary, prepare a letter of agreement
- 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 collaborator, steward and EWG participants as appropriate
- arrange with the steward for the production of discussion papers
- attempt to find a replacement if an EWG participant approved by the SC is not able to attend the meeting (and inform the SC of such changes)
- describe and explain the mode of operation of the EWG and the roles and responsibilities of participants (see section 3.7).

- coordinate the organization of the meeting and be responsible for the production of the draft ISPM and meeting report.

#### *Collaborator*

The collaborator is expected to:

- select location, make local arrangements, book meeting rooms and arrange for coffee breaks, official dinner (if appropriate) and field trip (if appropriate)
- assist in hotel bookings and obtaining visas
- provide, where possible, a rapporteur (who could be regarded as a resource outside of the EWG)
- arrange for local transportation as appropriate, including airport transfer and transfer from the hotel to the meeting room (or provides suitable information)
- arrange for or provide information on, as necessary, local transportation, local conditions, address of the hotel(s) and meeting venue, map, medical information etc.
- have facilities to provide copies of working papers and of documents drafted during the meeting, as appropriate.

#### *Steward*

The steward is expected to:

- explain the requirements of the specification to the EWG at the time of its first meeting. Hence, the steward should have a good understanding of the specification for the standard. If some issues are unclear, the steward should discuss the matters with the Secretariat or members of the SC.
- liaise with the Secretariat to ensure that discussion papers are produced for the EWG meeting
- assist with the running of the meeting. , the steward may take the role of the chair of the group or of the discussion facilitator
- assist the Secretariat to complete the draft standard
- assist the Secretariat in the preparation of the meeting report.

These duties are discussed in more detail in section 3.5.6.

#### *Chair*

The EWG chairperson is selected at the meeting. The function is that of a normal chair: to keep the meeting running smoothly and ensure participation by all experts. The chairperson is expected to:

- act as facilitator of the group in its production of draft text
- assist the Secretariat, steward and rapporteur to prepare the EWG report
- be involved, where appropriate, with the steward in incorporating EWG comments into the draft standard.

#### *Experts*

The experts in an EWG should:

- take responsibility for their travel and accommodation arrangements and visa requirements. Experts are expected to be in attendance for the entirety of the EWG 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 requested



- actively participate in the EWG meeting and in e-mail 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 a globally acceptable standard
- assist stewards as needed, particularly when reviewing country comments
- respond, as appropriate, with comments to draft ISPMs within the agreed time.

### *Rapporteur*

Each EWG requires a rapporteur to take down the text for the draft standard and, where possible, to take notes on the meeting discussions. The rapporteur should have facility with the English language and be able to use a computer for note taking. This is an extremely important supporting function of the EWG. Where possible the rapporteur should not be a member of the EWG but be part of the supporting team. If a member of the EWG does have to act as rapporteur, that expert's contribution to the meeting discussions tends to be severely restricted. The rapporteur should, where possible, assist the Secretariat with the meeting report.

### Meeting resources

The usual meeting resources are required for an EWG meeting. These include:

- a quiet room large enough to accommodate up to 10 people
- white boards, flip charts and marker pens
- computer and, preferably, a projector for the computer and an internet connection
- coffee/tea making facilities for work breaks
- copies of ISPMs, Commission reports, dictionary.

### Time schedule for meeting

The meeting is scheduled by the Secretariat in coordination with interested parties and participants after the Commission has agreed to the List of topics for IPPC standards. Meeting dates are posted on the IPP. Experts are nominated by member countries and RPPOs and the specific experts for any particular EWG are selected by the SC. Following this, the nominated Secretariat person and the steward arrange:

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

The Secretariat makes a call for discussion papers.

#### *At least 2 months prior to the meeting*

The Secretariat:

- sends the discussion papers to the EWG members
- announces the meeting to participants by e-mail, indicating the date and place of the meeting, and sends out early personal invitations by e-mail and surface mail (in some cases via courier) to those members known to have less rapid national administrative procedures.

#### *At least 1 month prior to the meeting*

The Secretariat:

- asks experts to exchange comments on discussion papers

- sends a personal invitation letter by e-mail to each expert announcing the meeting (if not already done). When the meeting is in Rome, and for experts from countries not requiring a visa, paper copies of the letter of invitation may be sent only on request.
- asks experts if they have any specific needs
- forwards information provided by the collaborator.

The collaborator:

- sends a personal invitation letter
- provides information to the Secretariat

EWG members:

- undertake to obtain authorization from their authorities, if appropriate
- reply to the IPPC Secretariat and request financial assistance for their expenses, if needed, immediately after they receive a copy of their e-mail invitation
- reply to the organizers as stated in the letter of invitation to acknowledge receipt of the invitation and inform the organizer of their attendance (this requirement facilitates the obtaining of building passes etc.)
- ensure their visa and travel arrangements are completed in time.

*At least 2 weeks prior to the meeting*

The Secretariat forwards to the EWG members:

- an agenda for the meeting
- time and venue of the meeting
- planned meeting hours.

#### Output of the meeting

The EWG should finish the meeting with a draft standard. Occasionally, this is not the case and further discussions via e-mail are required. However, these should be limited to one month after the EWG meeting and the draft should then be released to the Secretariat.

Where substantial work still needs to be done on the draft standard the Secretariat, in consultation with the steward and SC, arranges for a further meeting.

Each EWG meeting should produce a draft standard and a report (made available on the IPP) of the meeting (noting major discussion points or contentious issues). The steward should be familiar enough with the issues of the draft standard to be able to attend a SC meeting (often the steward is a SC member) and discuss the draft with the SC.

#### Post-meeting consideration of the draft ISPM

The Secretariat will distribute draft ISPMs to EWG members and request them to submit comments within the agreed period of time. The EWG members will submit their comments as appropriate to the Secretariat within this agreed time



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## PART 4 - INFORMATION EXCHANGE

Medium term goal 2: Information exchange systems appropriate to meet IPPC obligations

### 4.1 Overview of information exchange

Contracting parties and the IPPC Secretariat have obligations to provide information as specified in the IPPC. Information exchange activities ensure that contracting parties communicate officially on issues of phytosanitary significance.

### 4.2 Recommendations concerning information exchange<sup>157</sup>

The Interim Commission *urges*:

Members:

- to meet their obligations and provide information in relation to Article VII 2(d), 2 (i) and Article IV 4;
- to encourage the use electronic means for dissemination of information in relation to Article VII 2 (b), 2(d), 2 (i) and Article IV 4.

The Secretary:

- to request information from the official contact points in relation to Article VII 2 (d), 2 (i) and Article IV 4;
- to request the Contracting Parties to indicate their preference for future communication in electronic format or as printed material, and to disseminate information accordingly in future;
- to endeavour to facilitate the translation process by offering Contracting Parties the chance to comment on linguistic issues on proposed international standards before the adoption and to identify the definitive text.

In approving the Commission Business Plan, the Commission agreed that the medium term goals (2007-2011) for information exchange are:

- implementation of information exchange as required under the IPPC
- IPP supported by an effective development and maintenance programme.

Regarding the exchange of information between the Secretariat and contracting parties, the CPM-1 (2006)<sup>158</sup>:

3. *Agreed* to the use, wherever possible, of electronic communications between official contact points and the Secretariat for official communications.
4. *Encouraged* contracting parties, that were in a position to do so, to inform the Secretariat that paper copies of Commission documents were no longer required.

In addition, the CPM-2 (2007) requested contact points of NPPOs and RPPOs to inform the Secretariat if they no longer required hard copies of correspondence.

### 4.3 Reporting obligations under the IPPC

The ICPM-3 (2001)<sup>159</sup> adopted the following interpretations of the IPPC on information exchange:

<sup>157</sup> ICPM-2 (1999), Appendix X

<sup>158</sup> CPM-1 (2006), Paragraph 152



## A. Reporting obligations under the IPPC

10. Pest reports (Articles IV.2 (b) & VIII.1 (a))
  - Description of the NPPOs (Article IV.4)
  - Phytosanitary restrictions, requirements and prohibitions (Article VII.2 (b))
  - List of regulated pest lists (Article VII.2 (i))
  - Emergency actions (Article VII.6)
  - Official contact points (Article VIII.2) (refer to [Annex 15 for the notification form for Official Contact points of National and Regional Plant Protection Organizations](#))

## B. Secretariat information

11. Provision of ISPMs, meeting reports, work programme activities, and other items of interest to Interim Commission Members and the general public.

## C. Additional information

12. There is a large section of information that countries are not obligated to provide but may voluntarily provide because it would be of considerable use to other countries. This includes:
  - phytosanitary diagnostics information (laboratories, experts, collections etc.);
  - official pest risk analyses;
  - technical and biological information (data sheets, databases, maps, pest lists etc.);
  - treatments; and
  - post-entry quarantine facilities.
13. Access to the information would be provided through the IPP, recognizing that a CD-ROM is periodically needed for countries with limited or no Internet access.

The ICPM-3 (2001)<sup>160</sup> also recommended interpretations of the Convention for the understanding and application of each information exchange obligation as described below.

### *Pest reports (Articles IV.2 (b) & VIII.1(a))*

16. An ISPM on pest reporting is under development and is expected to be submitted to the Interim Commission for adoption in 2002. The present draft recommends that countries meet their pest reporting obligations using a global system put in place by the Interim Commission. The Working Group recommends that the Secretariat, in the framework of the IPP, develop a template for reporting that can be used by member countries with or without Internet access. It was noted that recommendations on a reporting time limit should be included in this ISPM. This system could also be used for transmitting information on pest free areas.

### *Description of the NPPO (including agencies with delegated responsibilities organizations that act under the authority of the NPPO) (Article IV.4)*

17. The meeting recommended that the description of the official plant protection organization according to Article IV.4 should also identify the organizations that execute the functions as provided in Article IV.2 (a-g).<sup>161</sup>

<sup>159</sup> ICPM-3 (2001), Appendix XV, A - C

<sup>160</sup> ICPM-3 (2001), Appendix XV, III

<sup>161</sup> It recommended that organograms be provided for relevant parts of the government, including a brief description of the relevant functions related to the responsibilities. The information should also contain a listing of the relevant organizational sections together with a short summary of the functions and locations. A letter from the Secretariat has been sent to NPPOs requesting this information and to identify the organizations that act under the authority of the NPPO as provided in Article IV.2.

***Phytosanitary restrictions, requirements and prohibitions (Article VII.2 (b))***

18. The Working Group recommended that all information on restrictions, requirements, and prohibitions be:

- made available in electronic format;
- available through national or RPPO websites and/or national Web pages within the IPPC website linked through IPP; and
- published in at least one FAO language (as noted in Article XIX.2(b)), preferably in English.

***List of regulated pest (Article VII.2(i))***

19. An ISPM on the preparation of lists of regulated pests is under development and is expected to be submitted to the Interim Commission for adoption in 2002. The Working Group recommended that countries supply the data according to the ISPM in the form of a link to a national or RPPO website Website or in electronic format to the Secretariat. However, in view of the importance of the availability of such pest lists, the Working Group recommended that countries provide pest lists in the currently available format (preferably electronically) with the aim of moving toward an Internet-based format as soon as possible.

***Emergency actions (Article VII.6)***

20. The Working Group noted that descriptions for the concepts of emergency actions and emergency measures are under development. It recommended that Article VII.6 be understood to involve both actions and measures (refer also to Principle 14 in ISPM #1). While emergency actions are usually only reported to affected trade partners, emergency measures should be reported to the relevant trade partners, the Secretariat and RPPOs.

21. The Working Group noted the WTO system of emergency notification and suggested that the IPPC and WTO systems be considered together to avoid duplication. It recommended that the Secretariat provide a similar form and procedures for countries to use to notify emergency measures. It was proposed that this be used in the same manner as for pest reporting.

***Official contact point (Article VIII.2)***

22. The Secretariat has invited countries to identify their designated contact points in conformity with their obligations under the interim measures corresponding to Article VIII.2. The information is provided by the contracting party, i.e., the Ministry of Foreign Affairs or equivalent. Listings for contact points are managed, updated, and made available by the Secretariat.

**4.4 Contact points**

Under the IPPC (1997), each contracting party is obliged to provide the IPPC Secretariat with an official contact point for the exchange of information connected with the implementation of the Convention. This facilitates communication, information sharing and transparency between countries, and between the IPPC Secretariat and contracting parties. The network of IPPC contact points (those both officially and unofficially nominated by contracting parties) and NPPO contact points (contact points of NPPOs nominated by non-contracting parties) is indispensable to achieving effective and rapid exchange of reliable official information in the cooperative spirit of the Convention. The IPPC Secretariat maintains information provided by countries regarding contact points on the IPP and also publishes a directory of IPPC, NPPO and RPPO contact points on an annual basis.

The CPM-1 (2006)<sup>162</sup> adopted the following on the role of IPPC contact points:

**The Role of IPPC Contact Points**

<sup>162</sup> CPM-1 (2006), Appendix XVIII



The IPPC contact points are used for all information exchanged under the IPPC between contracting parties, between the Secretariat and contracting parties and, in some cases, between contracting parties and Regional Plant Protection Organizations (RPPOs).

The IPPC contact point should:

- have the necessary authority to communicate on phytosanitary issues on behalf of the contracting party, i.e. as the contracting party's single IPPC enquiry point;
- ensure the information exchange obligations under the IPPC are implemented in a timely manner;
- provide coordination for all official phytosanitary communication between contracting parties related to the effective functioning of the IPPC;
- redirect phytosanitary information received from other contracting parties and from the IPPC Secretariat to appropriate official(s);
- redirect requests for phytosanitary information from contracting parties and the IPPC Secretariat to the appropriate official(s); and
- keep track of the status of appropriate responses to information requests that have been made to the contact point.

*The role of the IPPC contact point is central to the effective functioning of the IPPC*, and it is important that the IPPC contact point has adequate resources and sufficient authority to ensure that requests for information are dealt with appropriately and in a timely manner.

Article VIII.2 requires contracting parties to designate a contact point, and therefore it is the contracting party which is responsible for making, and informing the Secretariat of, the nomination. There can be only one contact point per contracting party. The contracting party, by making the nomination, agrees that the nominee has the necessary authority to fulfil the functions of the contact point as determined within the framework of the IPPC. Individual persons cannot appoint themselves as contact points.

The CPM-1 (2006)<sup>163</sup>:

2. *Urged* contracting parties to provide official contact points and to ensure that, if that information changed, it would be communicated to the Secretariat in a timely manner

#### 4.5 International Phytosanitary Portal (IPP)

The ICPM-3 (2001)<sup>164</sup>:

1. *Adopted* the proposal for an IPP, taking note of the resource requirements needed for implementation

The IPP (<https://www.ippc.int>) is an internet portal providing for the exchange of phytosanitary information. The IPPC (1997) outlines that it is the responsibility of contracting parties to engage in the exchange of official phytosanitary information. With the IPP, this exchange is possible through a single forum. The IPP facilitates national participation in phytosanitary information exchange and responsibility for information management by providing a forum for contracting parties to comply with their reporting obligations. It achieves this through allowing remote access for officially nominated individuals to enter phytosanitary information and who are responsible for all information associated with their country.

The IPP enhances the accessibility of phytosanitary information by providing:

<sup>163</sup> CPM-1 (2006), Paragraph 152

<sup>164</sup> ICPM-3 (2001), Paragraph 53

- rapid communication and dissemination of information between IPPC contracting parties and the phytosanitary community at large
- phytosanitary information in electronic format
- a single forum for IPPC contracting parties to enter and display phytosanitary information
- a global repository of phytosanitary information
- increased transparency among the phytosanitary community
- the ability to display and retrieve information in any of the five FAO languages.

Information in the IPP is entered and maintained by officially nominated individuals from National Plant Protection Organizations, Regional Plant Protection Organizations and the IPPC Secretariat. Each of these parties is responsible for the information it enters.

Both the Interim Commission and Commission have supported further development of the IPP, and the CPM-1 (2006) endorsed a work programme for the IPP for 2006<sup>165</sup>.

In addition, the CPM-1 (2006)<sup>166</sup>:

5. *Urged* contracting parties to increase their utilization of the IPP to ensure national information exchange obligations were met in a timely manner; . . .

7. *Decided* that countries that were not a contracting party should be allowed to post information on the IPP, but to ensure contracting parties were provided with support before non-contracting parties.

#### 4.6 IPP support group (Ad-hoc body)

In accordance with the recommendations of the ICPM-3 (2001), the IPP (<https://www.ippc.int>) continues to be developed with the assistance of the IPP Support Group (SG). The SG was established by the Interim Commission to provide guidance to the Secretariat in the implementation and maintenance of the IPP, with priority to mandatory information, and to provide further guidance on the handling of additional information. The SG primarily functions through e-mail but have recommended that an annual meeting be held if resources are available to do so. An informal meeting on the IPP was held during the ICPM-5 (2003) and the Support Group was first convened in January 2004. The IPP has been upgraded and revised based on the guidance given by the SG since 2004.

#### 4.7 Reporting through Regional Plant Protection Organizations

At the CPM-4 (2009) it was proposed that National Plant Protection Organizations (NPPOs) could report through their RPPO on condition that they provide a notification to the Secretariat on how they would meet their IPPC reporting obligations. This notification shall be worded in such a way as to make it clear that, if a country decides to communicate via its RPPO, the responsibility for the content of the information provided remains with the NPPO.

Contracting parties intending to report through their RPPO will need to liaise with their RPPO to ensure that they have a mechanism to allow reporting in this way. The Secretariat clarified that this mechanism does not create new obligations for NPPOs or RPPOs, but is meant to provide another option for contracting parties to meet their existing obligations for reporting.

In order to facilitate this process, a model “Reporting through an RPPO” form would be made available to contracting parties via the International Phytosanitary Portal as soon as the necessary clearance by the FAO Legal Office has been obtained and the form has been translated.

The CPM-4 (2009)<sup>167</sup>:

<sup>165</sup> CPM-1 (2006), Appendix XIX

<sup>166</sup> CPM-1 (2006), Paragraph 152



1. *Endorsed* reporting through an RPPO as described above

#### 4.8 Reporting on pest free areas and areas of low pest prevalence

At the CPM-5 (2010) the Secretariat notified the Commission that a form for national reporting of Pest Free Areas (PFAs) and Areas of Low Pest Prevalence (ALPPs) was available on the new IPPC website (IPP) ([www.ippc.int](http://www.ippc.int)). It was noted that reporting on PFAs is not obligatory, i.e. it is at the discretion of the National Plant Protection Organization (NPPO).

The CPM-5 (2010)<sup>168</sup>:

1. *Noted* the availability of the system for reporting information regarding PFAs and ALPPs.
2. *Encouraged* contracting parties to use this system to improve communication and transparency on this subject.

The CPM-6 (2011)<sup>169</sup> agreed to the Secretariat's recommendations to improve IPPC reporting, particularly through the IPP:

The Secretariat should:

- encourage contracting parties to fully meet their reporting obligations by using the IPP, particularly where they already have access to sufficient information to meet their obligations.
- contact IPPC contracting parties on an annual basis to remind them of their reporting obligations.
- analyse reporting by contracting parties through the generation of statistical summaries or graphics on the IPP.
- provide feedback on reporting status of countries into the Implementation Review and Support System (IRSS) process.
- develop e-learning modules that cover IPPC reporting / information exchange obligations and information to assist IPP editors and IPPC contact points to understand clearly how to use the IPP. (Refer to Annex 16 to this manual for the Nomination request form for the IPP editor)
- simplify, and where possible eliminate, unnecessary data entry forms (e.g. optional reporting and membership of other organizations).
- continue to work with all users to improve the usability and functionality of the IPP to ensure users' needs are met
- regularly provide FAO regional and sub-regional officers with updates on IPPC reporting so that they may also facilitate this process when appropriate.

Contracting parties should:

- ensure information exchange mechanisms are established nationally that allow the IPPC contact point facilitate the country to meet its IPPC reporting obligations.
- establish a process by which information is regularly, and in a timely manner, provided on the IPP.
- ensure information provided through the IPP is up-to-date and reviewed regularly.
- when appropriate, work with relevant RPPOs to facilitate meeting their national reporting obligations.

<sup>167</sup> CPM-4 (2009), Paragraph 135

<sup>168</sup> CPM-5 (2010), Paragraph 142

<sup>169</sup> CPM-6 (2011), Appendix XI

- provide feedback to the Secretariat on improvements and challenges in using the IPP to meet their reporting obligations.
- when appropriate, work with the Secretariat and RPPOs to establish their national reporting mechanisms and processes.

RPPOs should:

- actively encourage members to improve on meeting their reporting obligations.
- develop mechanisms whereby countries that wish to report through RPPOs can do so within the framework established by the Secretariat.
- develop electronic systems to undertake such reporting on behalf of countries that are compliant with the IPP and allow the automation of the process.
- provide feedback to the Secretariat on ways to improve the IPP so that member countries could enhance their reporting to the IPPC.







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## PART 5 - TECHNICAL ASSISTANCE

Medium term goal 4: Improved phytosanitary capacity of members

### 5.1 Overview of Technical Assistance

A key element of the work programme of the IPPC Secretariat is to facilitate technical assistance, whether provided bilaterally or through the IPPC Secretariat or other appropriate organizations.

Contracting parties to the IPPC agreed to promote the provision of technical assistance to contracting parties, with the objective of facilitating the implementation of the Convention, either bilaterally or through the appropriate international organizations. In particular, the Convention encourages support to developing countries in order to improve the effectiveness of their National Plant Protection Organizations (NPPOs) and to increase their potential to realize the benefits of safe trade. The Convention also encourages participation in regional plant protection organizations and they have specific roles and functions adopted by the ICPM-7 (2005), related to technical assistance delivery and standard implementation facilitation.

Three focus areas currently characterize the Secretariat's activities in technical assistance:

- Understanding and implementing trade related principles of plant protection under the IPPC and the harmonization of phytosanitary measures under the WTO-SPS Agreement, including:
  - . direct participation or input of the Secretariat;
  - . coordination of assistance between governments or between organizations and governments; and
  - . collaboration with other relevant organizations, such as WTO.
- Support for the FAO technical cooperation programmes and projects on:
  - . capacity building and strengthening plant protection infrastructures;
  - . dispute avoidance;
  - . updating legislation; and
  - . emergency programmes.
- Multidisciplinary and multinational collaboration through the FAO or other organizations for:
  - . regional harmonization and upgrading of phytosanitary procedures; and
  - . plant policy alignment and upgrading.



## 5.2 Guidance regarding technical assistance

The ICPM-3 (2001)<sup>170</sup> adopted the following recommendations in regard to technical assistance:

### A. Coordinating roles of the Interim Commission

6. The objectives of the IPPC will only be realized if all Members are able to participate in global efforts to these ends. The Interim Commission serves as a forum for:

- identifying technical assistance needs;
- coordinating the Interim Commission's global and regional technical assistance initiatives; and
- promoting bilateral technical assistance.

These activities are to reinforce the implementation of the IPPC, including in particular the understanding and use of ISPMs.

7. Coordination includes:

- enhancing awareness by gathering and disseminating information on global and regional forms of technical assistance;
- identifying and developing phytosanitary capacity assessment mechanisms; and
- arranging for resources to facilitate attendance of developing country Members to meetings.

### B. Review of the New Zealand pilot project

8. The meeting:

- considered the pilot project and its enhancements;
- expressed its gratitude to the government of New Zealand and complimented the developers for their efforts;
- provided specific suggestions for further improvement of the questionnaire;
- noted that the questionnaire deals directly with aspects of implementing ISPMs, but that the efficacy and sustainability of technical assistance also requires institutional elements of national phytosanitary systems which are often assumed to be present.

9. The meeting recommended:

- the pilot project be finalized and the questionnaire transferred to the Secretariat as a diagnostic tool for self-assessment by both developed and developing countries to be used to identify needs and also where capacity exists;
- the questionnaire become known as the Phytosanitary Capacity Evaluation (PCE);
- the PCE be further developed to include institutional and regulatory aspects of national phytosanitary systems;
- the Secretariat undertake to maintain and update the PCE (or make appropriate arrangements for maintaining and updating); and
- that PCE results be kept as confidential as desired by the particular country.

