

Annex – 09 - General and Specific IPPC National Reporting Obligations (NROs) procedures

1a - General IPPC National Reporting Obligations (NROs) procedures

The following general NROs procedures are established as per Article VIII, paragraph 1(a) of the IPPC.

	Subject	NROs Procedures	Remarks
1.	The use of electronic media	The primary, and preferred, modality of communicating NROs is electronically, where applicable, as this is more efficient than paper communications and substantially reduces resources needed by the Secretariat to process paper. For the purposes of the IPPC, the phrases "make available to", "reported to", "submit to", "transmit to" and "communicate to" the Secretary means that the Secretary to the IPPC must be notified directly and the preferred mechanism of undertaking this is by publishing on the IPP by contracting parties (apart from the nomination of the IPPC Official Contact Point, which is published on the IPP by the Secretariat).	CPM-1 (2006) agreed to the use, wherever possible, of electronic communications between official contact points and the Secretariat (Report of CPM-1 (2006), paragraph 152).
2.	The use of the International Phytosanitary Portal (IPP)	<ol style="list-style-type: none"> 1) To make optimal use of the Secretariat resources and ensure fast and effective communication, posting NRO information on the IPP is considered by CPM to be meeting contracting parties' (CPs) national reporting obligations, which includes those which specifically need to be sent to the Secretary, other CPs, national plant protection organizations (NPPOs), regional plant protection organizations (RPPOs) or any combination thereof. 2) The IPP is the preferred IPPC information exchange mechanism for NPPOs, CPs, the Secretariat and RPPOs to meet NROs. 3) Any NRO that needs to be reported to the Secretary, is reported by CPs on the IPP and hence public (apart from the nomination of the IPPC Official Contact Point which is published on the IPP by the Secretariat). 4) Official Contact Points can nominate editors to assist the CP meeting their NROs, but this needs to be done by formally notifying the Secretary of such. 5) Once a report is posted on the IPP by a CP it should be regularly checked, by Official Contact Points or their editors, and updated to reflect the most recent legislation in force and the status quo of the present time. 6) The IPP makes allowance for either the direct uploading of NRO information onto the IPP, or can be done by making links available to their CP website/s where the NRO data is maintained. 7) The Secretariat is available to provide guidance to CPs in meeting their NROs, but should not upload NRO information on behalf of CPs. 	ICPM-3 (2001) adopted the proposal for an IPP (Report of ICPM-3 (2001), paragraph 53). CPM-6 (2011) agreed to the Secretariat's recommendations to improve IPPC reporting, particularly through the IPP, as outlined in Appendix 6 to the Report of CPM-6 (2011), paragraph 90. The form to nominate an IPP editor by an Official Contact Point is available on the IPP (https://www.ippc.int/en/publications/ippc-official-contact-point-notification-form/).

3.	Pest reporting through Regional Plant Protection Organizations	In accordance with Article VIII.1(a) of the IPPC, CPs cooperate in the exchange of information on plant pests. CPs may also undertake their pest reporting through their RPPOs. CPs need, however, to liaise with their RPPO first to ensure that they have a mechanism to allow pest reporting in this way. Should a CP wish to provide pest reports through its RPPO, the CP needs to provide the Secretariat with a signed form notifying that they are using this possibility/option for reporting. The CP can withdraw from pest reporting through RPPO and continue reporting directly to the Secretariat. The Secretariat needs to be informed about this change.	CPM-4 (2009) endorsed reporting through an RPPO (Report of CPM-4 (2009) paragraph 135). The form for contracting parties to provide legal authority to RPPOs to undertake pest reporting on their behalf is available on the IPP (https://www.ippc.int/publications/national-pest-reporting-through-regional-plant-protection-organizations).
4.	Reporting information other than NROs by countries	CPs can post other information on the IPP that they deem beneficial to other contracting parties, but meeting NROs should be given priority.	This option was envisaged in the Report of the Working Group on Information Exchange, as adopted by ICPM-3 (Report of CPM-3 (2001), paragraph 53 and Appendix XV).
5.	Non-contracting parties	Countries that are not CPs are encouraged to use the IPP. They can appoint "IPPC information points" and post IPPC-related information on the IPP.	At its 1 st Session in 2001 the CPM decided that "countries that were not a contracting party should be allowed to post information on the IPP" (Report of CPM-1 (2006), paragraph 152).

