



联合国
粮食及
农业组织

Food and Agriculture
Organization of the
United Nations

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

Продовольственная и
сельскохозяйственная организация
Объединенных Наций

Organización de las
Naciones Unidas para la
Alimentación y la Agricultura

منظمة
الأغذية والزراعة
للأمم المتحدة

COMMISSION ON PHYTOSANITARY MEASURES

Tenth Session

Rome, 16-20 March 2015

**The development of a Framework for standards and implementation -
update**

Agenda item 8.6

Prepared by the IPPC Secretariat

I. Background

1. A Task Force on the Framework for IPPC standards met in Ottawa, Canada in September 2013 and the report¹ of this meeting was presented to the Strategic Planning Group (SPG) and Standards Committee (SC) in November 2013. The 2013 November SC established a subgroup of the SC to continue work on the development of the IPPC Framework for standards and perform a gap analysis. The SC was urged by the Commission on Phytosanitary Measures (CPM) at CPM-9 (2014) to finalize the IPPC Framework for standards gap analysis and present it to the CPM. The SC in May 2014² revised and approved Terms of Reference for a SC working group for the development of the Framework for IPPC standards, including a gap analysis.

2. The SC working group, with additional participation from representatives of other CPM bodies, met in Punta Leone, Costa Rica, in August 2014. The report from this meeting³ was presented to the October 2014 meetings of the Bureau⁴ and SPG⁵. Based on the deliberations of the working group it was decided to submit to CPM a renamed draft document entitled Framework for standards and implementation as it was noted that the standards framework had broader application. The full draft Framework for standards and implementation could be useful, not only for gap analysis, but also

¹ 2013-09 Report of the Framework for Standards Task Force: <https://www.ippc.int/core-activities/standards-setting/framework-for-standards-task-force>

² 2014-05 Report of the Standards Committee (Agenda item 7.2): <https://www.ippc.int/publications/2014-05-report-standards-committee>

³ 2014-08 Report Framework for standards: <https://www.ippc.int/publications/2014-08-report-framework-standards-and-implementation>

⁴ 2014-10 Bureau meeting report: <https://www.ippc.int/publications/2014-10-cpm-bureau-report>

⁵ 2014-10 SPG meeting report: <https://www.ippc.int/publications/2014-10-spg-16>

for countries to see what guidance is already available or missing and could be made available. The Bureau and SPG recommended to slow the process down to allow time to fully consult with the other CPM bodies, gather input and to work on two different documents, one focussing on standards and the other on implementation. Thus, the draft Framework for standards and implementation document would be revised and presented to SPG in 2015, after compilation and analysis by the Secretariat, before being recommended for adoption by CPM-11 (2016).

3. The SC in November 2014⁶ reviewed the August 2014 Framework meeting report and its recommendations, as well as the Bureau and SPG comments. Based on the recommendations from the Bureau and SPG, the SC modified the standard setting part of the Framework, including the gap analysis. The Standards part of the IPPC Framework for Standards and Implementation, as revised by the SC is presented as Annex 1 to this paper.

4. The SC agreed on several decisions⁶, such as linking proposed topics to IPPC strategic objectives and organizational results and indicating priority would be given to topics with the largest global impact. The SC revised the Criteria and recommends them to the CPM for adoption. The revised *Criteria for justification and prioritization of proposed topics* is presented as Annex 2 to this paper

5. The SC, after reviewing the report of the 2014 Framework for standards meeting³, asked the IPPC Secretariat to update the CPM on the possible areas of common interest to the IPPC, Codex Alimentarius and the World Organization for Animal Health (OIE) that were identified. While the SC considered these to be important, it noted that the different focus and standard setting processes of the other “Sisters” would make it difficult to develop single standards that would be applicable to all three but that there existed potential to learn from what the others might be doing in these areas. These areas of common interest are the following (presented in alphabetical order, numbers do not indicate priority):

- Audits including competent authorities
- Contingency planning and response
- Diagnostic
- Dispute settlement
- E-certification
- Economic analysis
- Effective participation for developing countries
- Equivalence
- Guidance for risk assessment
- Import permits
- Member consultations
- Pest eradication
- Resource mobilization
- Risk Communications
- Specific pathways (e.g. used equipment, grains, waste management, air and sea containers)
- Surveillance
- Traceability
- Trans-boundary issues (Regional or International Cooperation)
- Treatments e.g. irradiations.