### C. Recommendations on future activities of the ICPM technical assistance program

10. The meeting recommended that the Interim Commission:

<sup>170</sup> Adopted at ICPM-3 (2001), Appendix XVI, A – C

- recognize that Secretariat staff time devoted to the FAO-Technical Cooperation Programme represents a contribution to the Interim Commission's technical assistance programme (although not managed or directed by the Interim Commission);
- consider a proposal on the possibility of establishing a trust fund specifically for Interim Commission initiatives regarding technical assistance;
- establish an ad hoc Working Group on technical assistance (as needed);
- develop a system for determining general priorities (e.g. training program, internet access);
- develop a system for meeting priority needs (e.g. ongoing regional workshops on implementing standards with donor funds);
- encourage individual Members to utilize the PCE to determine their own needs and priorities, and to formulate national plans for the improvement of their phytosanitary systems and for technical assistance where appropriate;
- develop a programme for the promotion of technical assistance in the phytosanitary area;
- determine with the Secretariat priorities for the Secretariat's technical assistance activities;
- support the development of guidance for countries to use in the evaluation of institutional and regulatory aspects of national systems, including:
  - the development of diagnostic tools (PCE) for countries to assess their regulatory and institutional capacity to support technical functions for implementation of the IPPC;
  - the exploration of possibilities for a common framework for institutional evaluation and capacity building, within the ambit of the SPS (in particular with the OIE), relating to institutional, regulatory, and technical assistance of common interest.

11. The meeting recommended that the Secretariat:

- prepare annual reports on ongoing activities regarding phytosanitary technical assistance; and
- maintains a list of general phytosanitary technical assistance needs submitted by Members.



### 5.3 Phytosanitary Capacity Evaluation tool (PCE)

The ICPM-2 (1999) endorsed a pilot project, the Phytosanitary Capacity Evaluation (PCE), which was designed to identify capabilities and specific areas of need in the phytosanitary systems of developing countries. This process would enable developing countries to formulate national strategic plans and to justify requests for technical assistance. The ICPM-3 (2001) recommended that the PCE continue to be developed, in particular to include institutional and regulatory aspects of national phytosanitary systems. The ICPM-4 (2002) further recommended continued updating of the PCE and its translation into all of the official languages of the FAO.

The ICPM-6 (2004) encouraged the Secretariat to support further regional PCE workshops for the better understanding and implementation of the tool, and endorsed the proposal to conduct an analysis of the application of the PCE, which was conducted by CAB-International. The full report of the analysis was first presented to an Informal Working Group on the PCE and then presented to the CPM-2 (2007), which:

The ICPM-7 (2005)<sup>171</sup> considered the application of PCE and:

2. *Acknowledged* the value of the tool in the technical assistance programme and supported its further development and application.

The CPM-2 (2007)<sup>172</sup>:

3. *Agreed* that the recommendations provided by the CABI and the comments of the IWG-PCE should be further considered by the 19th Technical Consultation among the Regional Plant Protection Organizations and then by the SPTA for final presentation to the CPM-3 (2008).

At the CPM-5 (2010), the Secretariat presented a paper giving an update on the development of the PCE tool and, as a working version would be field-tested, some members expressed their appreciation of the PCE tool, their interest in the new version and willingness to take part in field testing.

The CPM-5 (2010)<sup>173</sup>:

1. *Noted* the development of the revised PCE.
2. *Encouraged* members to participate in field-testing the new PCE by providing resources to test in a number of countries, or allocating staff and time to test the programme.

<sup>171</sup> ICPM-7 (2005), Paragraph 139

<sup>172</sup> CPM-2 (2007), Paragraph 166

<sup>173</sup> CPM-5 (2010), Paragraph 109

## 5.4 Technical Assistance-related ad-hoc bodies

The TOR and ROP of the SPTA state its role related to the review of technical assistance.

In March of 2005 an Informal Working Group on Technical Assistance was held and many recommendations were made, including some amendments to the Strategic Plan in relation to technical assistance. The CPM-1 (2006) considered its recommendations.

CPM-1 (2006)<sup>174</sup>:

2. *Agreed* that the Informal working group on technical assistance (IWG-TA) . . . should continue to provide guidance in relation to technical assistance.

At the CPM-3 (2008), the IPPC Secretariat introduced the response of the SPTA, after considered comments made by the Informal Working Group on the PCE and the 19<sup>th</sup> Technical Consultation among RPPOs on the recommendations made by CABI Africa in its report to the CPM-2 (2007) on the analysis of the application of the PCE tool.

The need for a comprehensive capacity building strategy to address the needs of developing countries was noted and it was proposed that an open-ended working group undertake the task rather than a focus group, in order to allow for broad participation.

The CPM-3 (2008)<sup>175</sup>:

1. *Noted* that the SPTA agreed that a phytosanitary capacity building strategy was required and *recommended* that an open-ended working group be established to develop a draft strategy for consideration by the SPTA for presentation to the CPM-4 (2009);
2. *Noted* the comments made by the SPTA on the CABI recommendations and their relevance in developing the capacity building strategy.

The CPM-3 (2008) welcomed the initiative on developing a strategy for capacity building and discussed the proposal to develop a concept paper on phytosanitary capacity building that could be closely linked to the development of a capacity building strategy.

The CPM-3 (2008)<sup>176</sup>:

1. *Confirmed* the intention to have a national capacity building programme coordinated by the IPPC Secretariat;
2. *Established an* Open-ended working group on Building National Phytosanitary Capacity to develop:
  - (i) A concept paper on national phytosanitary capacity for consideration by the SPTA in 2008 for presentation to the CPM-4 (2009);
  - (ii) A draft strategy for national phytosanitary capacity building for consideration by the SPTA for presentation to the Commission;
  - (iii) A proposed operational plan for implementing the strategy over the first six years of its operation;
3. *Agreed* to the modified Terms of Reference for the Open-ended Working Group on Building National Phytosanitary Capacity.

<sup>174</sup> CPM-1 (2006), Paragraph 134

<sup>175</sup> CPM-3 (2008), Paragraph 133

<sup>176</sup> CPM-3 (2008), Paragraph 141



The before-mentioned Terms of reference for the Open-ended Working Group on Building National Phytosanitary Capacity are the following:

The CPM-3 (2008)<sup>177</sup>:

### **Terms of reference for the Open-ended Working Group (OEWG) on Building National Phytosanitary Capacity**

The purpose of the OEWG is to produce:

- i) a draft concept paper on national phytosanitary capacity for consideration by the SPTA in 2008 for presentation to the CPM-4 (2009).
- ii) a draft strategy for national phytosanitary capacity building for consideration by the SPTA for presentation to the Commission.
- iii) a proposed operational plan for implementing the strategy over the first six years of its operation.

The OEWG will develop a framework with the constituent elements of the strategy. The IPPC Secretariat will supply relevant detailed information.

The strategy will propose actions to deliver the essential elements of national phytosanitary capacity building with reference to:

- the responsibilities of contracting parties of the IPPC for the protection of plant resources
- the importance of the IPPC and its standards in relation to facilitation of trade
- critical areas listed in the Commission Business Plan
- the role of the PCE along with other such tools for identifying the need for capacity development
- the development programme of the IPPC Implementation review and support system including development of the Help Desk
- funding and administration of the IPPC technical assistance programme including
- developing relationships with potential donors
- coordination of technical assistance activities by the Secretariat.

In its discussions the OEWG should consider definitions and capacity building concepts used by other organizations to see if these concepts may be applicable to capacity building under the IPPC.

Given the complexity of the task, the OEWG may decide to recommend that the elements of the strategy be developed further by working groups or experts.

### **OEWG**

The OEWG participants shall be from contracting parties and should have good knowledge of:

- the capacity and capability needed to deliver the elements of a phytosanitary system
- planning, funding and delivery of technical assistance
- the IPPC, its objectives and its structures
- the specific technical assistance needs of their regions
- strategic planning and management and appropriate experience.

In addition, the IPPC Secretariat and the Commission Bureau may invite appropriate experts to participate at the OEWG.

<sup>177</sup> CPM-3 (2008), Appendix 15



The IPPC Secretariat will consider funding assistance for participants from developing countries within available resources.

The Open-ended Working Group on building national phytosanitary capacity produced and presented to the CPM-4 (2009) a draft concept paper on national phytosanitary capacity which included a definition of phytosanitary capacity; a draft strategy based on situation analysis and in which six strategic areas were identified as priorities; and a draft operational plan which was considered incomplete and requiring more work based on decisions taken by the CPM-4 (2009).

A subgroup of the OEWG produced a paper on mentoring as it relates to phytosanitary capacity building while another subgroup developed aid effectiveness principles<sup>178</sup> for phytosanitary capacity building analogous to those outlined in the Paris Declaration on Aid Effectiveness of May 2005.

The Commission also noted that it would be important to link elements of the Commission IRSS with activities related to building national phytosanitary capacity.

The CPM-4 (2009)<sup>179</sup> decisions related to Technical Assistance, read as follows:

1. *Provisionally approved* the concept paper on national phytosanitary capacity (Appendix 17).
2. *Provisionally approved* the phytosanitary capacity building strategy (Appendix 18).
3. *Agreed* that Phytosanitary Capacity Building (PCB) is a high priority issue and requested the Secretariat to actively seek collaboration, in particular with other divisions of the Organization, and new resources.
4. *Approved* further development and finalization of the operational plan by an EWG based on member comments on the provisionally approved strategy for consideration by the SPTA.
5. *Endorsed* the establishment of an informal working group on advocacy for the IPPC as a virtual group working with the Secretariat.
6. *Endorsed* the establishment of an informal working group on communication and cooperation as a virtual group working with the Secretariat.
7. *Noted* that the activities of the two virtual working groups are not separate from the activities made under the resource mobilization strategy.
8. *Noted* the paper on aid effectiveness principles applicable to phytosanitary capacity building developed by a subgroup of the OEWG-BNPC; and the paper on mentoring as it relates to phytosanitary capacity building developed by another subgroup of the OEWG-BNPC and urged members to consider them when providing comments on the strategy.
9. *Requested* the Secretariat to report on these issues at the CPM-5 (2010).

<sup>178</sup> CPM 2009/INF/13

<sup>179</sup> CPM-4 (2009), Paragraph 143



## 5.5 National phytosanitary capacity building strategy

At the CPM-5 (2010), the Secretariat presented a document including both, a concept paper on national phytosanitary capacity and a phytosanitary capacity building strategy, revised by the SPTA and later modified by an open-ended working group held during December 2009 that was approved.

The approved national phytosanitary strategy includes six strategic areas, as 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 presented in corresponding logical frameworks for each strategic area identified.

The CPM-5 (2010)<sup>180</sup>:

1. *Approved* the concept paper on national phytosanitary capacity presented in Appendix 10.
2. *Approved* the revised national phytosanitary capacity strategy presented in Appendix 11.

The document on the National Capacity Building Strategy is presented in Annex 17.

Below is the concept paper approved by the CPM-5 (2010)<sup>181</sup> on national phytosanitary capacity:

### Concept paper on National Phytosanitary Capacity

#### 1. Introduction

The purpose of this paper is to establish a common understanding of what is meant by national phytosanitary capacity. This provides the basis for assessing capacity assets and needs, and for formulating, implementing and evaluating capacity development responses.

#### 2. Phytosanitary Capacity

National Phytosanitary Capacity is defined as:

“The ability of individuals, organizations and systems of a country to perform functions effectively and sustainably in order to protect plants and plant products from pests and to facilitate trade, in accordance with the IPPC”.

The following concepts expand this definition, which applies to the national phytosanitary capacity of contracting and non-contracting parties.

By referring to the individuals, organizations and systems of a country, it is recognized that national phytosanitary capacity combines the knowledge and functions of many entities in a country, not just NPPOs.

By referring to systems of a country, it clarifies that national capacity includes the ability for individuals and organizations to cooperate and communicate, both formally and informally. Such cooperation may be national, regional and international.

The functions which need to be performed are technical, legal, administrative, and managerial. Capacity includes the ability to develop and apply knowledge, skills and tools appropriate to these functions.

Each country will have its own level of capacity and it is recognized that phytosanitary capacity is not static and changes over time.

<sup>180</sup> CPM-5 (2010), Paragraph 101

<sup>181</sup> CPM-5 (2010), Appendix 10

The phytosanitary capacity, current or aspired to, will be influenced by overarching national policies and international obligations that may or may not be directly related to plant health considerations.

Many things contribute to the sustainability of the performance of functions. These include but are not limited to:

- an enabling environment in countries such as policies which allow plant health activities to evolve and adapt to changing circumstance; plant health regulations which empower NPPOs to function; visibility and understanding of the IPPC and understanding of the importance of implementation
- private-public partnerships
- programs for staff retention
- mobilization of resources, including cost recovery policies
- viable business plan(s) for protecting plant health and trade
- national commitment to sustain phytosanitary capacity

The definition for phytosanitary capacity refers to the ability to protect plants and plant products from pests. This ability to support biosecurity<sup>182</sup> also contributes to achieving other national or international goals under other initiatives which deal with protecting biodiversity, food security, and poverty reduction.

Referring to the IPPC in the definition aligns national phytosanitary capacity with the Convention.

As the Secretariat introduced the paper presenting the outcome of the open-ended working group on the operational plan, the Commission received recommendations related to the creation of an expert working group, intended to be long-standing, to review and refine the phytosanitary capacity development operational plan and assist the Secretariat with capacity building.

The CPM-5 (2010)<sup>183</sup> decisions were as follows:

1. *Considered* the phytosanitary capacity building operational plan as presented in the paper.
2. *Noted* that the capacity building operational plan arranges all current capacity building activities in a logical and coordinated manner and does not only reflect the activities of the IPPC Secretariat.
3. *Agreed* to establish an expert working group to review and refine the phytosanitary capacity development operational plan that will assist the Secretariat with developing national phytosanitary capacity. The revised plan will be presented to the CPM-6 (2011) for approval.
4. *Agreed* to the terms of reference of the expert working group in Appendix 12.
5. *Encouraged* each FAO region to select a contact person to work with the Secretariat to encourage contracting parties and other stakeholders to catalogue current and planned phytosanitary development activities. The results will be provided to the Secretariat before the meeting of the expert working group.
6. *Noted* that the operational plan (logical frameworks) and work plans will be used as a basis for the IPPC Secretariat to develop and implement capacity building.
7. *Agreed* that the priorities for the current Commission capacity building programme include:

<sup>182</sup> According to FAO *Biosecurity* covers food safety, zoonoses, the introduction of animal and plant diseases and pests, the introduction and release of living modified organisms (LMOs) and their products (e.g. genetically modified organisms or GMOs), and the introduction and management of invasive alien species.

<sup>183</sup> CPM-5 (2010), Paragraph 104



- i) The development of advocacy materials targeted at donors for them to partner in and support IPPC capacity development. These advocacy materials are to be developed as an extension of the general IPPC communication strategy (Strategic Area 4, 1.3; Strategic Area 5) and could include:
    - case studies
    - customized material for specific donors of target areas
    - videos such as that recently developed for the STDF
  - ii) The use of the PCE by countries to establish their national capacity building strategy and prioritize needs (Strategic Area 1, 1.1 1.2)
  - iii) The collation of data on capacity building activities by working with specific individuals or organizations to begin building this database e.g. STDF (Strategic Area 4, 2.1)
  - iv) The implementation of standards (Strategic Area 2b)
- Help desk (Strategic Area 3a, 2.1)
  - v) Coordination of capacity building initiatives at all levels (Strategic Area 3a).

The CPM-5 (2010)<sup>184</sup>:

### **Terms of reference of the Expert Working Group on Phytosanitary Capacity Building**

#### Membership

One person from each region with experience in phytosanitary capacity building.

#### Terms of Reference

Review the draft Operational Plan under each of the logical frameworks identifying activities that are new and those that are part of existing activities. The group should also identify overlaps and linkages between different activities.

1. Review and provide advice on priorities for activities taking into account the financial situation of the IPPC.
  2. Provide advice on the timing of proposed activities and the potential benefits of cooperation with other organizations (e.g. Standards and Trade Development Facility - STDF).
  3. Provide advice to the Secretariat on the preparation of advocacy materials needed to support fund raising for capacity building.
  4. Provide advice on strategies that could be used to approach donors for contributions to support capacity building.
  5. Provide recommendations on the future structure and mode of operation of the expert working group including the possibility of forming a subsidiary body on capacity building.
- Report to the CPM-6 (2011) through the Commission Bureau and Informal Working Group on Strategic Planning and Technical Assistance (SPTA).

<sup>184</sup> CPM-5 (2010), Appendix 12

## PART 6 – DISPUTE SETTLEMENT

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## PART 6 – DISPUTE SETTLEMENT

Medium term goal 3: Effective dispute settlement systems

### 6.1 Overview

Phytosanitary trade disputes may arise between contracting parties to the International Plant Protection Convention (IPPC). These disputes are caused by disagreement over phytosanitary measures associated with trans-boundary movement of plants and/or plant products, or over the interpretation or application of the IPPC and associated International Standards for Phytosanitary Measures (ISPMs). Such disagreements are fairly common in the work of National Plant Protection Organizations (NPPOs), and usually originate from the use or misuse of the phytosanitary measures that are included in phytosanitary import regulations for plants and plant products.

Article XIII of the IPPC (1997) sets out the basis of the dispute settlement system under the Convention. It states that, when a dispute arises, the disputing contracting parties *shall* consult among themselves as soon as possible with a view to resolving the dispute. If they cannot resolve the dispute in this way, one or both parties may request the Director-General of the Food and Agriculture Organization (FAO) of the United Nations to appoint a committee of experts, with the mandate to prepare a report and (non-binding) recommendations on technical aspects of the dispute. The parties also are free to develop other means to resolve the dispute.

Building upon these provisions, the Commission on Phytosanitary Measures (CPM) developed a dispute settlement system, providing for procedures and administrative support, to assist contracting parties in resolving disputes and to implement the process set out in Article XIII.

#### Administrative support

A subsidiary body known as the *Subsidiary Body on Dispute Settlement* (SBDS) is specifically devoted to overseeing, administering and supporting the IPPC's dispute settlement procedures. The SBDS consists of seven experts, one from each of the seven FAO geographic regions. It is working with the IPPC Secretariat in assisting contracting parties in dispute settlement. A major role of the SBDS is to provide guidance to the Secretariat and disputing parties in selecting appropriate dispute resolution methods. For further information, see the *Terms of reference and rules of procedure of the SBDS* [pages 5–6].

#### Procedures

These procedures are aimed primarily at objectively evaluating the *technical aspects* of phytosanitary disputes, and they encourage contracting parties to enter into dialogue based on technical issues.



## 6.2 Benefits of the IPPC dispute settlement system

The main benefits of the IPPC dispute settlement system are as follows:

- it *offers* dispute settlement processes at a different level from those offered by the World Trade Organization (WTO) and therefore offers complementary alternative processes for IPPC contracting parties;
- it *operates* at a technical level where disputing parties have the opportunity to resolve their differences at this level instead of using potentially more complex legal processes of other dispute settlement systems;
- it *offers* a range of mechanisms that contracting parties can select from to deal with their specific dispute;
- it has the *potential* to be less costly than other dispute settlement systems;
- it has the *potential* to allow resolution of disputes more quickly than other dispute settlement systems, recognizing that most IPPC mechanisms do not provide binding decisions;
- it *offers* support to disputing parties from the Secretariat, subject to available resources, and from the SBDS. This may take the form of advice on how to use the system and facilitating the efforts of parties to resolve their dispute.



### 6.3 Dispute settlement procedures

The Procedures for Dispute Settlement were adopted by the ICPM-2 (1999)<sup>185</sup>. A manual on dispute settlement and a form for initiating a dispute have been published on the IPP.

#### Procedures for dispute settlement

##### General Considerations

1. The terms dispute settlement and resolution of disputes as used in the Convention are considered to be equivalent terms referring to the same procedures.
2. The promotion of technical assistance provided for in Article XX applies to dispute settlement as it applies to other provisions of the Convention.
3. Dispute settlement procedures of the IPPC are limited to issues falling within the scope of the Convention and its associated standards and complement the WTO processes by providing options for dispute settlement procedures for phytosanitary issues affecting trade. IPPC procedures are primarily aimed at evaluating the technical aspects of phytosanitary disputes. Contracting parties are encouraged to resolve disputes at a technical level wherever possible.
4. Only contracting parties have the right to initiate the dispute settlement procedures under Article XIII. Disputes may be between two or more contracting parties.
5. Requests for dispute settlement and the distribution of reports should be through official IPPC contact points. If contracting parties wish to undertake a dispute settlement procedure under the IPPC, then it is mandatory that parties first consult (Article XIII.1).
6. Art XIII does not preclude contracting parties from using any form of dispute resolution, including mediation or other procedures provided that the parties agree to them, and does not limit the contracting parties to the Expert Committee procedures described in Article XIII.2. Contracting parties are encouraged to consult with the IPPC Secretariat or others concerning the range of dispute settlement procedures that may be appropriate for the dispute in question.

##### Options include but are not limited to:

*Consultation, Good Offices, mediation, or arbitration* - Contracting parties are encouraged to pursue options such as Good Offices and mediation as alternatives to the Expert Committee procedure provided in Article XIII. These procedures may be conducted or administered with assistance from the IPPC Secretariat and/or a Subsidiary Body designated by the Interim Commission.

*Supplementary Agreements* - Dispute settlement procedures may be agreed under Article XVI (Supplementary Agreements). Such procedures may be binding, but are only binding for the parties to the agreement.

*Expert Committee (Article XIII)* - The outcome of the Expert Committee procedure initiated under Article XIII is non-binding (Article XIII.4).

7. Any dispute that contracting parties wish to have recorded by the Interim Commission should be notified to the IPPC Secretariat and its outcome reported according to the procedures set out by the Interim Commission.
8. IPPC dispute settlement procedures should be conducted as expeditiously as possible.

##### IPPC Dispute Settlement Procedures

<sup>185</sup> ICPM-2 (1999), Appendix IX



### 1) Informal consultation

- a) Contracting parties are encouraged to consult between themselves as soon as possible with a view to resolving the dispute or taking a decision that further informal consultation is not considered productive.
- b) No formal consultation is required if both parties agree that informal consultations have resolved the dispute. If either party indicates that additional consultation is needed, then the parties shall engage in formal consultations (Article XIII.1).

### 2) Formal consultation

- a) For formal consultation to begin, one or both contracting parties would notify the Secretariat of their interest in dispute settlement procedures under the IPPC.
- b) The Secretariat discusses with both parties the possibility for progress through further consultation and the most appropriate procedure to be used.
- c) The parties in consultation mutually agree on the procedure, location, facilitator (if requested), confidentiality, and other conditions for the consultations. In the instance that parties cannot agree on procedures and conditions, the procedures and conditions may be proposed by the IPPC Secretariat.
- d) Persons not party to the dispute are not admitted to the consultations unless agreed by the consulting parties.
- e) Formal consultation may result in:
  - i) resolution of the dispute;
  - ii) non-resolution, where one party does not cooperate. This may occur when only one party, although obliged to take part in consultation, does not cooperate to the satisfaction of the other party. Either party may initiate further dispute settlement procedures;
  - iii) non-resolution, where both parties cooperate. This results from agreement by the parties that formal consultation has been completed. Either party may initiate further dispute settlement procedures.
- f) The IPPC Secretariat should report to the Interim Commission or subsidiary body designated by the Interim Commission on the conduct and outcome of formal consultations.

### 3) The Selection of a Dispute Settlement Procedure after Consultation

- a) Parties consult with the IPPC Secretariat and others agreed by the parties with a view toward determining the most appropriate dispute settlement procedure. This includes consideration of:
  - the Expert Committee procedure from Article XIII.2 of the IPPC (see 4 below);
  - other procedures initiated with the Secretariat's assistance;
  - procedures initiated without additional Secretariat assistance.
- b) Dispute settlement procedures are initiated if parties agree on a procedure. In the event parties do not agree on a procedure, the complaining party may:
  - request Article XIII.2 procedures; or
  - initiate other dispute settlement procedures.

#### 4) The IPPC Expert Committee Procedures (Article XIII.2)

The IPPC provides the opportunity for contracting parties to use any dispute settlement procedure but it identifies an Expert Committee procedure implemented through the FAO as a specific option. The following describes the Expert Committee procedure.

- a) One or both parties submit a formal request to the Director General of the FAO.
- b) The Secretariat verifies that mandatory consultations have occurred and that parties wish to use the Expert Committee procedure.
- c) An Expert Committee is formed as follows:
  - i) at least one expert is designated by each party to the dispute. The designation of more than one expert requires mutual agreement by the parties on the number of experts for which there should be equal numbers for each party;
  - ii) three independent experts, one of which is familiar with the IPPC and associated international standards, are selected by the Interim Commission or its subsidiary body from a roster of experts supplied by the IPPC Secretariat;
  - iii) the experts are recommended to the Director-General for appointment;
  - iv) the appointed experts constitute the Expert Committee and elect a Chairperson from among the three independent experts;
- d) The Expert Committee agrees, and conducts its proceedings, on terms of reference, including:
  - i) taking account of the special needs of developing countries where such countries are parties to the dispute;
  - ii) provision for the use of outside experts; and
  - iii) rules for the presence and conduct of observers.