1b - Specific IPPC National Reporting Obligations (NROs) procedures

Background:

In 2001, ICPM-3 adopted the interpretations of the IPPC on information exchange enclosed in the Report of the Working Group on Information Exchange (Report of the ICPM-3 (2001), paragraph 53 and Appendix XV). Since then, apart from the role of the IPPC Contact Points adopted by the CPM-1 (2006) (Appendix XVIII), no additional advice was adopted by the CPM on other National Reporting Obligations. The procedures below were drafted based on guidance provided by the NROAG in 2014 and 2015.

All obligations mentioned in the table constitute national reporting obligations of all Contracting Parties to the IPPC. The following procedures are agreed as per Article VIII 1(a) of the IPPC as presently in force. **Articles IV** (General provisions relating to the organizational arrangements for national plant protection), **VII** (Requirements in relation to import), **VIII** (International Cooperation), **XII** (Secretariat) and **XIX** (Languages) of the IPPC constitute the legal basis for the obligations set out in this table. Three types of reporting obligations were identified: basic (an obligation regardless of circumstances), event-driven (triggered by a specific event) and on request (triggered by a request); while there are two reporting methods: public or bilateral.

Article of the IPPC	Type	Method	Responsible Entity	Receiving entity: in accordance with the IPPC text	Languages (Art. XIX of the IPPC)	Reason	Remarks
VIII.2	Designate an Official Contact Point (OCP) for the exchange of information						
	Basic	Public	Contracting Party	Not specified	In accordance with Article XIX, paragraph 3 (e and f), "requests for information from contact points as well as replies to such requests, but not including any attached documents" and "any document made available by contracting parties for meetings of the Commission" shall be in at least one of the official languages of FAO.	1. Official Contact Points are central to the NRO programme and the broader IPPC programme. 2. It is important to facilitate the exchange of information on implementation of the IPPC as a whole, e.g. standard setting.	1. It takes a lot of time to manage changes to contact point. 2. There is a need to rely on many sources to ensure maintenance of the Official Contact Point system. 3. There is a need to create increased awareness and priority that NPPOs and CPs give to this task.
The Role of IPPC Contact Points (adopted in the report of the CPM-1 (2006), paragraph 152 and Appendix XVIII):							
1. The IPPC contact points are used for all information exchanged under the IPPC among contracting parties, between the Secretariat and contracting parties and, in some cases, between contracting parties and Regional Plant Protection Organizations (RPPOs).							

⁴ Recommendations and guidance provided by the NROAG.

2. 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.

3. *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.

4. 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 following should be additionally respected by contracting parties while making an IPPC Official Contact Point (OCP) nomination⁴ :

1. OCP nominations of contracting parties should be sent to the Secretary to the IPPC, preferably using the nomination form prepared for this purpose and available on the IPP.
2. An OCP should be a specific individual (with first name/s and family name/s) and not an entity or specific office.
3. The nomination of a new OCP must be signed by the person supervising and/or responsible for the new OCP. No self-nomination will be accepted.
4. Nominations should be submitted in a timely manner so that there is no gap in any official correspondence with the national OCP.
5. It is preferable for the OCP to be in the NPPO as the NPPO is responsible for the implementation of most of the IPPC actions.
6. Outgoing OCP should not nominate the new (incoming) OCP but arrange for the nomination to reach the Secretariat in a timely manner.
7. RPPOs and FAO representatives may facilitate the nomination of an OCP.
8. Should a CP unofficially indicate a Contact Point, the Secretariat will invite the relevant CP to submit a formal nomination in accordance with the procedures set forth in this document. Confirmation of the informal contact point as OCP or the designation of a new OCP should be notified to the Secretariat within 3 months from receiving the Secretariat's invitation.
9. Once the IPPC Secretary has made the OCP public on the IPP, the OCP is then responsible for keeping their contact information up-to-date.
10. Editors are nominated by OCPs to assist in delivery of the NROs, including the physical uploading of data on the IPP.
11. Countries which are not contracting parties to the IPPC can appoint an '*Information point*' for the purpose of the exchange of phytosanitary information.

⁴ Recommendations and guidance provided by the NROAG.