6. The SC also agreed on the recommendation from the August 2014 Framework meeting that the CPM reserve time for discussions on concepts and implementation issues related to draft or newly adopted standards, especially high priority issues.

⁶ 2014-11 Report of the Standards Committee (Agenda item 05): <https://www.ippc.int/publications/2014-11-report-standards-committee>

7. The Capacity Development Committee (CDC), analyzed the framework for Implementation document, as requested by the Bureau and suggested by the SPG 2014. The group emphasized that discussion on the framework for implementation is an ongoing work needing substantive cross checking. This document shall be addressed in the next CDC meeting and conclusions sent to the IPPC Secretariat.

II. Recommendations to the CPM

8. The CPM is invited to:

- *Request* the Secretariat to consider possible interactions with the Codex Alimentarius and the World Organization for Animal Health (OIE) on the identified areas of common interest as it relates to the Standards Setting work programme when relevant.
- *Consider* reserving time at CPM for discussions on concepts and implementation issues related to draft or adopted standards, especially high priority issues considering the draft Framework (standard setting section).
- *Request* the Secretariat to continue to develop the Framework for standards and implementation and ensure that this has a broader application, not only for gap analysis but also allow contracting parties to see what guidance is already available or missing.
- *Note* the draft standards portion of the IPPC Framework for Standards and Implementation presented in Annex 1 to this paper, noting that the full Framework for Standards and Implementation will be presented to CPM-11 (2016) for adoption.
- Adopt the *Criteria for justification and prioritization of proposed topics* as presented in Annex 2 to this paper.

STANDARDS PORTION OF THE IPPC FRAMEWORK FOR STANDARDS AND IMPLEMENTATION

(draft revised by the Standards Committee in November 2014)

Background

- [1] The draft Framework for standards was developed by a Task Force in September 2013 and further refined by an SC working group, which met in Costa Rica, August 2014. The resulting draft Framework for standards and implementation was discussed by the Strategic Planning Group and the CPM Bureau in October 2014. Comments from these groups were taken into consideration and the Framework modified accordingly in regards to the standards portion of the Framework. The SC in November 2014 reviewed and revised the standards portion.
- [2] Only the standards portion of the IPPC Framework is presented in this document.

Introduction

- [3] This Framework identifies the standards that have been adopted, topics on the *List of topics for IPPC standards* and gaps as identified in the Framework meeting and agreed by the SC November 2014.
- [4] All standards that are on the *List of topics for IPPC standards* as well as those that have been identified as gaps have been given a priority from 1-4 where 1 is highest. When an earlier priority is also indicated, this reflects the proposed change in priority as agreed by the SC November 2014, for adoption by CPM-10 (2015).

LEGEND

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

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

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

Adopted ISPMs are listed with title and ISPM number.

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

IPPC Area: GENERAL

IPPC Strategic Objectives (SOs): A3, A4, B1, B2, B3, D2, D4

Concept standards - "what"

Implementation standards - "how"

1. Audits (Priority 1)

No gap.

IPPC Area: GENERAL RIGHTS AND OBLIGATIONS

IPPC SOs: A1, A2, B2, B3, B4, C3, D3, Y4	
Concept standards - “what”	Implementation standards - “how”
2. Elements of an effective NPPO e.g. training, engagement of stakeholders, competency (Priority 1)	No gap.
Revision: Pest reporting (ISPM 17) (Priority 2)	
Revision: Guidelines on lists of regulated pests (ISPM 19) (Priority 2)	
4. Guidelines for the notification of non-compliance and emergency action (ISPM 13)	
5. National legislation requirements (Priority 4)	No gap.
IPPC Area: PRINCIPLES AND POLICIES (interpretation of the Convention) IPPC SOs: B2, B3, C3, D1, D3	
Concept standards - “what”	Implementation standards - “how”
6. Phytosanitary principles for the protection of plants and the application of phytosanitary measures in international trade (ISPM 1)	No gap.
7. Glossary of phytosanitary terms (ISPM 5) Terminology of the Convention on Biological Diversity in relation to the Glossary of phytosanitary terms (ISPM 5 – Appendix 1)	No gap.
8. Efficacy of measures (Priority 4)	No gap.
9. No gap.	Recognition of pest free areas and areas of low pest prevalence (ISPM 29)
10. Guidelines for the determination and recognition of equivalence of phytosanitary measures (ISPM 24)	
11. Authorization of non-NPPO entities to perform phytosanitary actions (2014-002) (Priority 2 (from 3))	No gap.
IPPC Area: PEST STATUS IPPC SOs: A1, A2, B1	
Concept standards - “what”	Implementation standards - “how”
12. Determination of pest status in an area (ISPM 8) (Priority 1)	
13. Revision: Regulated non-quarantine pests: concept and application (ISPM 16), to broaden to pests and clarify the concepts related to	No gap.