If terms of reference cannot be agreed upon, a general format may be provided by the IPPC Secretariat, including rules for the presence and conduct of observers established by the Interim Commission or its relevant subsidiary body.

- e) Upon completion of the proceedings, the Expert Committee prepares a report consisting of two parts:
  - i) a summary of the technical aspects of the dispute, and
  - ii) recommendations for resolving the dispute.
- f) The Expert Committee seeks to develop consensus on all points in the report. In the event consensus is not possible, the Chairperson ensures that the draft report provides recommendations for the resolution of the dispute while adequately reflecting dissenting views.
- g) In the event the proceedings cannot be completed, the Chairperson ensures that a report is prepared on the proceedings up to the point of termination.
- h) The draft report is submitted to the IPPC Secretariat for technical review and/or the FAO Legal Office for legal review. Any comments from FAO review are returned to the Committee.



- i) The Committee prepares a final report taking into account comments by the FAO.
- j) The final report is submitted to the IPPC Secretariat for transmission to the IPCM or its designated subsidiary body for approval.
- k) The final report is submitted by the Chairperson to the Director-General. The Director-General transmits the report to the disputing parties as the basis for renewed consideration of the matter out of which the disagreement arose. The approved report may also be made available on request to competent bodies of the international organizations responsible for resolving trade disputes.
- l) The parties may report to the Interim Commission on further action or progress based on the recommendations on the matter out of which the disagreement arose.

#### **The Interim Commission decided:**

- 1) that the IPPC Secretariat:
  - a) maintain and make public rosters for the purpose of identifying experts for dispute settlement procedures associated with phytosanitary measures and the interpretation or implementation of the Convention;
  - b) undertake to develop guidelines and other reference information for parties interested in options and procedures for dispute settlement;
  - c) maintain records concerning disputes notified by members to the IPPC Secretariat.
- 2) that the designated Informal Working Group on Dispute Settlement:
  - a) undertake to develop rules and procedures for the approval of Expert Committee reports by the Interim Commission 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 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 the Expert Committee procedures;
  - h) explores the possibilities for enhancing developing countries abilities 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 Interim Commission regarding dispute settlement.
- 3) that the Interim Commission, in collaboration with the Secretariat, undertakes to make available good offices, mediation services, and other assistance that may be desired by parties to resolve the dispute without initiating formal dispute settlement procedures.

The following additional Dispute Settlement Procedures were adopted by the ICPM-3 (2001)<sup>186</sup>:

## Dispute settlement procedures

### F. Procedure for approval of expert committee reports

21. 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 the 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 the 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 the 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 Interim Commission 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

<sup>186</sup> ICPM-3 (2001), Appendix XI, F - N



- 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 Interim Commission 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) 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:

- a) administration and arrangements for expert meetings;
- b) interpretation/translation where necessary;
- c) 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 Interim Commission 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 RPPOs**

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 IPP 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 Interm Commission follow the format for the *IPPC Dispute Settlement Expert Committee Report* described above and is based on information supplied by Members in this format.



## **6.4 Role of RPPOs in dispute settlement**

The ICPM-3 (2001) adopted recommendations on the role of RPPOs in relation to dispute settlement. These are given in Section 6.3.5.

## 6.5 Subsidiary Body on Dispute Settlement (SBDS)

### 6.5.1 Terms of references and rules of procedure for the SBDS

The CPM-1 (2006) established the Subsidiary Body on Dispute Settlement and adopted its Terms of Reference and Rules of Procedure<sup>187</sup>. Subsequent changes to the Rules of Procedure were adopted by The CPM-2 (2007) and the CPM-4 (2009)<sup>188</sup>.

#### Terms of Reference

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

The Subsidiary Body on Dispute Settlement manages the dispute settlement functions of the Commission and provides assistance to the Commission 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

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:

- 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.
- Propose nominations for independent experts using Expert Committee procedures (see the reports of the ICPM-2 (1999), Appendix IX, Section 4 and ICPM-3 (2001), Appendix XI, Section H, paragraph 27b) where the disputing parties cannot agree on experts proposed by the Secretariat.
- Approve reports of Expert Committees including verification of all points in Expert Committee procedures (see the reports of the ICPM-2 (1999), Appendix IX, Section 4 and the ICPM-3 (2001), Appendix XI, Section F); and
- Undertake other functions as directed by the Commission, 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.

<sup>187</sup> For reference purposes, it is noted that Terms of Reference and Rules of Procedure of the SBDS had previously been adopted by ICPM-6 (2004).

<sup>188</sup> CPM-1 (2006), Appendix V with changes to the Rules of Procedure adopted at CPM-2 (2007) Appendix 16 and CPM-4 (2009) Appendix 16



## 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**

#### 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 Commission 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 Commission 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.

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:

- experience in phytosanitary systems;
- familiarity with the IPPC and International Standards for Phytosanitary Measures;
- experience with regulations/legislation; and
- 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 Commission, 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 Commission, 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 Commission as required.

### Rule 9. Confidentiality

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

In addition, with respect to the working language of the SBDS, the CPM-2 (2007)<sup>189</sup>:

2. *Agreed* that the SBDS should continue to work in English until additional resources become available.

## **6.5.2 Functions, structure, and membership of the SBDS**

The ICPM-3 (2001)<sup>190</sup> decided on the following functions, structure and membership of a Subsidiary Body on Dispute Settlement.

### **Functions of a subsidiary body on dispute settlement**

8. It is proposed that a subsidiary body on dispute settlement assume the following functions:
  - a) 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;
  - b) propose nominations for independent experts in IPPC Expert Committee procedures where the disputing parties cannot agree on experts proposed by the Secretariat;
  - c) approve reports of Expert Committees including verification of all points in Expert Committee procedures (point 4 of the adopted procedure); and
  - d) undertake other functions as directed by the Interim Commission, which may include:
    - i) assist the Secretariat with requests from WTO or other organizations;
    - ii) 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;
    - iii) assist in identifying appropriate experts;

<sup>189</sup> CPM-2 (2007), Paragraph 160

<sup>190</sup> ICPM-3 (2001), Appendix XI, C and D



- iv) assist in review and maintenance of expert rosters; and
- v) identify appropriate training opportunities.

### **Structure and membership of a subsidiary body**

9. Options for the composition of a subsidiary body. The size and composition of the subsidiary body may be determined based on:

- a) geographical representation (e.g. one delegate from each FAO region) (quorum of 4; at least three members from developing countries); and
- b) developed and developing country representation (e.g. 2 or 3 OECD + 2 or 3 G77).

The Informal Working Group suggests that, while it is desirable for the subsidiary body to consist of seven or fewer experts, and its composition be based on either geographical representation or developed/developing country status, it is considered essential that members have an interest and experience in dispute resolution. (See recommendations below)

10. Qualifications of subsidiary body members. Experts should have:

- a) experience in phytosanitary systems;
- b) familiarity with the IPPC and standards;
- c) experience with regulations/legislation; and
- d) preferably some form of dispute settlement or conflict resolution knowledge, qualifications and/or experience.

Governments should recognize the time, resources, and support necessary for subsidiary body members to adequately fulfil their roles before nominating them.

11. Selection of Chairperson. The subsidiary body elects its Chairperson from among its membership.

12. Duration of membership. Members of the subsidiary body serve for a minimum of two years, and a maximum of six years.

13. Review. The need for a subsidiary body, and its functions and operation will be reviewed by the Interim Commission after three years, taking into account experience and changing conditions.



## PART 7 - IPPC IMPLEMENTATION REVIEW AND SUPPORT SYSTEM

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## PART 7 - IPPC IMPLEMENTATION REVIEW AND SUPPORT SYSTEM (IRSS)

An Open-ended Group on a Possible IPPC Compliance Mechanism was held in September 2007. The group developed the “IPPC Implementation Review and Support System” (IRSS) which built on existing or planned processes already approved by the Commission, with the primary objective of facilitating and promoting the implementation of the IPPC and ISPMs.

The CPM-3 (2008)<sup>191</sup>:

1. *Endorsed* the report of the Open-ended Working Group;
2. *Adopted* the modified Programme for the Development of the “IPPC Implementation Review and Support System” (IRSS) (see Appendix 14);
3. *Agreed* that the focus of the IRSS should be implementation rather than compliance, that the establishment of the “IPPC Help Desk” was very important to the success of the IRSS and that the outcome of the IRSS would be used to adjust the Business and Operational Plans of the CPM;
4. *Recommended* that the IRSS be included in the IPPC Procedure Manual and that it would be implemented as soon as practically possible and as resources allowed;
5. *Requested* that the IRSS be incorporated into the CPM Capacity Building Strategy and that the Secretary pursue all reasonable options to ensure the post of a standards implementation officer (as foreseen in the IPPC Business Plan) be established as soon as practically possible.

### 7.1 Programme for the development of the IPPC implementation review and support system

#### *Components to be developed*

The “IPPC Implementation Review and Support System” has two major components: the *Implementation review system* (IRS) and the *Implementation support system* (ISS). These are both used along with other information from the International Phytosanitary Portal (IPP - <https://www.ippc.int>), the Technical Consultation among RPPOs (TC-RPPOs), the report on the use of the Phytosanitary Capacity Evaluation (PCE) tool and reports from other relevant organizations, to produce the Implementation review response.

The *Implementation review response* (IRR) summarizes the situation of the implementation of the IPPC and its standards by contracting parties. From this summary, action plans are developed, for input into the proposed work programme for consideration by the Commission. The recommended action plans will be a key input into the strategic and technical assistance planning of the Commission.

The various parts of the components are listed below, and are presented in Table 1 with approximate dates for action.

#### *Implementation review system*

First element: IPPC Secretariat monitors the fulfilment of the reporting requirements of contracting parties through the IPP. This involves:

- IPPC Secretariat informs contracting parties again of their reporting requirements
- Contracting parties respond by submitting reporting requirements if not already done

<sup>191</sup> CPM-3 (2008), Paragraph 130



- IPPC Secretariat reporting on contracting parties' difficulties with the reports annually requirements, by publishing on the IPP a list of contracting parties facing such difficulties. An annual summary report would also be presented to the Commission.

Second element: triennial review to evaluate the implementation of other obligations (non-reporting) contained in the IPPC. This involves:

- development of a questionnaire by the Secretariat to gather information from contracting parties regarding implementation of IPPC obligations, in particular in relation to Articles IV, V, VII, and VIII<sup>1</sup>.
- review of this questionnaire by the Commission Bureau and other experts
- distribution of the pilot questionnaire to a limited number of contracting parties representing the seven FAO regions, to evaluate and improve it
- review of the questionnaire by the Commission Bureau and other experts for possible improvement
- distribution of the questionnaire to contracting parties for completion
- collation and analysis of the data
- establishment of a triennial review group
- analysis of questionnaire replies by a meeting of the triennial review group. This would include suggestions for improvement of the questionnaire prior to its next use
- submission of the report of the triennial review to the Commission Bureau for the purpose of ISS. Note the Commission Bureau also uses the triennial review as part of the Implementation review response
- submission of the report of the triennial review to the SPTA
- submission of the report of the triennial review to the Commission.

This mechanism could also deal with significant elements involved in undertaking the global review of status of plant protection in the world as per IPPC.

### ***Implementation support system***

IPPC Secretariat to establish an IPPC Help Desk. This would involve the appointment of a Standards Implementation Officer to the IPPC Secretariat. This officer would coordinate the implementation activities of the Secretariat's activities so as to:

- help with finding assistance for those contracting parties requesting help with the implementation of ISPMs
- provide advice relating to the implementation of ISPMs
- monitor, identify and report implementation difficulties
- ensure that contracting parties requesting assistance are put in contact with potential donors
- provide a summary report of IPPC Help Desk activities to the Commission.

This officer would use the services, as appropriate, of the IPPC Secretariat, the Commission Bureau, the Commission subsidiary bodies, the FAO legal office and other units in discharging these functions

### ***Implementation review response***

The Commission Bureau will develop an Implementation review response every three years. This will be based on:

- the report of the triennial review
- a summary report of the IPPC Help Desk activities
- a report on implementation difficulties from the Technical Consultation among RPPOs

- a summary report on implementation trends from the PCE
- the annual Secretariat IPP reports on the fulfilment of contracting reporting requirements
- reports from other relevant international organizations.

The implementation review response (which will be in the form of a report) will include appropriate action plans. On the basis of this response, recommendations for future activities to enhance implementation of the IPPC and ISPMs could be developed for incorporation into the Commission work programme, and these should be a key input for the IPPC strategic and technical assistance planning. In addition, this response could address a number of recommendations of the report of the Independent Evaluation of the IPPC, specifically the review of the state of plant protection in the world and the development of procedures to monitor the implementation of standards.

The response will be considered by the SPTA then the Commission.

As noted earlier this response will provide recommendations for future activities to enhance the implementation of the IPPC and ISPMs for incorporation into the operational work programme of the Commission.

The CPM-4 (2009)<sup>192</sup>:

1. *Noted* that given current Secretariat resources this project will not be implemented.
2. *Requested* members to provide project funds to staff and implement this project.

At the CPM-5 (2010) Secretariat informed the Commission that work on the implementation review and support system (IRSS) would begin in 2010. The Secretariat explained that the programme would be initiated using secretariat resources but emphasized that limited funding was only available for 2010.

The CPM-5 (2010)<sup>193</sup>:

2. *Urged* contracting parties to support the activity by contributing to the Trust Fund for the IPPC.

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<sup>192</sup> CPM-4 (2009), Paragraph 216

<sup>193</sup> CPM-4 (2009), Paragraph 107





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## PART 8 - PARTNERS

Medium term goal 6: International promotion of the IPPC and cooperation with relevant regional and international organizations

### 8.1 SPS, Codex Alimentarius, and the World Organisation for Animal Health (OIE)

Of the international organizations and agreements whose objectives and activities overlap with those of the IPPC, the World Trade Organization (WTO) is particularly important. The WTO administers multilateral trade agreements, acts as a forum for trade negotiations and seeks to resolve trade disputes.

Of particular relevance to the IPPC is the WTO's Agreement on the Application of Sanitary and Phytosanitary Measures (SPS Agreement). The SPS Agreement establishes that countries retain their right to ensure that food, animal and plant products they import are safe, while at the same time it states that countries should not use unnecessarily stringent measures as disguised barriers to trade.

The application of sanitary and phytosanitary measures as they relate to food and agriculture, including fisheries and forestry, concern in particular:

- the protection of animal or plant life or health arising from the entry, establishment or spread of pests, diseases, disease-carrying organisms or disease-causing organisms;
- the protection of human or animal life or health from risks arising from additives, contaminants, toxins or disease-causing organisms in foods, beverages or feedstuffs;
- the protection of human life or health from risks arising from diseases carried by animals, plants or products thereof, or from the entry, establishment or spread of pests; and
- the prevention or limitation of other damage from the entry, establishment or spread of pests.

The SPS Agreement states that countries should use internationally agreed standards in establishing their requirements for sanitary and phytosanitary measures. To meet this objective, the Agreement identifies three international standard setting bodies: Codex Alimentarius Commission (Codex) for food safety, the World Organization for Animal Health (OIE) for animal health and the International Plant Protection Convention (IPPC) for plant health. By using standards, countries can reach the level of protection needed to protect human, animal or plant life or health, and know that trading partners should not challenge them because their measures are justified according to the requirements of the SPS Agreement. Countries may also adopt measures that differ from standards, but in these cases, the measures should be technically justified and based on risk assessment.

The IPPC and the SPS Agreement are distinct in their scope, purpose and membership. The IPPC makes provision for trade in a protection agreement: the SPS Agreement makes provision for plant protection in a trade agreement. The IPPC complements the SPS Agreement by providing international standards that help to ensure that phytosanitary measures have a scientific basis for their imposition and operation and are not used as unjustified barriers to international trade.

The IPPC maintains a close working relationship not only with the WTO and the SPS Committee, but also with the other standard setting bodies; namely Codex and the OIE. Together, the three standard setting bodies, or the "Three Sisters", recognize that there are strong opportunities to cooperate with each other in the development of sound scientific and technical guidance in the form of international standards. Likewise, member states are increasingly combining the three disciplines under one administrative unit and, by making use of commonalities, may increase efficiency in the implementation of the international agreements and the respective standards.

The ICPM-7 (2005)<sup>194</sup>:

2. *Adjusted and adopted* the following three steps for initiating contacts with the OIE and Codex Alimentarius:

- a) The Interim Commission Bureau initiates contacts with the OIE and Codex Alimentarius
- b) Meetings as necessary between IPPC, Codex Alimentarius and the OIE to identify potential topics and priorities and develop draft procedures for cooperation.
- c) Adoption by the Interim Commission of the potential topics, priorities and draft procedures.

## 8.2 Convention on Biological Diversity (CBD)

### 8.2.1 Overview

In recent decades there has been a growing concern world wide for the protection of the environment. Because the scope of the IPPC extends to protection of natural flora, the Interim Commission and Commission have initiated collaboration with environmental programmes to ensure that its activities take account of relevant aspects of intergovernmental environmental agreements and that those working within environmental frameworks understand the role of the IPPC.

The Convention on Biological Diversity (CBD), which entered into force in 1993, calls on its contracting parties to develop national strategies, plans or programmes for the conservation and sustainable use of biological diversity. Article 8 (h) of the CBD says that contracting parties shall prevent the introduction of, control or eradicate those alien species which threaten ecosystems, habitats or species.

Many of the IPPC's principles and the framework for its phytosanitary measures are applicable to the measures for conservation and sustainable use described in the CBD. Thus, cooperation and information exchange between environmental organizations and the Commission and IPPC Secretariat can strengthen the implementation of their respective mandates.

To that end, the IPPC has undertaken several activities to define and promote cooperation between the CBD and the IPPC. A series of working groups and consultations between the two Secretariats have been conducted to further define areas of collaboration and cooperation. The first meeting in June 2000, the Interim Commission Exploratory Open-Ended Working Group on Phytosanitary Aspects of GMOs, Biosafety and Invasive Species, was convened at the request of the Interim Commission. The statements of that meeting were endorsed at the ICPM-3 (2001) and are attached as [Annex 18](#).

Over the past several years, there has been continuing cooperation between the IPPC and the CBD on matters of mutual interest, including the development of a supplement to ISPM 11 (*Pest risk analysis for quarantine pests, including analysis of environmental risks and living modified organisms*) on living modified organisms done in cooperation with representatives of the CBD's Cartagena Protocol on Biosafety and adopted at the ICPM-6 (2004), the organization of the Workshop on Invasive Alien Species and the IPPC held in Braunschweig, Germany in September 2003, and the development of a Memorandum of Cooperation between the two Secretariats reported by the IPPC Secretariat at the ICPM-6 (2004). At the ICPM-7 (2005), building upon the outcome of the workshop on invasive alien species in 2003 in Germany, adopted the decision below.

### 8.2.2 Decision on cooperation with the CBD on invasive alien species

The ICPM-7 (2005)<sup>195</sup> took the following decision on cooperation with the CBD on invasive alien species:

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<sup>194</sup> ICPM-7 (2005), Paragraph 150



1. *Noting* that invasive alien species that are pests of plants have significant adverse effects on wild as well as cultivated plants world-wide;
2. *Noting* the important current and potential role of the IPPC to address the problem of invasive alien species that harm plants, in light of the mandate of the IPPC to protect wild as well as cultivated plants, and the well-developed structures to guard against pests of plants (including plants that are invasive alien species) established under the framework of the IPPC over a period of several decades;
3. *Noting* that action in this regard may be an important contribution to the conservation of biodiversity, through the protection of wild flora and their habitats and ecosystems, and of agricultural biodiversity;
4. *Welcoming* the publication of the Proceedings of the Workshop on Invasive Alien Species held in Braunschweig, Germany in September 2003;
5. *Desiring* to enhance cooperation between the IPPC and the CBD on matters relating to, inter alia, invasive alien species, and to further strengthen activities in this area within the framework of the IPPC, in a manner that complements work under the CBD and other instruments;
6. *Desiring* to build upon the recommendations made at the workshop in Braunschweig, as reflected in the proceedings of the workshop, and to strengthen international momentum to address this important issue;
7. *Recommended* that contracting parties and NPPOs, as appropriate:
  - a) Enhance plant protection laws and policies, where needed, to include the protection of wild flora and biodiversity from pests of plants (including plants that are invasive alien species);
  - b) Promote the IPPC and participate in broader national strategies to address threats to biodiversity posed by invasive alien species, so that maximum advantage can be taken of existing structures and capacities under the IPPC;
  - c) Reinforce efforts to apply and utilize relevant ISPMs and related phytosanitary measures to address threats to biodiversity posed by invasive alien species that are pests of plants (including plants that are invasive alien species);
  - d) Give particular attention, when carrying out pest risk analysis, to the possibility that introduced plants could act as invasive alien species, taking into consideration available information on the types of plants for which this has already occurred;
  - e) Enhance linkages between environmental, plant protection and agricultural authorities and related ministries, in order to articulate and achieve common goals in work involving the protection of plants and biodiversity from, invasive alien species;
  - f) Improve communication between national CBD focal points and IPPC contact points;
  - g) Collect, where appropriate, information on the alien invasions of pests of plants (including plants that are invasive alien species), and forward this to the CBD national focal points, to assist in monitoring progress towards the 2010 biodiversity targets outlined in the COP-7 Decision VII/30;

<sup>195</sup> ICPM-7 (2005), Paragraph 148

h) Establish or adapt existing pest alert systems to include all pests of plants (including plants that are invasive alien species) that threaten the environment and biological diversity, including those affecting uncultivated/unmanaged plants, wild flora, habitats and ecosystems, and ensure that relevant agencies and officials have access to lists of plants, plant products, other regulated articles and trade pathways that may carry such pests;

i) Report to the IPPC Secretariat on actions and progress on the above recommendations.

8. *Supported*, within the framework of the IPPC, actions to:

a) Further clarify opportunities to address issues of invasive alien species that are pests of plants (including plants that are invasive alien species) within the context of the IPPC, and the benefits of doing so;

b) Address concerns relating to threats to biodiversity and the environment from pests of plants (including plants that are invasive alien species) and their pathways in the development of new or revised ISPMs and related phytosanitary measures;

c) Include potential pathways of invasive alien species that are pests of plants (including plants that are invasive alien species) as a criterion for the selection of topics and priorities for future standards;

d) In the context of technical assistance initiatives under the IPPC, enhance the capacity of developing countries to address pests of plants (including plants that are invasive alien species) that threaten the environment and biological diversity.

9. *Requested* the Secretariat to provide available and relevant information on alien invasions of pests of plants (including plants that are invasive alien species) to the CBD Secretariat, to assist in monitoring progress towards the 2010 biodiversity targets outlined in the COP-7 Decision VII/30.

10. *Requested* the Secretariat to support the implementation of this Decision as a priority for work under the IPPC, within available resources.

11. *Welcomed* the collaboration between the IPPC and the CBD in developing mechanisms to address the threats posed by invasive alien species, and requests the Secretariat to develop a joint work programme with the Secretariat of the CBD in support of these efforts.

12. *Invited* the CBD, in addressing the threats posed by invasive alien species, to continue to take into account work under the IPPC for the protection of plants and its contribution to the conservation of biodiversity.

### 8.3 The IPPC and RPPOs

#### 8.3.1 Overview

A regional plant protection organization (RPPO) is an intergovernmental organization providing coordination on a regional level for the activities and objectives of the IPPC as laid down in Article IX. The 1997 revision to the Convention extends the responsibilities of RPPOs to specify their cooperation with the IPPC Secretariat and the Commission.

RPPOs:

- participate in activities to achieve the objectives of the Convention;
- disseminate information relating to the IPPC; and
- cooperate with the Commission and the IPPC Secretariat in developing international standards.

Currently there are nine RPPOs:

- Asia and Pacific Plant Protection Commission (APPPC)
- Comunidad Andina (CAN)
- Comité de Sanidad Vegetal del Cono Sur (COSAVE)
- Caribbean Plant Protection Commission (CPPC)
- European and Mediterranean Plant Protection Organization (EPPO)
- Inter-African Phytosanitary Council (IAPSC)
- North American Plant Protection Organization (NAPPO)
- Organismo Internacional Regional de Sanidad Agropecuaria (OIRSA)
- Pacific Plant Protection Organization (PPPO).

Not all contracting parties to the IPPC are members of RPPOs, nor are all members of RPPOs contracting parties to the IPPC. Moreover, some countries belong to more than one RPPO.

RPPO membership and contact information are available at: <https://www.ippc.int/id/13310>.