IV.4 XII.4(d))	Submit a description of the NPPO and its changes						
	Basic	Public	Contracting parties	Secretary	Art. XIX.3 (a) sets out that information provided according to Article IV.4 shall be in at least one of the official languages of FAO.	1. Availability of information on NPPOs and their internal organization enhances their reliability and accessibility. 2. It ensures a degree of transparency and access to information on the internal organization of NPPOs.	
<p>1. A description of the NPPO should have the form of an organogram. Ideally, a description of its organizational arrangements should be included in that organogram (i.e. who is responsible for which area and what are the connections between different parts of the NPPO). That would implement both obligations set forth in Article IV.4 of the IPPC, i.e. a description of the NPPO and a description of its organizational arrangements for plant protection.⁴</p> <p>2. A description of the NPPO should also identify the organizations that act under the authority of the NPPO as provided in Article IV.2 (a-g).⁴</p>							
VII.2(b)) XII.4(d))	Publish and transmit phytosanitary requirements, restrictions and prohibitions						
	Basic	Public	Contracting party	Any contracting party or parties that CPs believe may be directly affected by such measures.	<p>1. Art XIX 3 (b) sets out that cover notes giving bibliographical data on documents transmitted according to Article VII paragraph 2 (b) shall be in at least one of the official languages of FAO.</p> <p>2. Art XIX 3 (c) sets forth that information provided according</p>	To facilitate safe and efficient international movement of plant, plant products and other regulated articles. To result in minimum impediment of international movement of plants, plant products and other regulated articles.	<p>1. This was initially understood by the IPP Support Group to mean “all legislation and regulations”.</p> <p>2. In accordance with Article VII.2(b) of the IPPC, “<i>Contracting parties shall, immediately upon their adoption, publish and transmit phytosanitary requirements, restrictions and prohibitions to any contracting party or parties that CPs believe may be directly affected by such measures</i>”.</p> <p>In accordance with Article XII 4 (d) of the IPPC, “<i>the Secretary shall disseminate information received from contracting parties on phytosanitary requirements,</i></p>

⁴ Recommendations and guidance provided by the NROAG.

					to Article VII 2 (b) shall be in at least one of the official languages of FAO.		restrictions and prohibitions referred to Art. VII 2(b)". Article VII.2 (b) does not explicitly set out any obligation for CPs to notify phytosanitary requirements, restrictions and prohibitions to the IPPC Secretariat. Article XI.4 should be therefore interpreted as implying the duty of the Secretariat to publish phytosanitary requirements, restrictions and prohibitions only where such information is received from the relevant Contracting Parties.
<p>1. Article XII.4 (d) sets forth the duty of the Secretary to disseminate information received from CPs on phytosanitary requirements, restrictions and prohibitions referred to Art. VII 2(b). The ICPM-3 adopted the recommendation that "all information on restrictions, requirements, and prohibitions be available through national or RPPO websites and/or national webpages within the IPPC website linked through IPP" (Report of the ICPM-3, Appendix XV, paragraph 18). CPs are encouraged to make phytosanitary requirements more widely available than in the past through their inclusion in the IPP (available to all countries whether affected or not by such measures).⁴</p> <p>2. Phytosanitary requirements, restrictions and prohibitions can also be posted by CP on their own websites or RPPOs websites. In such cases information should be linked through the IPP.⁴</p>							
VII.2(d)) XII.4(b))	Publish specified points of entry for plants or plant products						
	Basic	Public	Contracting party	Secretary, RPPOs of which the contracting party is a member, all contracting parties which the contracting party believes to be directly affected, other contracting parties upon request.	Art XIX 3 (c) sets forth that information provided according to Article VII paragraph 2 (d) shall be in at least one of the official languages of FAO.	To facilitate safe and efficient international movement of plant and plant products. To result in minimum impediment of international movement of plants, plant products and other regulated articles.	Specified points of entry should be selected by a CP if a CP requires consignments of particular plants or plant products to be imported only through these points of entry.

⁴ Recommendations and guidance provided by the NROAG.