	quarantine pests, RNQP and pests of national concern (Priority 2) Guidelines on the interpretation and application of the concept of official control for regulated pests (ISPM 5 - Supplement 1)	
14.	Host and non host status (Priority 3)	Determination of host status of fruit to fruit flies (Tephritidae) (2006-031) (Priority 1)
15.	Guidelines for surveillance (ISPM 6) (Priority 1)	
16.		Specific guidance on surveillance for a pest or a group of pests (Priority 3)
17.	Requirements for the establishment of pests free areas (ISPM 4) (Priority 4 (from 2))	
18.	Requirements for the establishment of pest free places of production and pest free production sites (ISPM 10)	
19.	Requirements for the establishment of areas of low pest prevalence (ISPM 22)	
20.	No gap.	Specific guidance on PFA, PFPP and ALPP for a pest or a group of pests (Priority 4) Establishment of areas of low pest prevalence for fruit flies (ISPM 30) Control measures for an outbreak within a fruit fly-pest free area (ISPM 26 - Annex 2)

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

Concept standards - “what”		Implementation standards - “how”
21.	Framework for pest risk analysis (ISPM 2)	Pest risk analysis for quarantine pests (ISPM 11) Pest risk analysis for regulated non-quarantine pests (ISPM 21) Categorization of commodities according to their pest risk (ISPM 32) Guidelines for the export, shipment, import and release of biological control agents and other beneficial organisms (ISPM 3) Guidance on climate change (supplement to ISPM 11) (Priority 3)
22.	Revision and combination of PRA standards (including ISPM 2, 11 and 21) (priority 4)	
23.	Guidance on pest risk management (2014-001) (Priority 2 (from 1))	Specific guidance on pest risk management for pests or a group of pests (Priority 3)
24.	Risk communication (Priority 3)	

25.	Guidelines on the understanding of potential economic importance and related terms including reference to environmental considerations (ISPM 5 - Supplement 2)	Economic analysis in PRA (Priority 2)
26.	Diversion from intended use (Priority 2? to be determined) (concept standard or supplementary document)	No gap.
IPPC Area: PEST MANAGEMENT IPPC SOs: A1, A2, B1, B2, B4, C2, D1		
Concept standards - “what”		Implementation standards - “how”
27.	Management of regulated pests (Priority 4)	No gap.
28.	Contingency planning and emergency response (Priority 1)	No gap.
29.	No gap.	Criteria for treatments for wood packaging material in international trade (2006-010) (draft annex to ISPM 15) (Priority 2)
30.	Phytosanitary treatments for regulated pest (ISPM 28)	Non-commodity specific phytosanitary treatments for regulated pests (e.g. soil drench, sterilization) (Annexes to ISPM 28) (Priority 4)
31.	Guidelines for the use of irradiation as a phytosanitary measure (ISPM 18) (2014-007) (Priority 3 (from 2))	
32.	No gap.	Requirements for the use of fumigation as a phytosanitary measure (2014-004) (Priority 1)
33.	No gap.	Requirements for the use of temperature treatments as a phytosanitary measure (2014-005) (Priority 1)
34.	No gap.	Requirements for the use of modified atmosphere treatments as a phytosanitary measure (2014-006) (Priority 2)
35.	No gap.	Requirements for the use of chemical treatments as a phytosanitary measure (2014-003) (Priority 3)
36.	Guidelines for pest eradication programmes (ISPM 9)	
37.	No gap.	Phytosanitary procedures for fruit fly (Tephritidae) management (2005-010)
38.	Integrated measures plants for planting (ISPM 36)	
39.	Systems approach (ISPM 14) Clarification on the concepts of integrated measures and systems approach (Priority 4)	Pest free potato (Solanum spp.) micropropagative material and minitubers for international trade (ISPM 33) Systems approach for pest risk management of fruit