### 8.3.2 Recognition of RPPOs

The ICPM-4 (2002)<sup>196</sup> approved procedures for the recognition of new RPPOs.

#### Procedure for the recognition of new RPPOs

The recognition procedure for new RPPOs should be composed of four steps:

1. The prospective RPPO presents documentation authenticating an inter-governmental agreement and a written request for recognition as an RPPO under Article IX of the IPPC (1997) to the Chairperson of the Interim Commission.
2. The FAO Legal Counsel reviews the legal status of the submission.
3. The Technical Consultation among RPPOs assesses whether the prospective RPPO meets the Interim Commission Guidelines for the Recognition of RPPOs. These Guidelines, as adopted by the Interim Commission, have as a minimum the following functions:
  - coordinate the activities among National Plant Protection Organizations (NPPOs) in the regions covered, in order to achieve the objectives of the IPPC (1997);
  - harmonize phytosanitary measures;
  - participate in activities to promote the objectives of the IPPC (1997); and
  - gather and disseminate information.
4. The Technical Consultation submits a recommendation for consideration by the Interim Commission.

The ICPM-3 (2001)<sup>197</sup> adopted the following in relation to the recognition of RPPOs:

#### Interim Commission guidelines for the recognition of Regional Plant Protection Organizations

In order to be recognized as a Regional Plant Protection Organization (RPPO) in the sense of Article IX of the New Revised Text of the International Plant Protection Convention (IPPC), an RPPO should:

1. Be established under an inter-governmental agreement with the capacity to accomplish the objectives of the International Plant Protection Convention in its region.

<sup>196</sup> ICPM-4 (2002), Appendix XV

<sup>197</sup> ICPM-3 (2001), Appendix XIV

2. Have, as a minimum, the following functions:

- coordinate the activities among National Plant Protection Organizations (NPPOs) in the regions covered, in order to achieve the objectives of the Convention;
- harmonize phytosanitary measures;
- participate in activities to promote the objectives of the IPPC; and gather and disseminate information.

### 8.3.3 Recommendations on the roles and functions of RPPOs in their relationship with the Commission

The ICPM-7 (2005)<sup>198</sup> adopted the following recommendations on the relationship with RPPOs.

#### Recommendations on the roles and functions of RPPOs in their relationship with the Commission

I. This list is presented recognizing the following points:

- None of the following recommendations limit the rights or obligations of members or affect the role of RPPOs.
- This list is not a comprehensive list of the activities that RPPOs may undertake.
- Collaboration or information exchange between RPPOs and the IPPC does not substitute for the obligations of contracting parties under the IPPC.

Areas of cooperation between RPPOs and the IPPC, in accordance with article IX.3 of the New Revised Text of the IPPC, include the following:

#### Standard setting process

- participation in the development of standards (such as providing comments in the consultation phase, identifying topics for standards, etc.)
- identification of regional standards that could be proposed as ISPMs
- nomination of experts for IPPC expert working groups and technical panels
- action as collaborators/hosts for standard setting meetings
- preparation of draft explanatory documents on ISPMs according to paragraph 111 of the Report of the Sixth Session of the Interim Commission, under the auspices of the IPPC Secretariat
- as appropriate, provision of technical and administrative support to Standards Committee members.

*Note: Recommendations on the role of RPPOs in standard setting procedures had also been made at the ICPM-2 (1999) (see Section 3.3.3).*

#### Information exchange

- operation of an effective International Phytosanitary Portal (IPP)
- assistance to member countries in meeting IPPC obligations in relation to information exchange
- provision of information on regional IPPC-related activities (such as pest interceptions, pest status, pest reports, regional standards, regulations, etc.)
- provision of translations of IPPC documents in languages other than the five official FAO languages.

<sup>198</sup> ICPM-7 (2005), Appendix XIX

### Technical assistance

- involvement in regional workshops on draft ISPMs in their region (such as participation and logistical and technical support)\*
- facilitation of the implementation of ISPMs and identification of implementation difficulties\*
- report on implementation difficulties and successes to the Technical Consultation among RPPOs and the IPPC\*
- as appropriate, cooperation with the IPPC Secretariat in the delivery of technical assistance.

### Dispute settlement

- assistance in obtaining nominations for expert rosters
- assistance, as appropriate, in the settlement of disputes (according to the report of the ICPM-3 (2001), Appendix 11.L).

### Funding issues

- assistance to the IPPC in obtaining funding to support its work plan.

*\* Items marked with an asterisk may also be considered under the standard setting process.*

II. Depending on the availability of funds, the IPPC Secretariat should fund the participation of the Secretaries from RPPOs that are FAO commissions for their participation in the annual TC among RPPOs.

## **8.3.4 RPPOs and standard setting**

The ICPM-2 (1999)<sup>199</sup> adopted recommendations on the role of RPPOs in standard setting procedures:

### **The role of Regional Plant Protection Organizations (RPPOs)**

a) That RPPOs:

- i. establish regional standards and deposit them with the Secretariat;
- ii. encourage cooperation between their member countries in the preparation of:
  - proposals for new or revised International Standards for Phytosanitary Measures (ISPMs) and the deposit of regional standards as candidates for ISPMs;
  - comments on specifications for new or revised ISPMs;
  - comments on draft ISPMs received for consultation.
- iii. cooperate with the Secretariat in support of the work programme.

In addition, the ICPM-6 (2004) adopted a recommendation regarding the role of RPPOs in regional workshops on draft ISPMs held in their region.

## **8.3.5 RPPOs and dispute settlement**

According to the Dispute Settlement Procedures adopted at the ICPM-3 (2001), RPPOs can take an active role in dispute settlement procedures<sup>200</sup>.

## **L. ROLE OF RPPOs**

<sup>199</sup> ICPM-2 (1999), Appendix VII as part of *Considerations on standard setting procedures adopted by the Interim Commission*  
<sup>200</sup> ICPM-3 (2001), Appendix XI, L

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.

### 8.3.6 Technical consultation among RPPOs

Technical consultations of representatives of RPPOs are convened annually to promote the development, adoption and harmonization of phytosanitary measures. In the cooperative endeavour to implement the Convention, RPPOs play an important role. To date there have been 21 technical consultations. Reports of these technical consultations were made available to the Interim Commission and on the IPP.

#### Role and functions of the Technical Consultation among RPPOs

The ICPM-5 (2003)<sup>201</sup> welcomed the paper on the role and functions of the Technical Consultation and endorsed the continuation of the consultation.

#### Role and functions of the Technical Consultation

##### Background

Prior to the existence of the Interim Commission on Phytosanitary Measures (ICPM), the Technical Consultation of RPPOs was the sole international forum for discussion of phytosanitary matters. As such, the Technical Consultation of RPPOs was instrumental in the development of several of the early International Standards for Phytosanitary Measures (ISPMs). In addition, the Technical Consultation of RPPOs played an active role in the revision of the IPPC and the plans for an Interim Commission. These activities are summarized in the Table 7:

**Table 7.** Summarization of TC-RPPO activities

No.	Location	Host	Date	Special activity
1	Rome	FAO	Sep 4-8, 1989	Response to GATT initiative
2	Rome	FAO	May 14-18, 1990	Harmonized principles of plant quarantine
3	Rome	FAO	May 13-17, 1991	Possible international approval mechanisms for harmonized guidelines, recommendations and standards
4	San Salvador	OIRSA	May 11-15, 1992	Possibilities for harmonized phytosanitary procedures
5	Rome	FAO	May 17-21, 1993	Draft guidelines on PRA; proposal to create CEPM
6	Rome	FAO	May 16-20, 1994	Associated with first CEPM; glossary group
7	Nouméa (NC)	APPPC	Sep 4-8, 1995	Creation of PPPO
8	Paris (FR)	EPPO	Sep 10-13, 1996	Revision of IPPC
9	Brasília (BR)	COSAVE	Sep 8-12, 1997	Priorities for ISPMs

<sup>201</sup> ICPM-5 (2003), Appendix XVII

No.	Location	Host	Date	Special activity
10	Rome	FAO	Nov 9-10, 1998	Emergency response
11	Rome	FAO	Sep 29/Oct 1, 1999	Reporting obligations
12	San Diego (US)	NAPPO	Oct 11-13, 2000	Recognition of RPPOs; generic standards
13	Auckland (NZ)	APPPC	Oct 29-31, 2001	Methyl bromide, complexity of language
14	Marrakech (MA)	EPPO	Dec 9-11, 2002	See main report

#### Current situation

The Technical Consultation continues to be the most important point of contact between the RPPOs, which have no other opportunity to consult as a group. Since the establishment of the new revised text of the IPPC and the creation of the Interim Commission, the Technical Consultation has concentrated its objectives on its aims as stated in Article IX/4 of the IPPC:

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

The new revised text of the IPPC (1997) also creates the concept of the Regional Standard on Phytosanitary Measures, their establishment being one activity of RPPOs to "achieve the objectives of this Convention" (Article IX/2, X/3).

Interest in the Technical Consultation remains high with 8 of the 9 existing RPPOs represented at the 14<sup>th</sup> Technical Consultation held on December 9 and 10, 2002 in Marrakech, Morocco. The RPPOs representing developing countries stress the value of this opportunity for information exchange with other RPPOs.

Whereas the Technical Consultation previously met at the FAO Headquarters in Rome, with the organizational support of the FAO Plant Protection Service and then the IPPC Secretariat, it has now taken steps to minimize the costs to the IPPC Secretariat. Since 1996, it has met only once in Rome, and the location of its annual meetings now rotates among the RPPOs. The individual RPPOs and host countries now provide secretariat support for the meeting, propose the agenda, distribute documents before the meeting and prepare the report after the meeting. The presence of a representative of the IPPC Secretariat remains necessary for overall coordination between the IPPC Secretariat, the Interim Commission and the Technical Consultation of RPPOs.

#### Contribution of the Technical Consultation to the Work Programme of the Interim Commission

The Technical Consultation is attended by experienced phytosanitary experts representing all regions of the world. In addition to its support for regional programmes under the IPPC, the Technical Consultation can contribute to the work programme of the Interim Commission as follows:

- identification of problems associated with the implementation of ISPMs and recommendations to the Interim Commission regarding their resolution;
- development of explanatory documents to support ISPMs;
- discussion of draft concept papers and regional standards for phytosanitary measures (RSPMs) and proposal of RSPMs as the basis for ISPMs (Article X/3);
- contribution to the standard-setting process;
- support of the country consultation process of draft ISPMs;
- platform for identifying new phytosanitary priorities for standard setting;
- supporting technical capacity building in developing countries;

- contributions to the achievement of the Programme of Work of the Interim Commission in alignment with Article IX of the IPPC.



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## Annex 1: Model Phytosanitary Certificates

[Click here](#) to find the IPPC Procedure Manual on the IPP ([www.ippc.int](http://www.ippc.int)), where you can download this form

<p style="text-align: center;"><b>Model Phytosanitary Certificate</b></p> <p>No. _____</p> <p>Plant Protection Organization of _____</p> <p>TO: Plant Protection Organization(s) of _____</p> <p style="text-align: center;"><b>I. Description of Consignment</b></p> <p>Name and address of exporter: _____</p> <p>Declared name and address of consignee: _____</p> <p>Number and description of packages: _____</p> <p>Distinguishing marks: _____</p> <p>Place of origin: _____</p> <p>Declared means of conveyance: _____</p> <p>Declared point of entry: _____</p> <p>Name of produce and quantity declared: _____</p> <p>Botanical name of plants: _____</p> <p>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.</p> <p>They are deemed to be practically free from other pests.*</p>
--



## II. Additional Declaration

### 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 \_\_\_\_\_

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





## Annex 2: Model Instrument of Adherence to the Convention

[Click here](#) to find the IPPC Procedure Manual on the IPP ([www.ippc.int](http://www.ippc.int)), where you can download this form

The Government of **[name of country]** has the honor to refer to the International Plant Protection Convention, done at Rome on 6 December 1951, which came into force on 3 April 1952, and to inform the Director-General of the Food and Agriculture Organization of the United Nations that **[name of country]** hereby adheres to the aforesaid Convention pursuant to its Article XII, paragraph 2 and undertakes to abide by its provisions.

Furthermore, the Government declares that, **[name of country]** accepts the new revised text of the Convention, as approved by Resolution 12/97 of the Twenty-ninth Session of the FAO Conference in November 1997.

[Date]

[Signature by one of the following authorities]

- Head of State
- Head of Government
- Minister of Foreign Affairs
- Minister of Department concerned

[SEAL]





### **Annex 3: Benefits of adhering to the IPPC**

Contracting parties to the IPPC accept both rights and obligations. The 1997 revised text states these rights and obligations more clearly than the previous versions of the Convention.

Among the rights recognized by the Convention is that countries have sovereign authority to use phytosanitary measures to regulate the entry of plants and plant products and other objects or material capable of harbouring plant pests. Countries can refuse entry, require treatment or specify other requirements for regulated material. Similarly, countries have the right to take emergency action on the detection of a pest posing a potential threat to their territories.

In applying phytosanitary measures, contracting parties have obligations to comply with the Convention's principles of necessity, technical justification and transparency. For example, phytosanitary requirements must be scientifically justified, consistent with the pest risk and result in the minimum impediment to international trade and traffic. Other responsibilities under the IPPC include modification of measures if conditions change and provision of relevant information to affected parties.

What, then, are the benefits to contracting parties from acceptance of (or adherence to) the International Plant Protection Convention? Contracting parties derive benefits by a variety of means: for example, through international trade agreements, standard setting, technical assistance, dispute resolution and information exchange. Some of these benefits are listed below.

#### **The IPPC and international trade agreements**

Benefits related to international trade include:

- obligations under the IPPC are consistent with and complementary to the WTO-SPS Agreement.
- most major trading partners and WTO Members are contracting parties to the IPPC.
- adherence to the IPPC increases the credibility of national phytosanitary systems for trading partners.
- participation allows for direct and active input into processes of global harmonization.
- opportunities are provided to interact with the WTO-SPS Committee through the phytosanitary community.

#### **The IPPC and standard setting**

The benefits derived from involvement in the process of setting International Standards for Phytosanitary Measures:

- the Interim Commission on Phytosanitary Measures (ICPM) provides the opportunity to shape international phytosanitary policy and interact directly with the phytosanitary community.
- members may submit draft international standards for consideration by the Interim Commission.
- adherence to the IPPC:
- conforms with obligations under Article 3.4 of the SPS Agreement concerning participation in international standard setting organizations and
- allows for direct participation in the activities and processes associated with the elaboration of international standards that are observed under the SPS Agreement.

#### **Technical assistance**

Contracting parties to the IPPC agree to promote provision of technical assistance to other parties to aid in implementation of the Convention. In particular, the Convention encourages support for developing countries. Technical assistance offers the benefits of:



- increased possibilities for capacity building and strengthening plant protection infrastructures through projects;
- assistance with dispute settlement from the IPPC Secretariat;
- assistance with reviewing and updating legislation;
- possibilities for emergency programmes through the FAO or other organizations;
- availability of technical expertise through the IPPC Secretariat; and
- possibilities for the coordination of technical assistance on a bilateral or multilateral basis.

### **Dispute resolution**

The IPPC includes dispute settlement provisions for instances where phytosanitary measures may be challenged as unjustified barriers to trade. The dispute settlement process in the IPPC is non-binding. Benefits for contracting parties arising from the dispute resolution processes of the Convention include:

- assistance with dispute settlement procedures;
- access to a lower profile, non-binding alternative with emphasis on technical dialogue (as compared with disputes under the WTO processes);
- opportunities for the settlement of disputes in areas falling outside the scope of the SPS Agreement but within the scope of the IPPC; and
- possibilities for the nomination of national experts for inclusion in the roster of experts used by the IPPC Secretariat for consultation in disputes.

### **Information exchange**

Publication and dissemination of relevant information is both an obligation and part of the voluntary cooperative action of the Convention. Benefits arising from inclusion in this information exchange include:

- opportunities to request or to provide official information;
- participation in a neutral forum for the provision and exchange of technical information related to plant protection and trade;
- assistance to developing countries in information exchange capabilities;
- possibilities for training national personnel;
- direct access to standards and related information from the IPPC Secretariat;
- opportunities to submit discussion papers and other information to working groups; and
- participation in and benefit from technical meetings on phytosanitary issues.

### **Other benefits**

Some other benefits derived from acceptance of (or adherence to) the IPPC:

- there are no additional financial obligations.
- there are no minimum criteria to which to adhere.
- becoming a contracting party is a simple process of depositing an instrument of adherence with the Director-General of the FAO.

## Annex 4: Medium term goals (2007-2011) of the Commission Business Plan

[As adopted by CPM-2 (2007), amended by CPM-3 (2008) and CPM-4 (2009)]

### 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 Commission. 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.

**Table 1.** Goal 1: A robust international standard setting and implementation programme

Areas	Planned activities	Measures of success
1.1 Standard development, adoption and revision 1.2 Standard implementation	Expert drafting groups and Standards Committee meet to develop standards Increase efficiency of standard development and adoption Establish staff to maintain the standard setting programme Environmental and biodiversity aspects considered Identify and address constraints in implementation RPPOs assist members with implementation, including the development/revision of their regulations	At least five ISPMs or equivalent (annexes, treatments, diagnostic protocols, etc.) adopted per year, reflecting an appropriate balance between specific and concept standards SC operation and procedures modified to enable 5 ISPMs/year Staff able to support the ongoing development and maintenance of the programme New/revised ISPMs include environmental and/or biodiversity aspects as appropriate Solutions developed for each standard depending on country needs (e.g. explanatory documents, capacity building, implementation plans) ISPMs implemented by contracting parties Regulations based on ISPMs



## 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 Commission 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 Commission, is the main mechanism for phytosanitary communication.

**Table 2.** 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 2.2 IPP supported by an effective development and maintenance programme	Assist NPPOs with the use of the IPP, through capacity building activities undertaken by the Secretariat and/or RPPOs Secretariat to fulfil reporting obligations and communicate administrative matters efficiently in all FAO languages Further develop joint work programmes as necessary Develop and document procedures for the ongoing use of the IPP Establish staff to maintain and develop the IPP	NPPOs are able to fulfil their reporting obligations using the IPP Relevant information is made available to contracting parties in a timely manner Utilisation of RPPO reporting mechanisms Procedures in place Staff able to support the ongoing development and maintenance of the programme

### 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 Commission. 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)

**Table 3.** Goal 3: Effective dispute settlement systems

Areas	Planned activities	Measures of success
3.1 Encouragement of the use of dispute settlement systems 3.2 Support for the IPPC dispute settlement system	Publicise the availability of the IPPC dispute settlement system RPPOs to ensure members are aware of, and able to use the dispute settlement system Provision of Secretariat support for disputes that may arise Report to the CPM on dispute settlement activities	Contracting parties understand and have confidence in the dispute settlement system Implementation of the IPPC dispute settlement system Annual report to the CPM

### 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.

**Table 4.** 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. 4.2 The List of topics for IPPC standards is supported by technical cooperation 4.3 Contracting parties are able to obtain technical assistance from donors 4.4 Development of a phytosanitary capacity building strategy which addresses implementation, funding and linkages to FAO resources	Updating, maintaining and distributing the PCE tool Use of the PCE and other interactive learning tools for strategic planning and project development Regional workshops, seminars (in cooperation with/assisted by RPPOs) Formulation and implementation of capacity building projects Donor awareness of phytosanitary capacity needs Make contracting parties aware of possible donors and their criteria for assistance Develop and facilitate the implementation of the phytosanitary capacity building strategy	Contracting parties use the PCE to assess their capacity PCE based projects Members participate in IPPC activities Increase in the number of contracting parties able to implement the objectives of the IPPC Increased number of projects funded by donors Strategy developed and being implemented

## 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 Commission 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.

**Table 5.** 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 5.2 A sustainable financial base established for the IPPC 5.3 IPPC programmes have a strong scientific base 5.4 Developing contracting parties fully participate in IPPC activities	Necessary management and operational bodies identified and formalised within the CPM (or its subsidiary bodies) Transparency and accountability resulting in more effective use of scarce resources Preparation of an annual report to CPM on the operational plan by the Secretariat Secretariat negotiates assistance from RPPOs with the implementation of the annual CPM programme Adequate secretariat staff Transparent budgets indicating the real cost of implementing the CPM programme Develop means to cover the (ongoing) biennial FAO shortfall Encourage in-kind contributions Develop, implement and promote a multi year funding strategy Form strong links with appropriate research and education institutions Secure funding for DgC participation in IPPC activities	Management structure that enables the efficient implementation of the CPM programme Preparation of an annual operational plan (with an associated budget) for the CPM Outcomes achieved in the operational plan Implementation of agreed activities Secretariat can meet the demands of the CPM Full time Secretary appointed Members understand and appreciate the financial problem and agree to do something about it. All contracting parties contribute on an ongoing basis Contracting parties host committees/EWGs/TPs, APOs in the Secretariat Increased resources available Technical programmes and technical guidance in standards have a strong scientific base DgCs participate in all appropriate IPPC committees, workshops, standards development

## 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.

**Table 6.** 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 6.2 The IPPC is an active partner in specific programmes of mutual interest 6.3 Efficient and effective communication between the RPPOs and the IPPC Secretariat	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 Ongoing liaison with specific international and regional organizations to identify and implement areas of common interest (mutual benefit) Liaison and collaboration between the Secretariat and RPPO executive staff	All countries are aware of the importance of the IPPC and its environmental relevance All countries are contracting parties CPM announcements and events have global reflection in media Identified benefits gained International organizations seek input from the IPPC in relevant areas RPPOs are fully aware of the Secretariat activities and able to assist where required

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

### Background

One of the requirements of the Commission 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.

**Table 7.** 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 7.2 The IPPC is supported by an implementation programme	<p>Include an agenda item for the CPM meeting identifying new and emerging issues that may need IPPC action.</p> <p>RPPOs develop discussion documents on new and emerging issues which assist the CPM in determining further action</p> <p><i>Electronic certification</i></p> <p>Contracting parties that are implementing E-cert assist others, via the Secretariat, to do so.</p> <p>Use of the UN/CEFACT phytosanitary project for standardization</p> <p>Adoption of relevant existing standards covering secure communication and validation of origin</p> <p><i>Invasive alien species</i></p> <p>ISPMs developed/modified to take alien invasive plant species (e.g. aquatic invasive plants) into account</p> <p><i>Development of risk management options</i></p> <p>Focus group on the international recognition of PFAs</p> <p>Prepare recommendations for an implementation programme</p> <p>Implement an IPPC Implementation Review and Support System</p>	<p>Standards developed and implemented, technologies adopted, programmes modified</p> <p>Discussion documents developed by RPPOs</p> <p>Increased number of contracting parties accepting and using e-cert</p> <p>Standardization of a uniform XML format</p> <p>Security/validation standards adopted and implemented</p> <p>Contracting parties scope of activities expanded to include issues related to alien invasive species (e.g. invasive aquatic plants)</p> <p>Contracting parties have trade expedited through the timely recognition of PFAs</p> <p>Contracting parties able to meet their obligations under the IPPC</p> <p>IRSS in place</p>



**Annex 5: Model text for letter on acceptance of correspondence in electronic format**

[Click here](#) to find the IPPC Procedure Manual on the IPP ([www.ippc.int](http://www.ippc.int)), where you can download this form

*[Report of CPM-2 (2007), Appendix 13, amended by CPM-3 (2008) Appendix 16]*

Subject: Acceptance of correspondence in electronic format from the IPPC Secretariat to all IPPC contact points

**On behalf of NPPO/contracting party..... [name] or RPPO: ..... [name]**

We will download electronic copies of documents published on the IPP for IPPC Secretariat correspondence sent to all contracting parties. No hard copies need be mailed. We understand that notifications of availability of documents will still be sent to us by e-mail with a distinct link to the relevant documents.

.....  
Name of IPPC Contact Point

.....  
Date

.....  
Signature

Please send letter to:

IPPC Secretariat  
AGPP-FAO  
Viale delle Terme di Caracalla  
00153 Rome, Italy  
Fax: +39-06-570 54819

e-mail: [ippc@fao.org](mailto:ippc@fao.org) (scanned copy with signature please).



## **Annex 6: General Rules of the Organization (FAO)**

### **Rule XII: Quorum and Voting Arrangements at Meetings of Conference and Council**

1. Subject to the Constitution and these Rules, the following shall govern the procedure in relation to voting and elections in the Conference and the Council:

2. Except as otherwise provided by the Constitution or these Rules, in the Conference a majority of the Member Nations and in the Council a majority of the Members of the Council shall constitute a quorum.