<p>1. Information on points of entry could be reported together with phytosanitary requirements, restrictions and prohibitions. ⁴</p> <p>2. In cases where there are no restrictions concerning entry points for consignments of plants and plant products into a country, no report is needed. However, it is recommended that the information about the lack of restrictions should be posted on the IPP. ⁴</p>							
VII.2(i)	Establish and update lists of regulated pests						
XII.4(c)							
	Basic	Public	Contracting party	Secretary, RPPOs of which they are members, other contracting parties on request.	Art XIX 3 (c) sets out that information provided according to Article VII paragraph 2(i) shall be in at least one of the official languages of FAO.	To allow trading partners access to information on pests regulated by importing country and for which they will need to meet established national measures.	<p>1. A “list of pests (occurring within a country)” is not synonymous with a “list of regulated pests”.</p> <p>2. National surveillance systems need to be strengthened to establish and update lists of regulated pests.</p> <p>3. Extensive Capacity Development, including pest identification, surveillance and pest risk assessment, is needed in a number of CPs before they can meet this NRO.</p>
<p>1. Regulated pest lists should be made available on IPP and therefore public to ensure that all provisions of the IPPC are met.⁴</p>							
IV.2(b)	Reporting of the occurrence, outbreak or spread of pests, and of controlling those pests						
VIII.1(a)	International cooperation: 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						
	Event driven	Public	NPPO and Contracting party		Art XIX 3 (d) sets forth that notes giving bibliographical data and a short summary of relevant documents on information provided according to Article VIII paragraph 1(a) shall be in at least one of the official languages of FAO.	<p>1. It forms a basis for cooperation among CPs.</p> <p>2. It contributes towards the identification of phytosanitary risks.</p> <p>3. As mentioned in the preamble of</p>	<p>1. A large number of CPs do not have the capacity to undertake pest reporting in a sustainable manner.</p> <p>2. Political commitment to pest reporting is required. The awareness on this issue should be increased to achieve this goal.</p> <p>3. National surveillance systems need to be strengthened. Capacity development for surveillance and pest identification is needed for some CPs.</p>

⁴ Recommendations and guidance provided by the NROAG.

						IPPC, avoidance of spread and introduction of pests of plants.	
<p>1. Art. VIII 1(a) sets out that the reporting of pests will be undertaken "... <i>in accordance with such procedures as may be established by the Commission</i> ...". The responsibilities of and requirements for CPs in reporting the occurrence, outbreak and spread of pests in areas for which they are responsible are set out in ISPM No.17, as adopted by ICPM-4 in 2002.</p> <p>2. All reporting requirements established under ISPM 17 are fully met when pest reports are published through the IPP. ⁴</p> <p>3. Pest reports can also be made through existing RPPOs on condition that a CP signs an appropriate form to satisfy the legality of that action and the technical mechanism exist for the exchange of such data. ⁴</p> <p>4. A pest report should contain important information that allows CPs to adjust as necessary their phytosanitary import requirements and to take actions taking into account any changes in pest risk. ⁴</p> <p>5. When in doubt as to the qualification of a pest as a "pest of immediate or potential danger" and therefore its reporting, the reporting of any pest is desirable. ⁴</p>							
IV.4	Provide a description of organizational arrangements for plant protection						
	On request	Bilateral communication only but public posting on the IPP is encouraged	Contracting party	Other contracting parties upon request.	Art XIX.3 (a) sets forth that information provided according to Article IV paragraph 4 shall be in at least one of the official languages of FAO.	CPs may obtain clarifications as to the operation of the NPPO.	Not all CPs have developed such information, or kept existing data up-to-date.
<p>1. This obligation is considered to be transmitted as a bilateral obligation. ⁴</p> <p>2. This requirement does not relate to the general structure of an NPPO (mentioned in the first sentence of Art IV.4), but to organizational arrangements described in Article IV.2 & 3. ⁴</p> <p>3. The report should contain a description of functions and responsibilities in relation to plant protection. It can be combined in one report with a NRO regarding a description of a NPPO and made public on the IPP as a single report. ⁴</p>							
VII.2(c)	Make available the rationale for phytosanitary requirements, restrictions and prohibitions						
	On request	Bilateral communication only	Contracting party	On request, to any contracting party	Article XIX.3 (e) sets out that requests for information from contact points as well as replies	1. To ensure CPs can safely trade with minimal	1. There is a global lack of PRAs on "old" regulated pests, on pathways and commodities.

⁴ Recommendations and guidance provided by the NROAG.