		flies (Tephritidae) (ISPM 35) Specific guidance on systems approaches for commodities or pests (Priority 4)
IPPC Area: PHYTOSANITARY IMPORT & EXPORT REGULATORY SYSTEMS IPPC SOs: A3, B4, C1, C2, C3, D3		
Concept standards - “what”		Implementation standards - “how”
40.	Phytosanitary certification system (ISPM 7)	Phytosanitary certificates (ISPM 12) Electronic phytosanitary certificates, information on standard XML schemes and exchange mechanisms (ISPM 12 - Appendix 1)
41.	Consignments in transit (ISPM 25)	
42.	No gap.	Guidelines for the export, shipment, import and release of biological control agents and other beneficial organisms (ISPM 3) Phytosanitary treatments for regulated pests (ISPM 28 – Annexes 1 to 15)
43.	Guidelines for a phytosanitary import regulatory system (ISPM 20)	
44.		Guidelines for a phytosanitary import regulatory system (ISPM 20) Use of permits as import authorization (2008-006) (ISPM 20, new annex) (Priority 4 (from 3))
45.	No gap.	Guidelines for inspection (ISPM 23)
46.	Methodologies for sampling of consignments (ISPM 31)	
47.	No gap.	Design and operation of post-entry quarantine stations for plants (ISPM 34)
48.	Phytosanitary pre-import clearance (2005-003) (Priority 3)	No gap.
49.	No gap.	Minimizing pest movement by air containers and aircrafts (2008-002) (Priority 3 (from 1))
50.	No gap.	International movement of cut flowers and branches (2008-005) (Priority 4)
51.	No gap.	Safe handling and disposal of waste with potential pest risk generated during international voyages (2008-004) (Priority 2 (from 3))
52.	No gap.	International movement of growing media in association with plants for planting (2005-004) (Priority 1)

53.	No gap.	Minimizing pest movement by sea containers (2008-001) (Priority 1)
54.	No gap.	International movement of grain (2008-007) (Priority 1)
55.	No gap.	Revision: Guidelines for regulating wood packaging material in international trade (ISPM 15) (to include fraudulent use) (Priority 2)
56.	No gap.	International movement of used vehicles, machinery and equipment (2006-004) (Priority 3)
57.	No gap.	International movement of seeds (2009-003) (Priority 1)
58.	No gap.	International movement of wood (2006-029) (Priority 1)
59.	No gap.	International movement of wood products and handicrafts made from wood (2008-008) (Priority 2 (from 1))
IPPC Area: DIAGNOSTICS IPPC SOs: A1, B1, B4		
Concept standards - “what”		Implementation standards - “how”
60.	Diagnostic protocols for regulated pests (ISPM 27)	Annexes to Diagnostic protocols for regulated pests (ISPM 27)
61.	No gap.	Requirements for diagnostics (Priority 2)

Criteria for justification and prioritization of proposed topics

Modifications proposed by the Standards Committee (November 2014)

New text is evidenced by underlining

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

Core criteria (must provide information)

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

Supporting criteria (provide information as appropriate)

Practical

1. Feasibility of adopting the proposed standard within a reasonable time frame.
2. 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).
3. Availability of expertise needed to develop the proposed standard.

Economic

4. Estimated value of the plants protected.
5. 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.
6. Estimated value of new trade opportunities provided by the approval of the proposed standard.
7. Potential benefits in terms of pest control or quarantine activities.

Environmental

8. 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.
9. Utility in the management of non indigenous species which are pests of plants (such as some invasive alien species).
10. Contribution to the protection of the environment, through the protection of wild flora, and their habitats and ecosystems, and of agricultural biodiversity.

Strategic

11. 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).
12. 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).
13. Relevance and utility to developing countries.
14. Coverage (application to a wide range of countries/pests/commodities).

15. 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).
16. Foundation standards to address fundamental concepts (e.g. treatment efficacy, inspection methodology).
17. Expected standard longevity (e.g. future trade needs, suggested use of easily outdated technology or products).
18. Urgent need for the standard.