Before proceeding to a vote or election, the Chairman shall announce the number of delegates or representatives present. If less than the number required for a quorum is present, the vote or election shall not be held.

3. Except as otherwise provided in the Constitution or these Rules, the required majority for any decision or for any election to fill one elective place shall be more than one half of the votes cast.

Except as otherwise provided in these Rules, in the case of an election by the Conference to fill simultaneously more than one elective place, the required majority shall be the smallest number of whole votes necessary to elect no more candidates than there are seats to be filled. This majority shall be obtained by the following formula:

Required majority = number of votes cast/number of seats + 1

(disregarding any resultant fraction).

Subject to the provisions of Article XX, paragraph 1 of the Constitution, when a two-thirds majority of the votes cast is required by the Constitution or these Rules for a decision to be taken by the Conference, the total number of affirmative and negative votes cast shall be more than one half of the Member Nations of the Organization. If these conditions are not fulfilled, the proposal shall be considered as rejected.<sup>1</sup>

4. For the purpose of the Constitution and these Rules the phrase "votes cast" shall mean affirmative and negative votes, and shall not include abstentions or defective ballots.

In the case of an election to fill simultaneously more than one elective place the phrase "votes cast" shall mean the total number of votes cast by the electors for all elective places.

Abstentions shall be recorded:

- in a vote by show of hands, only for those delegates or representatives who raise their hands in response to the Chairman's request for abstentions;
- in a roll call vote, only for those delegates or representatives who reply "Abstention";
- in a secret ballot, only for such ballot papers deposited in the ballot box as are either blank or marked "Abstention";
- in a vote by electronic means, only for those delegates or representatives who indicate "Abstention".

Any ballot paper carrying votes for more candidates than there are vacancies to be filled, or carrying a vote for an individual, nation or locality not validly nominated, shall be considered defective.

In the case of an election to fill simultaneously more than one elective place any ballot paper carrying votes for less candidates than there are vacancies to be filled shall also be considered defective.

The ballot paper shall carry no other notation or mark than those required for the purpose of indicating the vote.



Subject to (i), (ii) and (iii) above, a ballot paper shall be considered valid when there is no doubt as to the intention of the elector.

5. Except as otherwise provided in the Constitution or these Rules, the nomination of any candidate for an elective place to be filled by the Conference or Council shall be made by the government of a Member Nation or by its delegate or representative. Subject to the procedure for nomination provided in the Rules, the appointing body shall determine the nomination procedure.

6. Voting shall be by show of hands, roll call or secret ballot.

7. Subject to the provisions of paragraph 10 of this Rule, a vote by roll call shall be taken either upon request of a delegate or representative, or if a majority of two thirds is required by the Constitution or these Rules. Voting by roll call shall be conducted by calling in English alphabetical order the names of all Member Nations entitled to vote. The name of the first nation to be called shall be designated by lot drawn by the Chairman. The delegate or representative of each Member Nation shall reply "Yes", "No", or "Abstention". At the conclusion of any roll call, the name of any Member Nation whose delegate or representative failed to answer shall be called again. The vote of each Member Nation participating in any vote by roll call shall be inserted in the record of the meeting.

The count and recording of votes by show of hands or by roll call shall be conducted by or under the supervision of the Conference or Council elections officer, appointed by the Director-General in accordance with the terms of paragraph 17 below.

If for two successive ballots by roll call the name of the same Member Nation is drawn, the name of another Member Nation shall be designated by lot or lots drawn by the Chairman.

8. When the Conference or Council votes by electronic means, a vote without recording names shall replace a vote by show of hands and a nominal vote shall replace a roll call. In the case of a nominal vote, the procedure of calling out the names of the Member Nations shall not be applicable unless the Conference or Council otherwise decides. The vote of each Member Nation participating in a nominal vote shall be inserted in the record.

9. For the purpose of the Rules, the term "election" means the selection or appointment of one or more individuals, nations or localities. The election of Council Members shall take place in accordance with the procedure laid down in Rule XXII, paragraph 10 (g). In other cases, more than one elective place shall be filled at the same election, unless the Conference or Council decide otherwise.

When one elective place is to be filled, the method of election by secret ballot shall be as provided in paragraph 11 of this Rule. When more than one elective place is to be filled at the same election, the method of election by secret ballot shall be as provided in paragraphs 12 and 13 of this Rule.

10. The appointment of the Chairman of the Council and of the Director-General, the admission of additional Member Nations and Associate Members shall be decided by secret ballot. Other elections shall likewise be decided by secret ballot, except that in the case of an election in which there are not more candidates than vacancies the Chairman may submit to the Conference or Council that the appointment be decided by clear general consent.

Any other matter shall be decided by secret ballot if the Conference or Council so determines.

For the purpose of a secret ballot the Chairman of the Conference or Council shall appoint two tellers from among the delegates or representatives, or their alternates. In the case of a secret ballot for an election, the tellers shall be delegates or representatives, or their alternates, who are not parties directly interested in the election.

The duties of the tellers shall be to supervise the balloting procedure, count the ballot papers, decide on the validity of a ballot paper in any case of doubt, and certify the result of each ballot.

The same tellers may be appointed for successive ballots or elections.

Ballot papers shall be duly initialled by an authorized officer of the secretariat of the Conference or Council. The elections officer shall be responsible for ensuring compliance with this requirement. For each ballot only one blank ballot paper shall be given to each delegation entitled to vote.

For a vote by secret ballot, one or more voting booths shall be set up, supervised in such a manner as to ensure complete secrecy of the ballot.

Should any delegate invalidate his ballot paper, he may, before leaving the precinct of the polling booths, request a new blank ballot paper, which shall be delivered to him by the elections officer on the surrender of the invalidated ballot paper. The invalidated ballot paper shall remain in the custody of the elections officer.

Should the tellers withdraw from the presence of the delegates or representatives in order to carry out the count of the votes, only the candidates or scrutineers appointed by the candidates may attend the count, but they shall not take part in the count.

Members of delegations and of the secretariat of the Conference or Council who are responsible for the supervision of any vote by secret ballot shall not disclose to any unauthorized person any information which might tend, or be presumed to tend, towards destroying the secrecy of the ballot.

The Director-General shall be responsible for the safe custody of all ballot papers until the elected candidates take office or for three months after the date of the ballot, whichever is the longer period.

11. In any election for one elective place, other than that of the Director-General, if a candidate fails on the first ballot to obtain a majority of the votes cast, successive ballots shall be taken at such time or times as the Conference or Council shall decide, until a candidate obtains such a majority.

12. In any election by the Conference to fill simultaneously more than one elective place the following shall apply:

- Each elector, unless he wholly abstains, shall cast one vote for each elective place to be filled. Each vote shall be cast for a different candidate. Any ballot paper which is not in conformity with these requirements shall be declared defective.
- Any candidate who receives the required majority of the votes cast as defined in paragraph 3 (b) of this Rule shall be declared elected.
- If only some of the elective places have been filled after the first ballot, a second ballot shall be cast to fill the remaining elective places, under the same conditions as the first ballot.
- This procedure shall continue until all the elective places have been filled.
- If in any ballot no candidate received the required majority, the candidate having received the smallest number of votes in that ballot shall be eliminated and a further ballot held, in accordance with (c) above, between the remaining candidates.
- If in any ballot no candidate receives the required majority and more than one candidate receives the smallest number of votes, a separate ballot between these candidates shall be held and the candidate receiving the smallest number of votes shall be eliminated.
- If in the separate ballot provided for in (f) of this paragraph more than one candidate again receives the smallest number of votes, the above operation shall be repeated with respect to those candidates until one candidate is eliminated, provided that if all the same candidates receive the smallest number of votes in two successive separate ballots, such candidates as will have been designated by lot shall be eliminated.
- If at any stage in an election other than a separate ballot all remaining candidates receive the same number of votes, the Chairman of the Conference shall formally announce that if in the two following ballots the votes are again equally divided he will suspend balloting for a period which he shall determine and then hold two further ballots. If after applying this procedure the



final ballot again results in an equally divided vote, such candidate as will have been designated by lot shall be declared elected.

13. In any election by the Council to fill simultaneously more than one elective place, the following shall apply:

- Two thirds of the membership of the Council shall constitute a quorum and more than one half of the number of Council Members casting valid votes shall constitute the required majority.
- Each elector, unless he wholly abstains, shall cast one vote for each elective place to be filled. Each vote shall be cast for a different candidate. Any ballot paper which is not in conformity with these requirements shall be declared defective.
- The candidates who receive the largest number of votes shall be declared elected in a number equal to the number of elective places to be filled, provided they have received the required majority defined in paragraph (a) above.
- If only some of the elective places have been filled after the first ballot, a second ballot shall be cast to fill the remaining elective places, under the same conditions as the first ballot. This procedure shall be continued until all the elective places have been filled.
- If, at any stage during the election, one or more of the vacant elective places cannot be filled because of an equal number of votes having been obtained by two or more candidates, a separate ballot shall be held among such candidates to determine which of them will be elected, in accordance with the provisions of paragraph (c) above. Such procedure will be repeated if necessary.

14. If a vote is equally divided on a matter other than an election, a second vote shall be taken at a subsequent meeting to be held not less than one hour after the conclusion of the meeting at which the equally divided vote occurred. If the second vote is also equally divided the proposal shall be regarded as rejected.

At any stage in an election after the first ballot has been held, further balloting may be postponed by the Chairman with the concurrence of the Conference or Council.

15. Once voting has commenced, no delegate or representative may interrupt the voting except to rise to a point of order in connection with the voting.

16. Any delegate or representative may challenge the result of a vote or election.

In the case of a vote by show of hands or roll call vote, should the result be challenged, the Chairman shall cause a second vote to be taken forthwith.

A vote by show of hands or by roll call may be challenged only immediately after the result has been announced.

A secret ballot may be challenged at any time within three months of the date upon which it took place or until the elected candidate takes office, whichever is the longer period.

Should a vote or election by secret ballot be challenged, the Director General shall cause the ballot papers and all relevant record sheets to be re-examined and shall circulate the result of the investigation, together with the original complaint, to all Member Nations of the Organization or of the Council, as appropriate.

17. An officer of the Secretariat designated by the Director-General for each Conference or Council session, who shall be known as the elections officer, shall, with the assistance of a deputy or deputies, be responsible for the following duties:

- to ensure that the provisions of the Constitution and the General Rules of the Organization regarding voting and electoral procedure are correctly carried out;
- to be responsible for all arrangements for voting and elections;
- to advise the Chairman of the Conference or Council on all matters pertaining to voting procedures and mechanics;
- to supervise the preparation of ballot papers and be responsible for their safe custody;
- to report to the Chairman of the Conference or Council the presence of a quorum before any vote is taken;
- to maintain records of all election results, ensuring that they are faithfully recorded and published;
- to undertake such other relevant duties as may arise in connection with voting and elections.

18. If a decision is to be taken on a matter other than an election, for which a two-thirds majority is not required by the Constitution or these Rules, the Chairman may submit to the Conference or Council that the matter be decided by general consent without recourse to a formal vote.

19. Parts of a proposal or of an amendment shall be voted on separately if a delegate or representative requests such division, provided that, if objection is made, the question of division shall be decided by the Conference or Council. In addition to the delegate or representative requesting the division, two delegates or two representatives may speak for, and two against, the motion for division. If the motion for division is carried, those parts of the proposal or of the amendment which are subsequently approved shall be put to the vote as a whole. If all operative parts of the proposal or of the amendment have been rejected, the proposal or the amendment shall be considered to have been rejected as a whole.

20. The Conference or Council may limit the time to be allowed to each speaker and the number of times any delegate or representative may speak on any question. When debate is limited and a delegate or representative has spoken his allotted time, the Chairman shall call him to order without delay.

21. During the discussion of any matter, a delegate or representative may rise to a point of order and the point of order shall be immediately decided by the Chairman. A delegate or representative may appeal against the ruling of the Chairman, in which event the appeal shall immediately be put to the vote and the Chairman's ruling shall stand unless overruled by a majority of the votes cast. A delegate or representative rising to a point of order may not speak on the substance of the matter under discussion.

22. During the discussion of any matter, a delegate or representative may move the suspension or adjournment of the meeting. Such motion shall not be debated but shall be immediately put to the vote. The Chairman may limit the time to be allowed to the speaker moving the suspension or adjournment of the meeting. At any meeting the same delegate or representative may not move the suspension or adjournment of the meeting more than once during the discussion of any one matter.

23. During the discussion of any matter, a delegate or representative may move the adjournment of the debate on the item under discussion. In addition to the proposer of the motion, two delegates or two representatives may speak for, and two against, the motion, after which the motion shall be immediately put to the vote. The Chairman may limit the time allowed to these speakers.

24. A delegate or representative may at any time move the closure of the debate on the item under discussion, whether or not any other delegate or representative has signified his wish to speak. Permission to speak on the closure of the debate shall be accorded only to two speakers opposing the closure, after which the motion shall be immediately put to the vote. If the Conference or Council is in favour of the closure, the Chairman shall declare the closure of the debate. The Chairman may limit the time allowed to speakers under this paragraph.

25. The following motions shall have precedence in the following order over all other proposals or motions before the meeting, except a point of order:

- to suspend the meeting;
- to adjourn the meeting;
- to adjourn the debate on the item under discussion; and
- for the closure of the debate on the item under discussion.

26. When a proposal has been adopted or rejected, it may not be reconsidered at the same session unless the Conference or Council so decides. Permission to speak on a motion to reconsider shall be accorded only to two speakers opposing the motion, after which it shall be immediately put to the vote.

27. When an amendment to a proposal is moved, the amendment shall be voted on first. When two or more amendments to a proposal are moved, the Conference or Council shall first vote on the amendment deemed by the Chairman to be furthest removed in substance from the original proposal, and then on the amendment next removed therefrom, and so on, until all the amendments have been put to the vote. Where, however, the adoption of one amendment necessarily implies the rejection of another, the latter shall not be put to the vote. If one or more amendments are adopted, the amended proposal shall then be voted upon. A motion is considered an amendment to a proposal if it merely adds to, deletes from, or revises part of that proposal, but not if it negatives the proposal. An amendment by way of substitute shall not be voted on until the vote has been taken on the original proposal and any amendments thereto.

28. Subject to paragraph 27, any motion calling for a decision by the Conference or Council on its competence to adopt a proposal submitted to it shall be put to the vote before a vote is taken on the proposal in question.

29. Associate Members shall have the right to participate with Member Nations in matters pertaining to the conduct of business of meetings of the Conference, its commissions and committees, in accordance with the provisions of the foregoing paragraphs of this Rule, subject, however, to the limitations on voting and the holding of office stipulated in paragraph 1 of Article III of the Constitution, paragraph 3 of Rule XIII, paragraph 1 of Rule XIV and paragraph 1 of Rule XV of the General Rules of the Organization.



## Annex 7: Statement of Commitment



### International Plant Protection Convention (IPPC)

#### Statement of Commitment

[Click here](#) to find the IPPC Procedure Manual on the IPP ([www.ippc.int](http://www.ippc.int)), where you can download this form

*[Report of CPM-2 (2007), Appendix 11]*

**Each nominee is requested to read the information listed and referenced in Appendix 1 for the relevant body and complete and sign this statement of commitment, and submit it at the same time as the nomination and CV.**

**1. IPPC body** (Standards Committee, Subsidiary Body on Dispute Settlement, Technical Panel, Expert Working Group, IPP Support Group, etc.):

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 commit the time required. I have also discussed with my employer the time commitment and financial resources<sup>1</sup> required (as appropriate) to carry out my duties if my nomination is approved for the body indicated under section 1 above.

Signature

Date

Contact details for nominee:

Name: (LAST NAME in upper case, given names)

E-mail:

Phone:

Fax:

Mailing address:

<sup>1</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.



### **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 join in e-mail discussions or conference calls falling 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
- if unable to attend the meeting provide written notification to the IPPC Secretariat well in advance and before travel arrangements have been made
- other specific details may be found in the IPPC Procedure Manual (<https://www.ippc.int/id/159891>).

### **Standards Committee (SC) member duties, in addition to the above general duties:**

- attend one to three SC meetings annually at the FAO headquarters
- act as a steward for expert drafting group meetings held in various international locations
- participate in relevant regional workshops for reviewing draft ISPMs
- participate for the entirety of the 3 year term, as appropriate
- other duties as assigned.
- Further details are provided in the following documents, found in the IPPC Procedure Manual:
- Terms of reference and Rules of procedure for the SC
- Guidelines on the duties of SC members
- Guidelines on the role and responsibilities of a steward of an ISPM.

### **Subsidiary Body on Dispute Settlement (SBDS) member duties, in addition to the above general duties:**

- attend one annual meeting
- other duties as assigned.
- Further details are provided in the following documents, found in the IPPC Procedure Manual:
- Terms of reference and Rules of procedure for the SBDS.

### **Technical panel member duties, in addition to the above general duties:**

- attend at least one annual meeting
- long term commitment, no specified term [Note: The Terms of reference and rules of procedure for technical panels adopted at the CPM-3 (2008) introduced a 5-year term for technical panel members (Rule 3).]
- other duties as assigned.
- Further details are provided in the IPPC Procedure Manual:
- Terms of reference and Rules of procedure for TPs

### **Guidelines for the composition and organization of expert working groups**

- Guidelines for the operation of expert working groups.

**Expert working group member duties, in addition to the above general duties:**

- attend at least one week-long meeting.
- other duties as assigned.
- Further details are provided in the IPPC Procedure Manual:
- Guidelines for the composition and organization of expert working groups
- Guidelines for the operation of expert working groups.

**Diagnostic protocol editorial team member duties, in addition to the above general duties:**

- on going e-mail consultation and liaison with lead author or discipline lead.
- Further details are provided in ISPM 27 (*Diagnostic protocols for regulated pests*) and the IPPC Procedure Manual:
- Instructions to authors of diagnostic protocols.

**IPP Support Group duties, in addition to the above general duties:**

- attend at least one annual meeting
- e-mail consultation occasionally sought.



## Annex 8: Declaration of interests for experts within the framework of the IPPC



### International Plant Protection Convention (IPPC)

#### Declaration of interests for experts within the framework of the IPPC

[Click here](#) to find the IPPC Procedure Manual on the IPP (www.ippc.int), where you can download this form

*[Report of CPM-2 (2007), Appendix 12]*

<Name of subsidiary body, expert working group, technical panel or support group>

<Date and location of meeting>

**Each expert selected by the IPPC Secretariat for the above-mentioned meeting must sign this form as evidence of his/her interests in relation to the meeting.**

Public health considerations and protection of the environment are of primary importance in all Food and Agriculture Organization (FAO) and International Plant Protection Convention (IPPC) technical work. Measures need to be taken to ensure that the best possible assessment of scientific evidence is achieved in an independent atmosphere free of either direct or indirect pressures. Thus, to assure the technical integrity and impartiality of the work within the framework of the IPPC, it is necessary to avoid situations in which financial or other interests might affect the outcome of that work.

Each expert is therefore asked to declare any interests that could constitute a real, potential or apparent conflict of interest, with respect to his/her involvement in the meeting or work, between (1) commercial entities and the participant personally, and (2) commercial entities and the administrative unit with which the participant has an employment relationship. “Commercial entity” refers to any company, association (e.g., trade association), organization or any other entity of any nature whatsoever, with commercial interests.

#### **What is a conflict of interest?**

Conflict of interest means that the expert or his/her partner (“partner” includes a spouse or other person with whom s/he has a similar close personal relationship), or immediate family (essentially the children, brothers, sisters or parents), or the administrative unit with which the expert has an employment relationship, has a financial or other interest that could unduly influence the expert’s position with respect to the subject-matter being considered. An **apparent conflict of interest** exists when an interest would not necessarily influence the expert but could result in the expert’s objectivity being questioned by others. A **potential conflict of interest** exists with an interest which any reasonable person could be uncertain as to whether or not it should be reported.

Acting as a representative of a national government does not constitute a conflict of interest.

Different types of financial or other interests, whether personal or with the administrative unit with which the expert has an employment relationship, can be envisaged and the following list, which is not exhaustive, is provided for guidance. For example, the following types of situations should be declared:

1. A current proprietary interest in a substance, technology or process (e.g. ownership of a patent), to be considered in - or otherwise related to the subject matter of - the meeting or work
2. A current financial interest, e.g. shares or bonds, in a commercial entity with an interest in the subject-matter of the meeting or work (except share holdings through general mutual funds or similar arrangements where the expert has no control over the selection of shares)



3. An employment, consultancy, directorship, or other position during the past 4 years, whether or not paid, in any commercial entity which has an interest in the subject-matter of the meeting/work, or an ongoing negotiation concerning prospective employment or other association with such commercial entity
4. Performance of any paid work or research during the past 4 years commissioned by a commercial entity with interests in the subject-matter of the meetings or work
5. Payment or other support covering a period within the past 4 years, or an expectation of support for the future, from a commercial entity with an interest in the subject-matter of the meetings or work, even if it does not convey any benefit to the expert personally but which benefits his/her position or administrative unit, e.g. a grant or fellowship or other payment, e.g. for the purpose of financing a post or consultancy.

With respect to the above, an interest in a competing substance, technology or process, or an interest in or association with, work for or support by a commercial entity having a direct competitive interest must similarly be disclosed.

### **How to complete this declaration**

This Declaration must be completed and submitted to the IPPC Secretariat at least 21 days before the start of the meeting. Any financial or other interests that could constitute a real, potential or apparent conflict of interest should be declared (1) with respect to yourself, partner or immediate family, as well as (2) with respect to the administrative unit with which you have an employment relationship. Only the name of the commercial entity and the nature of the interest are required to be disclosed, no amounts need to be specified (though they may be, if you consider this information to be relevant to assessing the interest). With respect to items 1 and 2 in the list above, the interest should only be declared if it is current. With respect to items 3, 4 and 5, any interest during the past 4 years should be declared. If the interest is no longer current, please state the year when it ceased. With respect to item 5, the interest ceases when a financed post or fellowship is no longer occupied, or when support for an activity ceases.

### **Assessment and outcome**

The information submitted will be used to assess whether the declared interests constitute an appreciable real, potential or apparent conflict of interest. Such conflict of interest will, depending on the situation, result in (1) you being asked not to take part in the portion of the discussion or work affecting that interest, (2) being asked not to take part in the meeting or work altogether, or (3) if deemed by the IPPC Secretariat to be appropriate to the particular circumstances, and with your agreement, you taking part in the meeting or work and your interest being publicly disclosed.

Information disclosed on this Form may be made available to persons outside of the IPPC only when the objectivity of the meeting or work has been questioned such that the Director-General of the FAO considers disclosure to be in the best interests of the Organization, and then only after consultation with you.

### **Declaration**

Have you, your partner, immediate family or the administrative unit with which you have an employment relationship any financial or other interest in the subject-matter of the meeting or work in which you will be involved, which may be considered as constituting a real, potential or apparent conflict of interest?

**Yes:** ☐      **No:** ☐ If yes, please give details in the box below.

Type of interest, e.g. patent, shares, employment, association, payment (including details on any compound work, etc.)	Name of commercial entity	Ownership Belongs to you, partner, immediate family or unit or someone else	Current interest? (or year ceased)

Is there anything else that could affect your objectivity or independence in the meeting or work, or the perception by others of your objectivity and independence?

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I hereby declare that the disclosed information is correct and that no other situation of real, potential or apparent conflict of interest is known to me. I undertake to inform the IPPC Secretariat of any change in these circumstances, including if an issue arises during the course of the meeting or work itself.