		but public posting on the IPP is encouraged			to such requests, but not including any attached, documents, shall be in at least one of FAO Languages.	negative impact on trade and research. 2. To ensure that unjustified measures are not in place. 3. To result in minimum impediment of international movement of plants, plant products and other regulated articles.	2. There is also a lack of technical capacity within NPPOs.
<ol style="list-style-type: none"> 1. When requested to provide the rationale for certain phytosanitary requirements, restrictions and prohibitions, CPs should provide information as to the compliance of such measures with the requirements set out in Article VI.1 (a) and (b) for quarantine and regulated non-quarantine pests.⁴ 2. It is suggested that one of FAO languages is to be used in reporting to facilitate transparency and communication.⁴ 							
VII.2 (f)	Inform of significant instances of non-compliance with phytosanitary certification						
	Event driven	Bilateral communication only	Importing contracting party	Exporting or re-exporting contracting party	Article XIX.3 (e) sets forth that requests for information from contact points as well as replies to such requests, but not including any attached, documents, shall be in at least one of FAO Languages.	To notify the exporting or re-exporting country of significant problems, e.g. interceptions of quarantine nature.	<ol style="list-style-type: none"> 1. If needed a mechanism could be established to allow CPs to exchange this information on a bilateral basis, limited to parties concerned only. 2. Most CPs already have bilateral mechanisms in place to report non-compliance.
<ol style="list-style-type: none"> 1. This obligation is considered to apply only to contracting parties concerned.⁴ 2. If needed, a mechanism could be established to facilitate CPs to exchange information through the IPP but on a bilateral basis, restricted to parties concerned only. This has been requested by some CPs through IPPC capacity development activities.⁴ 3. ISPM No. 13 sets out guidelines for the notification of on non-compliance.⁴ 4. It is suggested that one of FAO languages is to be used in reporting to facilitate transparency and communication.⁴ 							
VII.2 (f)	Report the result of its investigation regarding significant instances of non-compliance with phytosanitary certification						
	Event driven	Bilateral communication	Exporting or re-exporting contracting party	On request by an importing contracting party	Article XIX.3 (e) sets out that requests for information from contact points as well as replies to such requests, but not including any attached, documents, shall be in at least one of FAO Languages.	To allow exporting or re-exporting country to justify and improve CP phytosanitary procedures.	A frequent lack of response to non-compliance communications is noted by many CPs.

⁴ Recommendations and guidance provided by the NROAG.

<ol style="list-style-type: none"> 1. ISPM No. 13 sets out guidelines for the notification of on non-compliance.⁴ 2. It is suggested that one of FAO languages is to be used in reporting to facilitate transparency and communication.⁴ 							
VII.2(j)	Develop and maintain adequate information on pest status and make such information available						
On request	Bilateral communication but public posting on the IPP is encouraged	Contracting party, to best of its ability	Pest status information should be made available on request by CPs.	Art XIX 3 (c) sets out that information provided according to Article VII 2 (j) shall be in at least one of the official languages of FAO.	To enable categorization of pests, and for use in the development of appropriate phytosanitary measures	National surveillance systems need to be strengthened to carry out this task.	
<ol style="list-style-type: none"> 1. ISPM No. 8 provides additional guidance on this reporting obligation, including the definition of the term 'pest status'.⁴ 2. The term 'Categorization' is understood to refer to the differentiation of regulated and non-regulated pests.⁴ 3. ISPM No. 6 provides guidance on what is meant by 'adequate' information.⁴ 							
VII.6	Immediately report emergency action						
Event driven	Public	Contracting party	Contracting parties concerned, Secretary, RPPOs of which the contracting party is a member.	Article XIX.3 (e) sets out that requests for information from contact points as well as replies to such requests, but not including any attached documents, shall be in at least one of FAO Languages.	Report new phytosanitary challenges that may affect the national phytosanitary status and those of partner / neighbouring countries.	<ol style="list-style-type: none"> 1. Based on the Glossary of Phytosanitary Terms, "emergency action" is "a prompt phytosanitary action undertaken in a new or unexpected phytosanitary situation". The Glossary defines "phytosanitary action" as "an official operation, such as inspection, testing, surveillance or treatment, undertaken to implement phytosanitary regulations or procedures". 2. Information on emergency actions are often included in pest reports. 	
<ol style="list-style-type: none"> 1. ISPM No. 13 contains partial (connected only to non-compliance of imported consignments) guidelines for the notification of emergency actions.⁴ 2. When fulfilling the reporting obligation set out in Article VII.6, both emergency measures and emergency actions should be addressed.⁴ 3. It is suggested that one of FAO languages is to be used in reporting to facilitate transparency and communication.⁴ 							
VIII.1(c)	Cooperate in providing the technical and biological information necessary for pest risk analysis						

⁴ Recommendations and guidance provided by the NROAG.

	On request	Bilateral communication but public posting on the IPP is encouraged	Contracting party, to the extent practicable	Other contracting parties.	Article XIX.3 (e) sets out that requests for information from contact points as well as replies to such requests, but not including any attached documents, shall be in at least one of FAO Languages.	To support the pest risk analysis (PRA) process	Timeliness in providing that information is desirable.
<ol style="list-style-type: none"> 1. This obligation is considered as a bilateral obligation. CPs are nevertheless encouraged to disseminate technical and biological information necessary for pest risk analysis through the IPP. ⁴ 2. It is suggested that one of FAO languages is to be used in reporting to facilitate transparency and communication. ⁴ 							

⁴ Recommendations and guidance provided by the NROAG.