Signature \_\_\_\_\_ Date \_\_\_\_\_

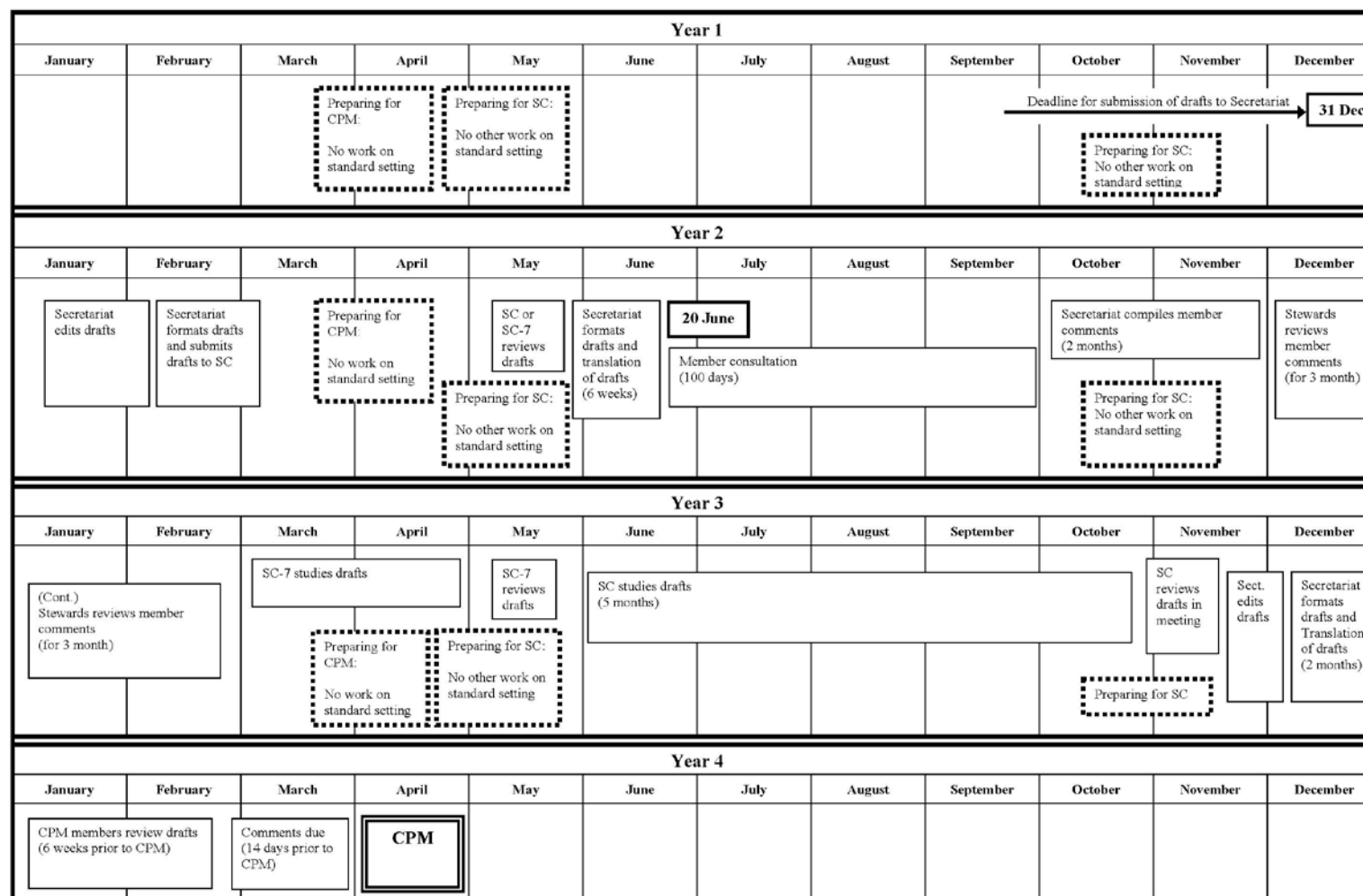
Name \_\_\_\_\_ Institution \_\_\_\_\_

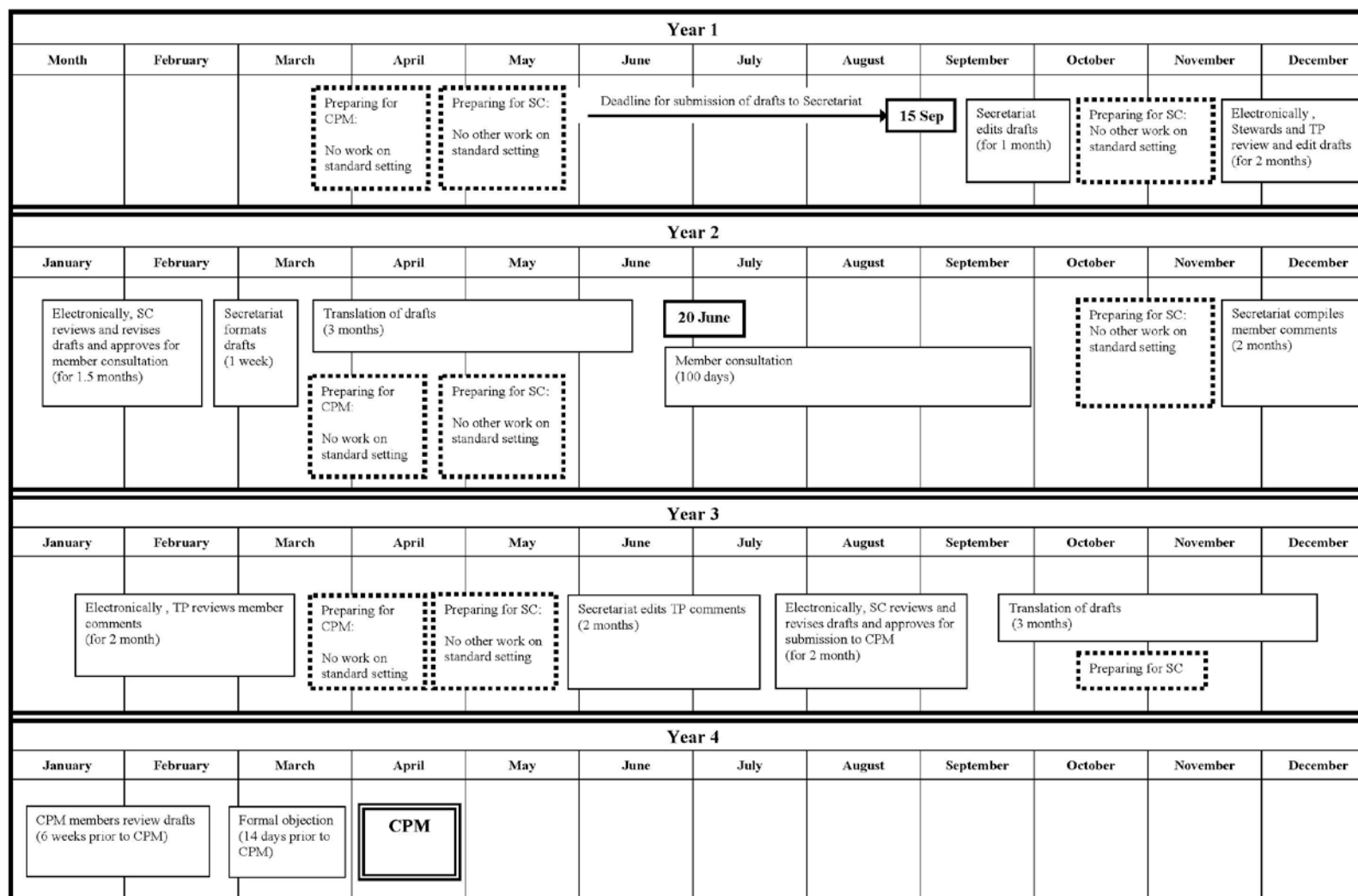




## Annex 9: Pictorial scheme of the IPPC Standard Setting Procedure

### Example: Extended time schedule-regular process



**Example: Special process time schedule**

## Annex 10: Adopted International Standards for Phytosanitary Measures (ISPMs)

Texts of adopted ISPMs are available at: <https://www.ippc.int/id/13399>

ISPM 1:2006	Phytosanitary principles for the protection of plants and the application of phytosanitary measures in international trade (originally adopted in 1993, revised in 2006)
ISPM 2:2007	Framework for pest risk analysis (originally adopted in 1995, revised in 2007)
ISPM 3:2005	Guidelines for the export, shipment, import and release of biological control agents and other beneficial organisms (originally adopted in 1996, revised in 2005)
ISPM 4:1995	Requirements for the establishment of pest free areas
ISPM.5:2010	Glossary of phytosanitary terms (updated as needed)
ISPM 6:1997	Guidelines for surveillance
ISPM 7:2011	Phytosanitary certification system (originally adopted in 1997, revised in 2011)
ISPM 8:1998	Determination of pest status in an area
ISPM 9: 998	Guidelines for pest eradication programmes
ISPM 10: 999	Requirements for the establishment of pest free places of production and pest free production sites)
ISPM 11:2004	Pest risk analysis for quarantine pests, including analysis of environmental risks and living modified organisms (originally adopted in 2001, with supplements integrated in 2003 and 2004)
ISPM 12:2011	Phytosanitary certificates (originally adopted in 2011, revised in 2011 by CPM-6)
ISPM 13:2001	Guidelines for the notification of non-compliance and emergency action
ISPM 14:2002	The use of integrated measures in a systems approach for pest risk management
ISPM 15:2002	Regulation of wood packaging material in international trade (originally adopted in 2002, revised in 2009)
ISPM 16:2002	Regulated non-quarantine pests: Concept and application
ISPM 17:2002	Pest reporting
ISPM 18:2003	Guidelines for the use of irradiation as a phytosanitary measure
ISPM 19:2003	Guidelines on lists of regulated pests
ISPM 20:2004	Guidelines for a phytosanitary import regulatory system
ISPM 21:2004	Pest risk analysis for regulated non-quarantine pests
ISPM 22:2005	Requirements for the establishment of areas of low pest prevalence
ISPM 23:2005	Guidelines for inspection



ISPM 24:2005	Guidelines for the determination and recognition of equivalence of phytosanitary measures
ISPM 25:2006	Consignments in transit
ISPM 26:2006	Establishment of pest free areas for fruit flies (Tephritidae)
ISPM 27:2006	Diagnostic protocols for regulated pests
	DP 1:2010. Diagnostic protocol for <i>Thrips palmi</i>
ISPM 28:2007	Phytosanitary treatments for regulated pests
	PT 1:2009. Irradiation treatment for <i>Anastrepha ludens</i>
	PT 2:2009. Irradiation treatment for <i>Anastrepha obliqua</i>
	PT 3:2009. Irradiation treatment for <i>Anastrepha serpentina</i>
	PT 4:2009. Irradiation treatment for <i>Bactrocera jarvisi</i>
	PT 5:2009. Irradiation treatment for <i>Bactrocera tryoni</i>
	PT 6:2009. Irradiation treatment for <i>Cydia pomonella</i>
	PT 7:2009. Irradiation treatment for fruit flies of the family Tephritidae (generic)
	PT 8:2009. Irradiation treatment for <i>Rhagoletis pomonella</i>
	PT 9:2010. Irradiation treatment for <i>Conotrachelus nenuphar</i>
	PT 10:2010. Irradiation treatment for <i>Grapholita molesta</i>
	PT 11:2010. Irradiation treatment for <i>Grapholita molesta</i> under hypoxia
	PT 12:2011. Irradiation Treatment for <i>Cylas formicarius elegantulus</i>
	PT 13:2011. Irradiation Treatment for <i>Euscepes postfasciatus</i>
	PT 14:2011. Irradiation Treatment for <i>Ceratitis capitata</i>
ISPM 29:2007	Recognition of pest free areas and areas of low pest prevalence
ISPM 30:2008	Establishment of areas of low pest prevalence for fruit flies (Tephritidae)
ISPM 31:2008	Methodologies for sampling of consignments
ISPM 32:2009	Categorization of commodities according to their pest risk
ISPM 33:2010	Pest free potato ( <i>Solanum</i> spp.) micropropagative material and minitubers for international trade
ISPM 34:2010	Design and operation of post-entry quarantine stations for plants

## Annex 11: TPDP Guidance

### Part 1: Guidelines on formatting of diagnostic protocols<sup>203</sup>

General guidelines on formatting of ISPMs are given in the IPPC Secretariat Style Guide, which can be found on the internet on the IPP (<https://www.ippc.int>). This Appendix partly uses these guidelines but also gives additional recommendations that are specific to DPs. Authors are also invited to refer, as a model, to the first DP (*Thrips palmi*). A standardized format for protocols is also under consideration.

#### 1- FIRST PAGE

The first page should contain:

- a reference to ISPM 27 (*Diagnostic Protocols for Regulated Pests*) (i.e. “Annex to ISPM 27”)
- the title of the draft protocol
- a cover note in the format of Appendix 3, indicating experts/countries that have written and reviewed the draft, and any main discussion points that have arisen and been resolved.
- A table of contents, listing all numbered headings and subheadings. At the drafting stage, the table of contents should be in the protocol, but it is not necessary to indicate page numbers.

#### 2- MAIN TEXT

##### Section on endorsement

The first section of the standard should be added as follows:

##### **Adoption**

This diagnostic protocol was adopted by the Commission on Phytosanitary Measures in ----. [to be completed after adoption]

##### Numbered headings and sub-headings

Individual sections are detailed in the instructions on formatting of ISPMs above. Headings, sub-headings and further subdivisions should be numbered with Arabic numbers, for example: 1.1, 1.2.1, 1.3.2.2, etc.

Titles of level one (1., 2. etc) have a capital letter at the beginning of each word. Other numbered titles have only one capital letter at the beginning of the title.

##### Use of illustrations and tables

All illustrations (i.e. photographs, line drawings, flow diagram) and tables should be numbered with Arabic numbers and should be referred to in the text.

Figures/tables and text should match, i.e. all figures/tables should be referred to in the text, or should not be in the protocol. If a figure refers to several separate elements/characters, these elements should also be cross-referred to in the text.

For reason of file size, all complete figures (i.e. with images/captions/associated text) should not be in the main text of the protocol, but should be provided to the discipline lead as a separate Word file. Tables should remain with the text of the protocol.

All photographs, or specially drafted or reproduced illustrations should have an attribution. The text may be small type size and oriented vertically at the side of a photograph or it may be included in the caption of an illustration.

Illustrations should be of a sufficient quality for printing. A high quality file of each illustration should be provided, separately from the text, to the IPPC Secretariat. Detailed guidance is provided below:

- Ensure that images (photographs, diagrams, etc.) have a resolution of 300 dpi for sharp printing, and that the printed image is clear, illustrative for the purpose and of sufficiently high quality.

<sup>203</sup> Modified after TPDP July 2010

- Reduce images (at 300 dpi) to the smallest final dimensions that convey the necessary information in the image (5-8 cm is considered as a good width for most illustrations). If full page illustration is needed, maximum width is 16 cm)
- Crop all unnecessary parts of the image
- Ensure all texts concerning the image (explanatory detail with arrows or call-outs etc) is part of the caption and/or are linked together (A lot of separate boxes with details of identification of image number and insect parts poses a great risk of error.)
- At a late stage of development (when member comments are integrated and the protocol is being prepared for adoption, *i.e. once the figures will not change anymore*), also provide all figures/photographs as separate TIF or JPG files (compliant with a, b, c above), so that they can be further processed to achieve the optimal file size and quality.

### Use of footnotes

Use of footnotes should be limited to increase readability of the text. If footnotes are nevertheless needed, they should be numbered with Arabic numbers.

### Terminology

- Phytosanitary terms should be used according to the most recent version of the ISPM 5: *Glossary of phytosanitary terms*.
- The general dictionary reference for English ISPMs is the Oxford English dictionary.
- Use organize , authorize and recognize (and not organise, authorise or recognise).
- Use website and not Web site or Website.

### Latin names

- Indicate the author after the first occurrence (in the text) of the Latin name of a pest.
- The species name should be written in full at its first occurrence, e.g. *Thrips palmi*, and shortened at others: *T. palmi*. If another species of the same genus are mentioned later in the text, it is not necessary to write the genus name in full, e.g. *T. flavus*. However, in cases where abbreviating the genus is confusing, the name can be given in full, for example if another genus starting with the same letter is mentioned in the same paragraph (example: "Hosts include *Triticum aestivum* (wheat) ...*T.[Tilletia] indica* has been shown to infect other ...).
- Latin names are italicized (but not spp., sp. etc.)
- Use Latin names for host plants (common names may be indicated between brackets at first occurrence if appropriate)

### Measurement units

When measurement units are abbreviated, the standard abbreviation should be used, e.g.:

m	meter
s	second
W	watt
min	minute
litre	litre
ml	milliliter
µl	microliter

Lists of items: See *Thrips palmi*

### List of references

References should be in alphabetical order.

References to other ISPMs and the IPPC are detailed in the Procedure Manual, but usually not needed in protocols. Regarding scientific references and other publications, some examples are given below. Attention is drawn to the fact that the total number of pages should be included for references to books.

Article in a journal or proceedings:

- Bhatti, J.S.** 1980. Species of the genus *Thrips* from India (Thysanoptera). *Systematic Entomology*, 5: 109–166.
- Brunner, P.C., Fleming, C. & Frey, J.E.** 2002. A molecular identification key for economically important thrips species (Thysanoptera: Thripidae) using direct sequencing and a PCR-RFLP-based approach. *Agricultural and Forest Entomology*, 4: 127–136.
- Kox, L.F.F., van den Beld, H.E., Zijlstra, C. & Vierbergen, G.** 2005. Real-time PCR assay for the identification of *Thrips palmi*. *Bulletin OEPP/EPPO Bulletin*, 35: 141–148.
- Mound, L.A. & Morris, D.C.** 2007. A new thrips pest of *Myoporum* cultivars in California, in a new genus of leaf-galling Australian Phlaeothripidae (Thysanoptera). *Zootaxa*, 1495: 35–45.

Books or conference proceedings:

- Mound, L.A. & Kibby, G.** 1998. *Thysanoptera. An Identification Guide*. 2nd edition. Wallingford, UK, CAB International. 70 pp.
- Nakahara, S.** 1994. The genus *Thrips* Linnaeus (Thysanoptera: Thripidae) of the New World. USDA Technical Bulletin No. 1822. 183 pp.
- Sakimura, K., Nakahara, L.M. & Denmark, H.A.** 1986. A thrips, *Thrips palmi* Karny (Thysanoptera: Thripidae). Entomology Circular No. 280. Division of Plant Industry, Florida; Dept. of Agriculture and Consumer Services. 4 pp.

Section from a book:

- EPPO/CABI.** 1997. *Thrips palmi*. In I.M. Smith, D.G. McNamara, P.R. Scott & M. Holderness, eds. *Quarantine Pests for Europe*, 2nd edition. Wallingford, UK, CAB International. 1425 pp.

CD-Rom:

- Moritz, G., Mound, L.A., Morris, D.C. & Goldarazena, A.** 2004. Pest thrips of the world: visual and molecular identification of pest thrips (CD-ROM), Centre for Biological Information Technology (CBIT), University of Brisbane. ISBN 1-86499-781-8.

Article from proceedings

- Murai, T.** 2002. The pest and vector from the East: *Thrips palmi*. In R. Marullo, & L.A. Mound, eds. *Thrips and Tospoviruses: Proceedings of the 7th International Symposium on Thysanoptera*. Italy, 2–7 July 2001, pp. 19–32. Canberra, Australian National Insect Collection.

Internet documents or websites

- EPPO.** 2008. URL: <http://www.eppo.org/> (accessed 17 June 2008).
- PaDIL.** 2007. Pests and Diseases Image Library. URL: <http://www.padil.gov.au> (accessed 18 Oct 2007).
- USDA** (United States Department of Agriculture). 2004. *Minimum sanitation protocols for offshore geranium cutting production*. APHIS-PPQ Pest Detection and Management Programs. 27 pp. Available at [http://www.aphis.usda.gov/plant\\_health/plant\\_pest\\_info/ralstonia/downloads/ralstoniaworkplan.pdf](http://www.aphis.usda.gov/plant_health/plant_pest_info/ralstonia/downloads/ralstoniaworkplan.pdf) (accessed January 2010).

## Part 2: Combination of methods in diagnostic protocols: some general considerations on the concept<sup>204</sup>

Diagnostic methods are often used in combination with others in order to increase the sensitivity, specificity or reliability of the diagnosis. ISPM 27 provides in section 1 the following guidance on this:

“Diagnostic protocols may be used in different circumstances that may require methods with different characteristics. Examples of such circumstances grouped according to an increased need for high sensitivity, specificity and reliability are:

- routine diagnosis of a pest widely established in a country
- general surveillance for pest status
- testing of material for compliance with certification schemes
- surveillance for latent infection by pests
- surveillance as part of an official control or eradication programme
- pest diagnostic associated with phytosanitary certification
- routine diagnosis for pests found in imported consignments
- detection of a pest in an area where it is not known to occur
- cases where a pest is identified by a laboratory for the first time
- detection of a pest in a consignment originating in a country where the pest is declared to be absent.

For example, in the case of routine diagnosis, the speed and cost of a test method may be more relevant than sensitivity or specificity. However, the identification of a pest by a laboratory or in an area for the first time may require methods with a high level of specificity and reproducibility. The significance of the outcome of a diagnosis is often dependent on proper sampling procedures. Such procedures are addressed by other ISPMs (under preparation).

Diagnostic protocols provide the minimum requirements for reliable diagnosis of regulated pests. This may be achieved by a single method or a combination of methods. Diagnostic protocols also provide additional methods to cover the full range of circumstances for which a diagnostic protocol may be used. The level of sensitivity, specificity and reproducibility of each method is indicated where possible. NPPOs may use these criteria to determine the method or combination of methods that are appropriate for the relevant circumstances.”

In particular relevant for “the combination of methods” is the following statement:

“Diagnostic protocols provide the minimum requirements for reliable diagnosis of regulated pests. This may be achieved by a single method or a combination of methods.”

The core decisions that are required in the case of each protocol are therefore

What is the minimum requirement for a reliable diagnosis?

Is a combination of methods necessary to achieve this? If yes, which combination ?

It is obvious and generally accepted, that the combination of methods may only be appropriate, if at least one of the core factors “sensitivity, specificity or reliability” are increased by the combination<sup>205</sup>. It is however also known, that some methods may provide a higher specificity than others (and therefore may be used as a 2<sup>nd</sup> method), while such method may not provide necessarily the same sensitivity as the first method (e.g. monoclonal versus polyclonal antibodies; bioassay versus PCR). In particular in such cases the priorities of the system applied (e.g. sensitivity, specificity or reliability) as required by the framework of the diagnosis (see list of examples in quotation from ISPM 27 above) need to be carefully balanced. Pending the framework in which the diagnosis is applied a certain combination may not be appropriate while in others a combination may be required.

The template on the next page analyses the possible situations and provides an indication whether a combination of methods with certain characteristics may be appropriate in diagnostic protocols. This

<sup>204</sup> 2010 July TPDP Meeting Report

<sup>205</sup> In some situations it may be decided to apply both or even more tests at the same time in parallel. This paper does not address this situation and the considerations that may lead to such decisions. In general the final characteristics of the parallel application of different methods is equated to the “sum” of the best characteristics of the relevant methods applied.



template may help authors of diagnostic protocols and the TPD to follow a consistent approach when the necessity and appropriateness of combinations of methods in DPs are discussed.

In reality when methods are combined all factors are to be considered and the methods are selected according to the needs of the individual situation.

In summary the following conclusion can be drawn:

1. The addition of a second method is not recommended, if the 2<sup>nd</sup> method has a **lower sensitivity** or is **less reliable** than the first method. In these circumstances the combination increases the risk of contradicting results. Pending the mode of interpretation this may include the risk of “false negative results”.
2. The addition of a second method is generally not recommended or not appropriate, if the 2<sup>nd</sup> method provides a higher sensitivity, a lower specificity or a higher reliability than the 1<sup>st</sup> method unless some other reason supports this combination.
3. The addition of a second method is recommended, if the second method provides a **higher specificity** than the first method. Such combination is often used, when the first method is cheaper or faster than the second one (screening method). In general **high costs and low speed** of methods are good reason to apply them as a second method only, if they provide on the other hand some advantages over the 1st method e.g. higher sensitivity, higher specificity or higher reliability.



How to apply this template:

1. Consider that the decision on the first method has already been taken. The second method is only applied if the result of the first method is positive. (see also \* below)
2. Consider the individual column assuming that the other factors/methods are equivalent
3. Ask the question: Is the combination recommended? focussing on the 2<sup>nd</sup> method.

The classification **"Risk"** is used to express that the combination carries the risk of weakening a result already achieved by method 1. Such combination should be avoided in all circumstances.

The classification **"Not appropriate"** is used to express that in general the combination of such factors in the given order is not contributing to the results of a diagnosis. In some specific situations the combination may nevertheless considered to be appropriate.

	Sensitivity		Specificity		Reliability		Costs		Speed	
<b>Method 1</b>	higher	lower	Lower	Higher	Lower	Higher	lower	higher	lower	higher
<b>Method 2</b>	lower	higher	Higher	Lower	Higher	Lower	higher	lower	higher	lower
<b>Combination recommended ?</b>	No -----	No/yes -+--+	Yes ++++	No/yes -----	No/yes -+--+	No -----	Yes ++++	No -----	No -----	Yes ++++
<b>Reason</b>	Risk of contradicting results and false negative interpretation	Generally not appropriate, unless sample is already suspected	Appropriate if other factors (speed, cost etc. ) suggest this order	Generally not appropriate, unless 2 <sup>nd</sup> method provides some other benefit (isolation)	Generally not appropriate, unless in a situation where a false negative result (of the 1 <sup>st</sup> method) can be tolerated.	Risk of contradicting results and false negative interpretation	Appropriate if 2 <sup>nd</sup> method provides some other benefit. Typical situation.	Not appropriate unless 2 <sup>nd</sup> method provides some other benefit (isolation)	Not appropriate unless 2 <sup>nd</sup> method provides some other benefit (isolation)	Appropriate, fast result

\*: In some situations it may be appropriate that the 2<sup>nd</sup> method is applied even if the result of the first test was negative. Such situations may occur where most test results are positive and only a few results are negative. This condition does not apply to import situations. Also when consignments for export are tested such situations - if they exist at all - are rare. Such situation may occur in some specific surveillance situations in a heavily infested area. The inclusion of this situation in this table would be very complex and is therefore not addressed by this.

### Part 3: Cover note for diagnostic protocols<sup>1</sup>

<p><b>Consultation on technical level</b> (to be updated throughout DP development)</p>	<p>The first draft of this diagnostic protocol was written by: [include a list of experts, in the following format; do not include postal addresses] Initial of first name Family name (institution name, city, country); Initial of first name Family name (institution name, city, country) etc. Example: C. Def (Institution name, City, Country); G. Hij (Institution name, City, Country); etc.</p> <p>Other experts consulted [include a list of other experts consulted experts, in the same format as above]</p> <p>Fora at which the protocol was presented: [include a list of fora at which the protocol was presented, e.g. conference, symposium, seminar, etc., in the following format] Name, date, venue.</p>
<p><b>Main discussion points during development of the diagnostic protocol</b> (to be updated throughout DP development)</p>	<p>[Include as bullet points]</p> <ul style="list-style-type: none"> <li>•</li> <li>•</li> </ul> <p>Note: Especially after experts have been consulted at early stages of development, the cover note should indicate substantial comments that were not incorporated in the draft.</p>

<sup>1</sup> 2010 July TPDP





## Annex 12: Submission form for Topics for IPPC Standards

[Click here](#) to find the IPPC Procedure Manual on the IPP ([www.ippc.int](http://www.ippc.int)), where you can download this form

Completed forms should be submitted by the IPPC Official Contact Point, preferably in electronic format via e-mail, to the IPPC Secretariat ([ippc@fao.org](mailto:ippc@fao.org)) no later than 31 July 2009. Please use one form per topic. An electronic version of this form is available at: <https://www.ippc.int/id/41634?language=en>. Please save the completed submission form with the following file name: Country or organization Name –Title of topic.doc, prior to submitting to the IPPC Secretariat via e-mail.

(Text in brackets given for explanatory purposes)

Proposed by: (Name of IPPC Official Contact Point)		
Contact: (Contact information of an individual able to clarify issues relating to this submission)		
Name:		
Position and organization:		
Mailing address:		
Phone:              Fax:		
E-mail:		
Type of topic: (Choose one box only)		
A. New ISPM: <input type="checkbox"/> Concept <input type="checkbox"/> Pest specific <input type="checkbox"/> Commodity specific <input type="checkbox"/> Reference	B. New component to an existing ISPM: <input type="checkbox"/> Supplement <input type="checkbox"/> Annex <input type="checkbox"/> Appendix <input type="checkbox"/> Diagnostic protocol <input type="checkbox"/> Phytosanitary treatment	C. Revision/Amendment of: <input type="checkbox"/> ISPM <input type="checkbox"/> Supplement <input type="checkbox"/> Annex <input type="checkbox"/> Appendix <input type="checkbox"/> Glossary of Phytosanitary terms
Proposed title of new ISPM or component: or Title of document to be revised or amended:		
Submissions should address the applicable criteria for justification of the proposed topic (as listed below). Where possible, information in support of the justification and that may assist in the prioritization should be indicated.		
All core criteria must be addressed; supporting criteria should be addressed if applicable.		
Core criteria:		
Contribution to the purpose of the IPPC as described in Article I.1.		
Feasibility of implementation at the global level (includes ease of implementation, technical complexity, capacity of NPPOs to implement, relevance for more than one region).		
Clear identification of the problems that need to be resolved through the development of the standard.		
Availability of, or possibility to collect, information in support of the proposed standard (e.g. scientific, historical, technical information, experience).		
Supporting criteria (Practical)		
Feasibility of adopting the proposed standard within a reasonable time frame.		
Stage of development of the proposed standard (is a standard on the same topic already widely used by NPPOs, RPPOs or a relevant international organization).		
Availability of expertise needed to develop the proposed standard.		
Supporting criteria (Economic)		
Estimated value of the plants protected.		
Estimated value of trade affected by the proposed standard (e.g. volume of trade, value of trade, the percentage of Gross Domestic Product of this trade) if appropriate.		
Estimated value of new trade opportunities provided by the approval of the proposed standard.		
Potential benefits in terms of pest control or quarantine activities.		



#### Supporting criteria (Environmental)

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.

Utility in the management of non indigenous species which are pests of plants (such as some invasive alien species).

Contribution to the protection of the environment, through the protection of wild flora, and their habitats and ecosystems, and of agricultural biodiversity.

#### Supporting criteria (Strategic)

Extent of support for the proposed standard (e.g. one or more NPPOs or RPPOs have requested it, or one or more RPPOs have adopted a standard on the same topic).

Frequency with which the issue addressed by the proposed standard emerges as a source of trade disruption (e.g. disputes or need for repeated bilateral discussions, number of times per year trade is disrupted).

Relevance and utility to developing countries.

Coverage (application to a wide range of countries/pests/commodities).

Complements other standards (e.g. potential for the standard to be used as part of a systems approach for one pest, complement treatments for other pests).

Foundation standards to address fundamental concepts (e.g. treatment efficacy, inspection methodology). Expected standard longevity (e.g. future trade needs, suggested use of easily outdated technology or products).

Urgent need for the standard.

Send submissions to:

E-mail: [ippc@fao.org](mailto:ippc@fao.org) (preferred)

Fax: (+39) 06 5705 6347

Mail: IPPC Secretariat (AGPP)  
Food and Agriculture Organization of the UN  
Viale delle Terme di Caracalla  
00153 Rome, Italy

## Annex 13: Submission Form for Phytosanitary Treatments

[Click here](#) to find the IPPC Procedure Manual on the IPP ([www.ippc.int](http://www.ippc.int)), where you can download this form

The following form must be completed in accordance with ISPM 28 (Phytosanitary treatments for regulated pests), available at: <https://www.ippc.int/id/13399?language=en>. Copies of all relevant supporting information and publications should be supplied with the treatment submission, preferably in PDF format for ease of subsequent distribution.

The following refers to the relevant sections of ISPM 28 and are numbered accordingly.

Submission number: (Secretariat use only)

Complete the following form, preferably in electronic format, and submit by e-mail to the IPPC Secretariat ([ippc@fao.org](mailto:ippc@fao.org)) no later than 15 October 2009. Please use one form per phytosanitary treatment. An electronic version of this form is available at: <https://www.ippc.int/id/137399?language=en>. Incomplete submissions will be returned. Please save the completed submission form with the following file name: COUNTRY or RPPO NAME –Title of treatment.doc, prior to submitting to the IPPC Secretariat via e-mail.

(Text in brackets given for explanatory purposes)

Name of treatment	(Provide enough detail to identify the treatment; for example, cold treatment of citrus for Mediterranean fruit fly) (If quoting the taxonomy of any citrus spp., it should be in accordance with the reference Cottin, R. 2002. Citrus of the world: a citrus directory. France, INRA-CIRAD.)
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Submitted by: (Name of national or regional plant protection organization)	
Contact: (Contact information of an individual able to clarify issues relating to this submission, including sources of efficacy data)	
Name:	
Position and organization:	
Mailing address:	
Phone:	Fax:
E-mail:	

### Treatment description

Active ingredient	(Brand names alone will not be accepted)
Treatment type	(For example, chemical, irradiation, heat, cold)
Target pest	(Scientific name)
Target regulated articles	
Treatment schedule	(Include a brief description such as active ingredient, dose, time and temperature and the efficacy of the treatment (effective dose and confidence limits))
Other relevant	(This should include any assumptions or extrapolations and the supporting



information	evidence for these)
References	
<b>3.2 Efficacy data in support of the submission of a phytosanitary treatment</b>	
The source of all efficacy data (published or unpublished) should be provided in the submission. Supporting data should be presented clearly and systematically.	
<b>3.2.1 Efficacy data under laboratory/controlled conditions (Treatments may be considered without efficacy data under laboratory/controlled conditions if sufficient efficacy data is available from the operational application of the treatment (section 3.2.2) and if no data under laboratory/controlled conditions exists this section may be left blank.)</b>	
<b>Pest information</b>	
Identity of the pest to the appropriate level, life stage, and if a laboratory or field strain was used	
Conditions under which the pests are cultured, reared or grown	
Biological traits of the pest relevant to the treatment	
Method of natural or artificial infestation	
Determination of most resistant species/life stage (in the regulated article where appropriate)	
<b>Regulated article information</b>	
Type of regulated article and intended use	
Botanical name for plant or plant product (where applicable)	
Conditions of the plant or plant product	
<b>Experimental parameters</b>	
Level of confidence of laboratory tests provided by the method of statistical analysis and the data supporting that calculation	
Experimental facilities and equipment	
Experimental design	
Experimental conditions	
Monitoring of critical parameters	
Methodology to measure the effectiveness of the treatment	
Determination of efficacy over a range of critical parameters, where appropriate	
Methodology to measure phytotoxicity, when appropriate	
Dosimetry system, calibration and accuracy of measurements, if using irradiation	
<b>3.2.2 Efficacy data using operational conditions (historical data, may in some cases substitute for the requested information below)</b>	
<b>Pest information</b>	
Identity of the pest to the appropriate level, life stage, and if a laboratory or field strain was used	



Conditions under which the pests are cultured, reared or grown
Biological traits of the pest relevant to the treatment
Method of natural or artificial infestation
Determination of most resistant species/life stage (in the regulated article where appropriate)
Regulated article information
Type of regulated article and intended use
Botanical name for plant or plant product (where applicable)
Conditions of the plant or plant product
Experimental parameters
Level of confidence of laboratory tests provided by the method of statistical analysis and the data supporting that calculation
Experimental facilities and equipment
Experimental design
Experimental conditions
Monitoring of critical parameters
Methodology to measure the effectiveness of the treatment
Determination of efficacy over a range of critical parameters, where appropriate
Methodology to measure phytotoxicity, when appropriate
Dosimetry system, calibration and accuracy of measurements, if using irradiation
Factors that affect the efficacy of the treatment
Monitoring of critical parameters
Special procedures that affect the success of the treatment, if applicable
3.3 Feasibility and applicability (Information should be provided where appropriate on the following items)
Procedure for carrying out the phytosanitary treatment
Cost of typical treatment facility and operational running costs if appropriate
Commercial relevance, including affordability
Extent to which other NPPOs have approved the treatment as a phytosanitary measure



Availability of expertise needed to apply the phytosanitary treatment
Versatility of the phytosanitary treatment
The degree to which the phytosanitary treatment complements other phytosanitary measures
Summary of available information of potential undesirable side-effects
Applicability of treatment with respect to specific regulated article/pest combinations
Technical viability
Phytotoxicity and other effects on the quality of regulated articles, when appropriate
Consideration of the risk of the target organism having or developing resistance to the treatment

Send submissions to:

E-mail: [ippc@fao.org](mailto:ippc@fao.org) (preferred)

Fax: (+39) 06 5705 6347

Mail: IPPC Secretariat (AGPP)  
Food and Agriculture Organization of the UN  
Viale delle Terme di Caracalla  
00153 Rome, Italy

# Annex 14: Prioritization criteria for proposed phytosanitary treatments & score definitions<sup>1</sup>

Criteria	Considerations
Technical	Extent of evidence in support of the treatment (scientific, historical and/or practical information/experience) Credibility of evidence in support of the treatment (e.g. one or more NPPOs or RPPOs have adopted the treatment, evidence published in peer-reviewed international journals)
Practicality	Feasibility of approving the phytosanitary treatment within a reasonable time schedule Feasibility of carrying out the phytosanitary treatment at a global level (includes ease of use, risks to operators, technical complexity) Stage of development of the phytosanitary treatment (is it already widely used by NPPOs?) Availability of expertise needed to apply the proposed phytosanitary treatment globally
Benefit/cost	Estimated value of trade affected by proposed phytosanitary treatment Estimated value of new trade opportunities provided by the approval of the proposed phytosanitary treatment Relevance and value to an ISPM under review or development requiring phytosanitary treatment(s)
Alternative to methyl bromide	Utility as a replacement to existing methyl bromide treatments Estimated reduction in methyl bromide use as a result of the application of the proposed phytosanitary treatment
Strategic	Frequency with which a phytosanitary treatment emerges as a repeated source of trade disruption (e.g. disputes or need for repeated bilateral discussions) Relevance and utility to developing countries Coverage (application to a wide range of countries/pests/commodities) Degree to which the treatment complements other treatments or procedures (for example potential for the treatment to be used as part of a systems approach for one pest or to complement treatments for other pests) Expected treatment longevity (i.e. chemicals likely to be banned or withdrawn would be low priority)

<sup>1</sup> TPPT (2005)



## Annex 15: Prioritization Score Sheet for Phytosanitary Treatments<sup>1</sup>

[Click here](#) to find the IPPC Procedure Manual on the IPP (www.ippc.int), where you can download this form

Scorer:

Date:

Proposed treatment:

Criterion	Score	Reasons
Technical		
Practicality		
Benefit-cost		
Alternative to methyl bromide		
Strategic		
Total		

Scores	Definitions	Scores	Definitions
0	No value	3	Moderate
1	Low	4	
2		5	High

<sup>1</sup> TPPT (2005)



## Annex 16: General recommendations on consistency of terms<sup>1</sup>

The Technical Panel on the Glossary is undertaking a general review of the published ISPMs for consistency in the use of terminology, and in particular of the Glossary terms. In the first round of this review, the TPG has already identified a number of points where greater consistency is needed. General recommendations on these points are set out in this document. They have already been applied to the first set of ISPMs to be reviewed, should be applied to the remaining ISPMs when they are reviewed, and should also be taken into consideration in drafting new ISPMs.

These recommendations mainly concern two related principles:

- 1) to use Glossary terms wherever they are appropriate, rather than other terminology, and to use them as such, without abbreviation or substitution;
- 2) not to use Glossary terms in inappropriate contexts, but instead to substitute more neutral language.

**Table of issues considered below**

Acceptable level of risk, appropriate level of protection	Phytosanitary certificate, certificate
Country, contracting party, NPPO	Phytosanitary import requirements
Efficacy, effectiveness	Phytosanitary measures, phytosanitary actions
Intended use	Prevalence
Official	Security, phytosanitary security
Pest risk management	and/or
Pest-free	References to the text of the IPPC
Non-compliance, non-conformity	

### Recommendations on use of terms

#### *Acceptable level of risk, appropriate level of protection*

These terms are not defined in the Glossary, but are taken from the SPS Agreement. They should only be used in that context, and in that exact wording. In particular, exporting countries have to satisfy the “phytosanitary import requirements” of their trading partners, not their “appropriate level of protection”. To avoid confusion, it is best not to use the terms “level of risk” or “level of protection” at all.

#### *Country, contracting party, NPPO*

Countries are variously specified in ISPMs as “contracting parties”, “NPPOs” or just “countries”. These terms should be used with discrimination. The term “contracting party” should be limited to cases where reference is being made specifically to the text of the IPPC and its obligations. The term “NPPO” should be used if the responsibility falls among those specified in Article IV of the IPPC. Otherwise, “country” should be used, in particular because IPPC Art. XVIII explicitly encourages non-contracting parties to apply phytosanitary measures consistent with the provisions of the IPPC and ISPMs.. When “NPPO” is used, the text should avoid such inappropriate expressions as “the importing NPPO”, and use instead “the NPPO of the importing country”.

#### *Efficacy, effectiveness*

“Efficacy” is a special concept linked to efficacy of treatments, and the terms “efficacy” and “efficacious” should be used only in this context. The term “efficacy (of a treatment)” is correctly

<sup>1</sup> Approved by the TPG (October 2010) and noted by the SC (May 2011).



defined in the glossary in this sense. In other cases, the term “effectiveness” and its derived form “effective” may be used, e.g. an effective measure, effectiveness of measures. The general understanding adopted is that efficacy refers to results under controlled conditions, whereas effectiveness refers to results in practice under natural conditions.

#### *Intended use*

This is the Glossary term, which should be used in preference to other wordings such as “end use”.

#### *Official*

Anything “established, authorized or performed by an NPPO” is by definition “official”. Many Glossary terms are defined as “official” (e.g. area, inspection, phytosanitary action, phytosanitary measure, quarantine, surveillance, test, treatment). It is accordingly recommended not to use the word “official” where it is redundant.

#### *Pest risk management*

“Pest risk management” is defined as being part of “pest risk analysis”. It relates to the evaluation of phytosanitary measures before they are implemented. Accordingly, the term should only be used in the strict context of PRA. It is not appropriate in referring to activities involving the actual implementation of phytosanitary measures. “Pest management” or “reduction of pest risk” may, in this case, be the suitable term. In general, it is preferable to refer to “risk” or “risk management” only in the PRA context.

#### *Pest-free*

In the Glossary, this term is not defined as such, and is used only in combination (e.g. pest free area). It should not be used alone, but re-arranged, for example, as “free from...(whatever pest or pests are concerned)”. The term “pest freedom” is, however, currently used in ISPMs. This is accepted but, for the present recommendation to be fully satisfied, it should be defined in the Glossary (this term was added to the work programme in November 2010).

#### *(Non-)compliance, (non-)conformity*

According to IPPC Art. VII (2f), “Importing contracting parties shall...inform...of instances of non-compliance with phytosanitary certification...”. Furthermore, “Compliance procedure (for a consignment)” has been defined in the Glossary. Thus, in those cases, compliance and non-compliance are clearly linked to consignments and thus to import. For other cases of correct/incorrect implementation of measures (e.g. regarding requirements prescribed for an entire place of production) it might be more appropriate to use other terms such as (non-)conformity.

#### *Phytosanitary certificate, certificate*

Where “certificate” or “certification” refers to phytosanitary certificate or phytosanitary certification, these terms should be used, to distinguish from other instances where certificate and certification may relate to other situations (e.g. CITES certificates, certification scheme, certification of facilities). In ISPM 12:2011, the plural term “phytosanitary certificates” refers to export and re-export certificates.

#### *Phytosanitary import requirements*

This is the defined Glossary term, and should be used whenever possible (rather than alternative wordings, such as “requirements of the importing country”).

#### *Phytosanitary measures, phytosanitary actions*

Care should be taken to use these terms correctly. Though in common language, “measures” can be “actions”, this is not so in the Glossary. “Measures” are “legislation, regulations or procedures” (in accordance also with the use of term in the SPS Agreement), while “actions” are “operations”. For a fuller explanation, see Note 10 of the Annotated Glossary.

#### *Prevalence*



The word “prevalence” only exists in the Glossary within the term “area of low pest prevalence”. It should only be used in this context. Use of the term “prevalence” on its own should be avoided, and it is sometimes wrongly used in draft ISPMs to mean “incidence” (the term that is defined in the glossary).

*Security, phytosanitary security*

Only “phytosanitary security” is defined in the Glossary. This full term should be used when it is appropriate.

**Other recommendations**

*and/or*

Use of and/or should be avoided as it may confuse understanding and cause problems in translation. Usually, “and/or” can be replaced by “or”, without loss of meaning. “Or” means that both options can apply at the same time or either of the options can apply. Only when a sentence reads either .... or ..., does it mean that the two options cannot occur at the same time.

*References to the text of the IPPC*

ISPMs frequently include references to the text of the IPPC. If it is necessary to explain the reference, this should not be done by providing an interpretation or abridgement of the IPPC text. The relevant text of the IPPC should be exactly quoted.





## Annex 17: Notification Form for Official Contact Points of National and Regional Plant Protection Organizations

[Click here](#) to find the IPPC Procedure Manual on the IPP ([www.ippc.int](http://www.ippc.int)), where you can download this form

COUNTRY / PAYS / PAIS: \_\_\_\_\_

<b>Official Contact Points of National and Regional Plant Protection Organizations</b> <b>Points de Contact Officiels des Organisations Régionales et Nationales de Protection des Végétaux</b> <b>Puntos Oficiales de Contacto de Organizaciones Regionales y Nacionales de Protección Fitosanitaria</b>
---

Send to:	IPPC Secretariat	
Envoyées à:	FAO-AGPP-IPPC	Fax: (+39) 06-570 54819
Dirección:	Viale delle Terme di Caracalla	Email: <a href="mailto:ippc@fao.org">ippc@fao.org</a>
	00100 Rome, ITALY	Website: <a href="https://www.ippc.int">https://www.ippc.int</a>

Please note: that modifications to the sections 1 and 2 (official contact position and person) should be notified through official channels. The IPPC Secretariat will only update IPPC contact point information for contact points that do not have internet access (i.e. for those that cannot update their own information). For new Contact Points, this form must be signed by the relevant person more senior than the new IPPC contact point.

Veillez noter que toute modification des sections 1 et 2 (contact officiel - fonction et personne) doit être notifiée par voie officielle. Le Secrétariat de la CIPV mettra à jour les informations relatives aux points de contact de la CIPV uniquement pour les points de contact qui n'ont pas accès à l'internet (c'est-à-dire qui ne sont pas en mesure de mettre à jour leurs propres informations). En ce qui concerne les nouveaux points de contact, ce formulaire doit être signé par un supérieur hiérarchique du nouveau point de contact de la CIPV.

Por favor nota: Cualquier modificación de las secciones 1 y 2 (contacto oficial – cargo y persona) se debe notificar a través de los canales oficiales. La secretaría de IPPC pondrá al día solamente la información del punto de contacto de IPPC para los puntos de contacto que no tienen acceso del Internet (es decir para los que no pueden poner al día su propia información). Para los nuevos puntos de contacto, este formulario debe ser firmado por una persona de más alta nivel en la jerarquía de la organización que el nuevo punto de contacto de IPPC.

### 1. [Optional] Official contact - person / Contact officiel - personne / Contacto oficial - persona

Prefix: ☐ Mr. / M. / Sr. | ☐ Ms. / Mme / Sra.  
 Surname / Nom / Apellido: \_\_\_\_\_  
 Forename / Prénom / Nombre: \_\_\_\_\_  
 Position, Title / Fonction / Cargo: \_\_\_\_\_

### 2. Address details

Mailing Address / Adresse postale / Dirección de correo: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 Telephone / Téléphone / Teléfono: \_\_\_\_\_  
 Fax: \_\_\_\_\_  
 E-mail / Courrier électronique / Correo electrónico: \_\_\_\_\_  
 Alternative E-mail / Autre adresse électronique / Otra dirección de correo electrónico: \_\_\_\_\_  
 Internet homepage / Page d'accueil / Página principal: \_\_\_\_\_

### 3. Correspondence language(s) for the country / Langue(s) de correspondance pour le pays / Idioma(s) de la correspondencia para el país

☐ English | ☐ Español | ☐ Français | ☐ Arabic | ☐ Chinese  
 If Arabic or Chinese, please indicate one or several other languages  
 Si arabe ou chinois, merci d'indiquer une ou plusieurs autres langues



Si es árabe o chino, por favor indique una o varias otras idiomas

4. **Date /Fecha:** .....

5. **Signature /Firma:** .....

Senior Official / Fonctionnaire Supérieur / Alto Funcionario

Position, Title / Fonction / Cargo: .....

### CPM-1 (2006) / Report

### APPENDIX XVIII

#### THE ROLE OF IPPC CONTACT POINTS

**The IPPC contact points are used for all information exchanged under the IPPC between contracting parties, between the Secretariat and contracting parties and, in some cases, between contracting parties and Regional Plant Protection Organizations (RPPOs).**

The IPPC contact point should:

- have the necessary authority to communicate on phytosanitary issues on behalf of the contracting party, i.e. as the contracting party's single IPPC enquiry point;
- ensure the information exchange obligations under the IPPC are implemented in a timely manner;
- provide coordination for all official phytosanitary communication between contracting parties related to the effective functioning of the IPPC;
- redirect phytosanitary information received from other contracting parties and from the IPPC Secretariat to appropriate official(s);
- redirect requests for phytosanitary information from contracting parties and the IPPC Secretariat to the appropriate official(s);
- keep track of the status of appropriate responses to information requests that have been made to the contact point; and

***The role of the IPPC contact point is central to the effective functioning of the IPPC, and it is important that the IPPC contact point has adequate resources and sufficient authority to ensure that requests for information are dealt with appropriately and in a timely manner.***

Article VIII.2 requires contracting parties to designate a contact point, and therefore it is the contracting party which is responsible for making, and informing the Secretariat of, the nomination. There can be only one contact point per contracting party. The contracting party, by making the nomination, agrees that the nominee has the necessary authority to fulfil the functions of the contact point as determined within the framework of the IPPC. Individual persons cannot appoint themselves as contact points.



## Annex 18: Nomination Request for IPP Editor

[Click here](#) to find the IPPC Procedure Manual on the IPP ([www.ippc.int](http://www.ippc.int)), where you can download this form

### *Official IPP Editor nomination form*

**The National Plant Protection Organization (NPPO) of Country:** \_\_\_\_\_

**NOMINATES Mr/Ms First name:** \_\_\_\_\_ **Family name:** \_\_\_\_\_

**as IPP Editor.**

#### **Contact Details**

**Title/Position:**

**Organization:**

**Address:**

**Country:**

**Correspondence languages:**

**Telephone:**

**Fax:**

**E-mail:**

**Alternative E-mail:**

The nominated person will be responsible for entering official information on behalf of the respective IPPC Contact Point into the International Phytosanitary Portal (IPP). The nominated person should have the required technical abilities and will be responsible for maintaining information for the Contracting Party in the IPP. This does not affect the role or responsibility of the national IPPC Contact Point.

\_\_\_\_\_  
**Place & Date**

\_\_\_\_\_  
**Signature of IPPC Official Contact Point**

Please submit nominations to the IPPC Secretariat at [ippc@fao.org](mailto:ippc@fao.org)

Should more than one nomination be made per country, please complete a separate form for each nomination.

The International Phytosanitary Portal (**IPP**) [<https://www.ippc.int>] was developed by the IPPC Secretariat on request of the Commission on Phytosanitary Measures (**CPM**). It is an internet-based information system designed to hold official phytosanitary information published in accordance with the Convention and decisions by the CPM. The objective is to provide a single portal to official phytosanitary information and to facilitate IPPC contracting parties to meet their reporting obligations under the IPPC.

National reporting obligations include:

- Official contact point - *Article VIII 2*
- Description of NPPO and changes - *Article IV 4*



- Non-compliance - *Article VII 2(f)*
- List of regulated pests - *Article VII 2(i)*
- Pest reporting - *Article IV 2(b)*
- Exchange of information on plant pests, particularly the reporting of the occurrence, outbreak or spread - *Article VIII 1(a)*
- Technical and biological information necessary for PRA - *Article VIII 1(c)*
- Specified points of entry - *Article VII 2(d)*
- Organizational arrangements for plant protection - *Article IV 4*
- Emergency action - *Article VII 6*
- Phytosanitary requirements, restrictions and prohibitions - *Article VII 2(b)*
- Adequate information on pest status - *Article VII 2(j)*
- Rationale for phytosanitary requirements, restrictions and prohibitions - *Article VII 2(c)*

National data can only be entered into the IPP by the Official Contact Point and by officially-nominated information officers (IPP Editors). Although IPPC Contact Points are automatically able to enter phytosanitary information after they are nominated, they may wish to nominate an IPP Editor to undertake the data entry on their behalf.

The IPP Editors should be familiar with the information exchange context (including Appendix XV) in the Report of the Third Session of the ICPM - it can be found at: [https://www.ippc.int/servlet/BinaryDownloaderServlet/14320\\_ICPM\\_Report\\_2001\\_\\_\\_E.PDF?filename=1079019159579\\_ICPM3e.PDF&refID=14320](https://www.ippc.int/servlet/BinaryDownloaderServlet/14320_ICPM_Report_2001___E.PDF?filename=1079019159579_ICPM3e.PDF&refID=14320) (please make sure the whole URL is copied into the browser address line). Should the IPP Editor require training, please contact the person below. The purpose of this training will be to explain national phytosanitary information exchange obligations and to provide basic training to officially nominated IPP Editors (and/or official contact points) on how to use the IPP to meet these obligations. Once the IPP Contact Point and the IPP Editor have received training, they are expected to train any new incumbents.

If your Government require technical assistance in the area of phytosanitary information exchange, we suggest you make this request through the normal national FAO channels.

For any further information on the IPP or information exchange in general please contact the IPP Manager directly:

Mr David Nowell  
 IPP Manager  
 IPPC Secretariat  
 AGPP, FAO  
 Viale delle Terme di Caracalla  
 00153 Rome, Italy  
 Tel.: +39-06-570-52034  
 Fax: +39-06-570-54819  
 E-mail: [ippc@fao.org](mailto:ippc@fao.org)

## Annex 19: National Phytosanitary Capacity Building Strategy

### National Phytosanitary Capacity Building Strategy

#### 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:

- All contracting parties implementing the ISPMs they need.
- All contracting parties meet their obligations under the IPPC.
- The IPPC reflects the goals of all its members.
- Phytosanitary capacity of contracting parties evolving in response to changing circumstances
- Phytosanitary issues embedded in policy
- 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.

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.



**Table 1.** 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)	Enhanced national phytosanitary systems planning, management and leadership.	develop methods and tools to help countries assess and prioritize their phytosanitary needs, including gap analysis	implement PCE improvements from the CABI review 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.)
			support preparation of national phytosanitary action plans (NPAPs)	develop tools and guidelines for preparing NPAPs encourage inclusive approaches for preparing NPAPs
			assist in project preparation to address priorities (legislation, surveillance, etc)	follow up on assessment with national phytosanitary capacity strategy
2. Standard setting and implementation	2a. Participation in standard setting	Capacity of contracting parties to participate in IPPC standard setting improved.	enhance countries' effective participation in CPM (and in the standard setting process)	assess participation of countries at CPM develop orientation programme for new CPM delegates to participate in CPM (immediately prior to CPM) facilitate regional discussion on CPM positions (in region or immediately prior to CPM), and coordination during meetings continue regional draft standards workshops encourage and support participation in expert working groups, technical panels
	2b. Standards implementation	Contracting parties (and non-contracting parties) are able to implement ISPMs in line with their needs.	establish and adopt standards implementation review and support system (IRSS)	develop guidelines/tips for implementation provide help desk develop training materials, deliver training, feedback mechanisms from workshops develop list of experienced facilitators for implementing ISPMs develop tools for sharing experiences regional draft standards workshops develop and use questionnaire as per proposal (OEWG on a Possible Compliance Mechanism at Kuching, 2007)



Strategic Areas	Strategic Areas refined (OEWG-BNPC, Dec. 2009)	Outcome/Purpose (OEWG-BNPC, Dec. 2009)	Goals	Activities
3. Coordination and communication	3a. Communication and coordination	Coordinated phytosanitary capacity development are addressing priority needs.	collect, collate and disseminate information on plant protection programmes and existing capacity building providers and projects	define exactly what information to collect from whom (countries, donors, through linkages, all other partners) take advantage of existing databases, projects, CPM meeting reports
			advise countries and donors on possible synergies and opportunities 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.	use linkages to make better programmes (benefit to NPPOs) continue existing agreements actively seek further opportunities to collaborate/provide technical input to programmes of others engage stakeholders by convening international consultative group on phytosanitary capacity building
			create mechanism for matchmaking for mentoring, coaching and assistance	create similar format to the one used by for mentoring SPS Inquiry Points
	3b. Pest information	Capability to provide plant pest information enhanced.	document world plant pest status (emerging issues), including regional perspectives (annual report as an advocacy tool)	analysis of pest occurrence at national and regional levels, report of pest concerns at CPM. Other official reports of the Secretariat or FAO Committee/Council such as State of Food and Agriculture (SOFA) develop early warning system

Strategic Areas	Strategic Areas refined (OEWG-BNPC, Dec. 2009)	Outcome/Purpose (OEWG-BNPC, Dec. 2009)	Goals	Activities
4. Resource mobilization and management	4. Resource mobilization (fundraising)	Enhanced capacity to mobilize funds.	<p>determine resource needs for IPPC secretariat related to capacity building</p> <p>assess current resources available to IPPC to deliver capacity building strategy (targeted, trust fund, slush fund, assistance in-kind)</p> <p>support NPPOs in raising funds for priority projects</p> <p>obtain further resources and ensure effective use of resources</p> <p>maintain and develop IPPC capacity building programmes</p>	<p>prepare paper on staffing requirements for CB for CPM-4</p> <p>raise funds (see resource mobilization paper presented under CPM-4 agenda item 13.6.6)</p> <p>hire a dedicated fund raiser</p> <p>Secretary takes raised profile for fundraising</p>
5. Advocacy	5. Advocacy	Improved capacity to promote national phytosanitary systems	adopt "Paris principles" for phytosanitary capacity building activities (national commitment, etc)	<p>OEWG/sub group to draft principles for effective phytosanitary capacity building for approval by CPM</p> <p>SPTA reviews principles</p> <p>CPM 5 adopts principles</p>
			<p>help countries 'embed' phytosanitary considerations in policy and national development strategies</p> <p>assist phytosanitary authorities to communicate effectively with other institutions within their country, with other countries and with regional organizations</p>	<p>conduct sensitisation activities for policy makers</p> <p>develop training modules for phytosanitary authorities in effective communication and advocacy</p>
			<p>enhance visibility of IPPC (and phytosanitary concerns) among development partners</p> <p>encourage adoption of risk-based approaches</p>	<p>IPPC communication activities (publication, communication products, films, etc)</p> <p>access to governing bodies (especially FAO, but also RECs);</p> <p>FAO and other goodwill ambassadors to reach senior decision makers</p>



Strategic Areas	Strategic Areas refined (OEWG-BNPC, Dec. 2009)	Outcome/Purpose (OEWG-BNPC, Dec. 2009)	Goals	Activities
6. Sustainability, monitoring and evaluation of capacity building	6. Monitoring and evaluation	Capacity development actively monitored, evaluated and lessons learned acted upon.	develop approaches for impact assessment for phytosanitary capacity building (in accordance with "Paris principles" and regarding IPPC strategy) monitoring to assess impact of capacity building activities (review and evaluation) monitor and continuously improve IPPC capacity building programmes	ensure involvement of all stakeholders (including creating networks for sustainability, involving universities, public-private partnerships, etc) link to other national initiatives
			develop IPPC 'seal of approval' for capacity building programmes	develop, test and adopt criteria for 'seal of approval' promote with donors and countries

## **Annex 20: Statements of the Interim Commission Exploratory Open-Ended Working Group on phytosanitary aspects of GMOs<sup>210</sup>, biosafety and invasive species**

**13–16 JUNE 2000 – FAO, ROME**

### **A. Purpose, scope and activities of the IPPC**

The purpose of the Convention is “to secure 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” (Art 1.1). This is done with the desire to provide a framework for the development and application of harmonized phytosanitary measures and the elaboration of international standards, and taking into account internationally approved principles governing the protection of plant, human, and animal health, and the environment.

Plants are not limited to cultivated plants and protection is not limited to direct damage from pests. The IPPC definition of a pest is “any species, strain or biotype of plant, animal or pathogenic agent injurious to plants or plant products”. The coverage of the IPPC definition of plant pests includes weeds and other species that have indirect effects on plants. Therefore the scope of the Convention applies to the protection of wild flora resulting in an important contribution to the conservation of biological diversity.

The IPPC provides for rights and obligations supported by a system of standards and procedures for identifying pests that threaten plant health, assessing their risk, and determining the strength of measures to be used against their introduction and spread. Under the IPPC, most countries have established regulatory organizations experienced in assessing and managing the risk of pests that threaten plant health.

Although the IPPC clearly has applications to the spread of pests associated with international trade, the Convention is not limited in this respect. International cooperation in many forms falls within the scope of the Convention. The IPPC works collaboratively with other relevant organizations to avoid duplication and encourage harmonization for the implementation of obligations under other instruments.

### **B. Role of the IPPC regarding LMOs/products of modern biotechnology**

The Working Group:

- Notes that, consistent with the IPPC mandate to protect plant health, plant pest concerns that may be presented by LMOs/products of modern biotechnology fall within the scope of the IPPC.
- Notes that IPPC risk analysis and management systems are appropriate for assessing and managing, if necessary, the direct or indirect risks of pests to cultivated and wild flora and plant products that may be presented by LMOs/products of modern biotechnology.
- Notes that IPPC systems and procedures are relevant to, and adequate for, managing the risks posed by LMOs/products of modern biotechnology as they relate to the protection of plant health.
- Notes that the existing national mechanisms and structures for phytosanitary systems may form a basis or a model for developing other practical approaches to managing risks associated with LMOs/products of modern biotechnology.

### **C. Necessity of drafting International Standards for Phytosanitary Measures regarding LMOs/products of modern biotechnology**

<sup>210</sup> The working group considered that the term “LMOs/products of modern biotechnology” was more appropriate than GMOs. Living Modified Organism (LMO) is defined by the CBD in the Cartagena Protocol on Biosafety.



#### The Working Group:

- *Notes* that plant pest risks associated with LMOs/products of modern biotechnology fall clearly within the scope of the IPPC.
- *Recommends* that as a matter of urgency an IPPC expert working group in coordination with CBD experts, and other relevant expertise, is established to develop a detailed standard specification for consideration at the Interim Commission. The terms of reference will include:
  - consideration of the existing international regulatory frameworks and guidelines;
  - the identification of areas within pest risk analysis (PRA) standards and other ISPMs that are relevant to the phytosanitary aspects of LMOs/products of modern biotechnology;
  - the identification of plant pest risks associated with LMOs/products of modern biotechnology that are not adequately addressed by existing ISPMs; and
  - the identification of elements relevant to the assessment of the plant pest risk associated with LMOs/products of modern biotechnology.
- *Recommends* that the IPPC Secretariat cooperate with the Convention on Biological Diversity (CBD) Secretariat and ensure that appropriate information on the IPPC is provided to appropriate meetings on the Cartagena Protocol on Biosafety to the CBD.
- *Recommends* that the Interim Standards Committee not re-open the September 1999 draft ISPM *Pest risk analysis for quarantine pests* (under country consultation at the time of the working group meeting) to incorporate provisions for LMOs/products of modern biotechnology but consider adding a reference to the development of a supplementary standard.

#### D. Relationship between invasive species and quarantining pests

##### The Working Group:

- *Notes* that species that may be invasive and that directly or indirectly affect plants or plant products or that may be used as biological control agents should be assessed, monitored and managed if necessary according to IPPC provisions and standards.
- *Notes* that those species that are identified under paragraph 15 and that are absent (not present) from an area (or if present, are limited in distribution and subject to official control) should be considered quarantine pests and should be subjected to measures according to IPPC provisions and standards.

#### E. Role of the IPPC regarding alien invasive species

##### The Working Group:

- *Notes* that the IPPC provides for rights and obligations, and has established standards and procedures that are designed to prevent the introduction and spread of pests of plants and plant products, which include alien invasive species.
- *Notes* that the implementation of IPPC including its provisions and standards is directly relevant to the national implementation of Art. 8(h) and other relevant articles and activities of the CBD and the further development of the CBD work programme on alien species. Furthermore it is directly relevant and overlaps with the apparent intention of the Interim Guiding Principles of the CBD.
- *Notes* that many provisions and standards of the IPPC are directly relevant to, or overlap with, the apparent scope and intention of the Interim Guiding Principles of the CBD.
- Relevant areas include:
  - providing legal and regulatory frameworks;
  - building capacity and technical assistance for developing countries;
  - assessing and managing potential plant pest risks;

- protecting areas that may be threatened by plant pests;
- applying measures to prevent unintentional introduction of plant pests;
- certifying that risk management procedures have been applied;
- assessing and managing the intentional introduction of organisms that may be pests of plants including claimed beneficial and biological control organisms;
- exchanging of scientific and regulatory information relevant to plant pests;
- cooperating between countries to minimize the impact of plant pests; and
- detecting, controlling, and eradicating pests in agricultural and wild flora.
- *Notes* that in addition to IPPC provisions relevant to the Interim Guiding Principles of the CBD, the IPPC also has established standards and operational procedures developed from long experience in managing plant pest risk.
- *Recommends* that the IPPC Secretariat seek clarification of the terminology and concepts used in, and the responsibilities imposed by, the Interim Guiding Principles be sought from the CBD.
- *Strongly urges* NPPOs to communicate the scope and responsibility of the IPPC to officials in their countries involved in the CBD workplan on alien invasive species (including the Interim Guiding Principles).
- *Recommends* that the Secretariat of the IPPC prepare a factual outline of the relationships between specific IPPC Articles and standards and the topics identified in the individual Interim Guiding Principles. This is intended to assist IPPC members in in-country consultations.

#### **F. The necessity of drafting International Standards for Phytosanitary Measures regarding alien invasive species**

The Working Group:

- *Notes* that environmental concerns related to plant pests are specified in International Standard for Phytosanitary Measures (ISPM) 2 *Guidelines for pest risk analysis*. Further detail is provided in the September 1999 draft ISPM *Pest risk analysis for quarantine pests* but needs further elaboration to help contracting parties better assess environmental concerns related to plant pests.
- *Recommends* that the Interim Commission review standards as soon as possible to ensure that they adequately address environmental risks of plant pests.
- *Recommends* that delay in the approval of the September 1999 draft ISPM *Pest risk analysis for quarantine pests* to allow further elaboration on environmental concerns related to plant pests should be avoided.
- *Recommends* that in order to clarify the role of the IPPC and assist contracting parties with their rights and obligations, the Interim Commission develop a supplementary standard to the PRA standard addressing in detail the environmental risks associated with plant pests as a matter of urgency.
- *Recognizes* that under the IPPC's existing mandate, to take account of environmental concerns, further clarification should include consideration of the following five proposed points relating to potential environmental risks of plant pests:
- reduction or elimination of endangered (or threatened) native plant species;
- reduction or elimination of a keystone plant species (a species which plays a major role in the maintenance of an ecosystem);
- reduction or elimination of a plant species which is a major component of a native ecosystem;
- causing a change to plant biological diversity in such a way as to result in ecosystem destabilization;



- resulting in control, eradication or management programs that would be needed if a quarantine pest were introduced, and impacts of such programs (e.g. pesticides or release of non-indigenous predators and parasites) on biological diversity.
- *Notes* that some countries use IPPC-PRA methodology and management systems for dealing with environmental impacts of plant pests mainly in the horticulture, agriculture and forestry sectors, but in accordance with the IPPC mandate, these systems are used more widely in other countries.

### **G. Capacity building regarding IPPC aspects of LMOs/products of modern biotechnology and alien invasive species**

The Working Group:

- *Notes* that capacity requirements depend largely on the availability of ISPMs. Capacity needs and their build-up regarding LMOs/products of modern biotechnology and alien invasive species need to be analysed, planned and implemented as soon as new ISPMs or amendments of existing ISPMs concerning these LMOs/products of modern biotechnology and alien invasive species have been developed.
- *Recommends* that countries identify capacity building needs in this area. The survey questionnaire available on the web site <<http://icpm.massey.ac.nz>> may be a useful aid to this process.
- *Recommends* that IPPC aspects of LMOs/products of modern biotechnology and alien invasive species, and relevant environmental risk issues be included in appropriate IPPC capacity building activities.
- *Recommends* that the Interim Commission recognize the special needs of developing countries in this area and work to develop a program to address these needs.
- *Recommends* that Interim Commission work with CBD and other relevant bodies to develop and deliver appropriate programs that meet the needs of countries in regard to common areas of interest.

### **H. Communication and cooperation regarding LMOs/products of modern biotechnology and alien invasive species**

The Working Group:

- *Notes* that the 5<sup>th</sup> Conference of Parties meeting of the CBD requested the Secretariat of the CBD to cooperate with other international bodies such as the IPPC.
- *Recommends* that when appropriate the Commission Bureau and the Secretariat invite members of the Interim Commission to attend relevant meetings on behalf of the Interim Commission.
- *Recommends* that the IPPC Secretariat seek observer status with the CBD for the IPPC in its own right.
- *Recommends* that the IPPC Secretariat work closely with the CBD Secretariat and attend relevant CBD meetings, and that the CBD be invited by the IPPC Secretariat to attend relevant IPPC meetings.
- *Recommends* that the IPPC Secretariat cooperate with other standard setting bodies to ensure that common areas of interest are adequately covered.
- *Strongly urges* members of the Interim Commission to communicate IPPC interests and issues to in-country officials with responsibility for CBD matters, including the Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA), and issues dealing with the Cartagena Protocol on Biosafety to ensure that the obligations under the IPPC are understood and considered as appropriate in developing positions. This includes:
  - contacting the appropriate in-country officials;



- informing them of the IPPC and how those objectives are met by countries (legislation, policies, programs);
- outlining how and which standards for phytosanitary measures contribute to those objectives;
- assisting in-country preparations for CBD, SBSTTA, Cartagena Protocol and related activities.
- *Recommends* that communication and cooperation issues be addressed as part of the strategic planning process of the Interim Commission.



## Annex 21: IPPC Secretariat Document Processing Calendar

100-day Member Consultation	Notes
100-day Member Consultation begins	Always begins 20 June
100-day Member Consultation ends	Always ends 30 September
Steward presentations for Draft ISPMs for Member Consultation due	Always 10 June
Secretariat posts Spanish and French Draft ISPMs in the public area of the IPP	Should be posted as soon as received from Translation, no later than 15 June
Secretariat sends an email to all NPPOs, RPPOs, International Orgs and creates a news item	Once Draft ISPM is posted in all languages to public area of IPP
Secretariat forwards Compiled Comments on Draft ISPM to Steward	1 week after compiled comments received from volunteers
Secretariat to post Compiled Member Comments on Draft ISPM in IPP public area and sends an email to all NPPOs, RPPOs, International Orgs and creates a news item	1 week after compiled comments received from volunteers
Regional Workshops to review Draft ISPM	Always July through September
CPM	Notes
Secretariat posts Draft ISPMs on IPP in all FAO languages for Member Consultation 14 days prior to CPM	Minimum 6 weeks before CPM
Secretariat posts CPM papers on IPP in all FAO languages	30 days before CPM
Members submit comments to Secretariat on the Draft ISPM 14 days prior to CPM	14 days before CPM
Secretariat compiles member comments, creates CPM paper, and posts it to the public area of the IPP	14 days before CPM
Secretariat publishes Adopted ISPM on the public area of the IPP	60 days after CPM
Draft Specification Member Consultation	Notes
Member Consultation for Draft Specification	Always 60 days
Secretariat sends compiled Member Comments on Draft Specification to steward	7 days after MC ends



Secretariat posts compiled Member Comments on Draft Specification on public area of IPP, sends an email to NPPOs, RPPOs, and International Organizations and creates a News Item	7 days after MC ends
Steward reviews Compiled Comments, adjusts Draft Specification, and returns responses to comments to Secretariat	10 days after sent to steward
Secretariat posts Draft Specification with steward responses to comments on IPP in the SC November in restricted work area	60 days before SC November
<b>SC May</b>	<b>Notes</b>
Secretariat posts Draft Specification on IPP, sends an email to NPPOs, RPPOs, and International Organizations and creates a News Item	7 days after sent to Editor
Secretariat posts English Draft ISPM in the public area of the IPP	1 week after received from editor
Secretariat posts Approved Specification on IPP public area	1 week after received from editor
Drafting groups submit Draft ISPMs to Secretariat	Always 2nd Friday of January
<b>SC November</b>	<b>Notes</b>
Steward returns Draft Specification to Secretariat	2 weeks before sent to Editor
Secretariat posts Draft Specification in the SC November restricted work area of the IPP	60 days before SC November
Submission of Working Papers for the SC November due	5 weeks before SC November
Secretariat post Working Papers for the SC November	2 weeks before SC November
SC November reviews SPTA strategic priorities and makes recommendations to the WP and nominates a steward	Last day of SC November in odd numbered years
Secretariat posts Approved Specification on IPP public area	14 days after last day of SC November
Secretariat posts Draft Specification on IPP, sends an email to NPPOs, RPPOs, and International Organizations and creates a News Item	1 week after sent to Editor
<b>SC-7 May</b>	<b>Notes</b>
Secretariat posts Draft ISPM on IPP in restricted work areas for SC	30 days before SC-7 May
Secretariat posts Working Papers on IPP in restricted work areas for SC	30 days before SC-7 May



Secretariat posts Draft ISPM on IPP for SC November in restricted work areas for SC, NPPOS, RPPOs 30 days after SC-7 May

Expert Working Group Meetings	Notes
Invitations sent	90 days before meeting
Meeting documents submitted	3 weeks before meeting
Meeting documents posted	2 weeks before meeting





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