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Convention

**REPORT**

**30<sup>th</sup>**

**Standards Committee**

**meeting**

**Rome, Italy**  
**13-17 November 2017**

**IPPC Secretariat**

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## 1. Opening of the Meeting

### 1.1 Welcome by the IPPC Secretariat

- [1] The IPPC Secretary, Mr Jingyuan XIA, opened the meeting and welcomed the participants to Rome. He reminded the Standards Committee (SC) that this was the 65<sup>th</sup> anniversary of the IPPC and listed the many achievements over the last year. He informed the SC of progress with implementation of the recommendations from the IPPC Secretariat enhancement evaluation.
- [2] The Secretary announced that Mr Avetik NERSISYAN had been appointed as the new manager of the Standard Setting Unit (SSU). The Secretary stressed the importance of standard setting and reminded the SC that they are part of the only standard setting organization in the world for plant health standards. He also praised the achievements of the Standards Officer and the SSU over the years. After adoption of a large number of standards, it was now important for the IPPC community to increase focus on implementation of the Convention and the standards. It was also important to enhance cooperation between the SC and the Implementation and Capacity Development Committee (IC).
- [3] The Standards Officer welcomed two new SC members, Mr Abdulqader Khudhair ABBAS (Iraq) and Ms Jayani Nimanthika WATHUKARAGE (Sri Lanka), and Mr Gamil RAMADHAN (Yemen), who had returned to the SC as a member.
- [4] He acknowledged the absence of Ms Thanh Huong HA (Viet Nam) and Mr Youssef Al MASRI (Lebanon), and noted that four observers attended the meeting (see Participants list).
- [5] The SC Chairperson also welcomed participants and pointed out that, because the SC was a technical committee, it was essential to have staff in the SSU with relevant expertise and skills.

## 2. Meeting Arrangements

### 2.1 Election of the Rapporteur

- [6] The SC elected Ms Laurence BOUHOT-DELDUC (France) as Rapporteur.

### 2.2 Adoption of the Agenda

- [7] The SC agreed to add an update on the recent meeting of the Sea Containers Task Force as a new Agenda item at 4.1.
- [8] Some SC members requested to reschedule some Agenda items and have updates from the IPPC Secretariat (hereafter “Secretariat”) and other bodies later in the week to ensure adequate time was available to discuss the draft grain standard. The Secretariat noted that some updates were helpful for the SC to understand the context of their work. The SC agreed to revise the draft ISPMs for the Commission on Phytosanitary Measures (CPM)-13 (2018) before addressing the updates for this meeting.
- [9] The SC adopted the Agenda (Appendix 1).

## 3. Administrative Matters

- [10] The Secretariat introduced the **Documents list** (Appendix 2) and the **Participants list** (Appendix 3). It was pointed out that ten SC members were either replacement members (five) or will finish their terms in 2018. He urged them to discuss nominations within their region. Two SC members will be finishing their 2<sup>nd</sup> term and will need special agreement from their regions if they wish to extend to a third term.
- [11] The Secretariat provided a document on **local information**<sup>1</sup> and invited participants to notify the Secretariat of any information that required updating or was missing.

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<sup>1</sup> Link to local information for meeting participants: Rome, Italy: <https://www.ippc.int/en/publications/1034/>

- [12] The Secretariat introduced the **Standard Setting staff**<sup>2</sup> and thanked the FAO/International Atomic Energy Agency (IAEA) joint division, France, New Zealand and USA for their in-kind contributions. He thanked Canada, IAEA, Italy and Viet Nam for hosting and supporting meetings in 2017.

## 4. Updates

### 4.1 Items arising from governance bodies

- [13] Mr Corné VAN ALPHEN introduced a paper highlighting items of specific relevance to the SC from the CPM Bureau meetings held in June and October 2017, the focus group (FG) to develop the process and criteria for a joint call for phytosanitary issues in October 2017 and the Strategic Planning Group (SPG) 2017 meeting<sup>3</sup>.

#### *CPM Bureau: June and October 2017 meetings*

- [14] **Special topic session for CPM-13.** The special topic session for CPM-13 (2018) will focus on the theme of 2018, Plant Health and Environmental Protection. The Convention on Biological Diversity (CBD) will be asked to give a keynote address. Several related side sessions are planned, including a session on gene sequencing and molecular technology, which will be organized with input from the SSU and which links with the work the Technical Panel on Diagnostic Protocols (TPDP).
- [15] **Work plan and budget of the IPPC Secretariat for 2018.** In October 2017, the Bureau agreed that the Secretariat resources should be distributed roughly into thirds (governance, standard setting, and implementation and facilitation). The SSU workplan is discussed under Agenda item 4.2.
- [16] **Diagnostic Protocols (DPs) and viability of pests.** The Bureau noted that new molecular techniques are very sensitive and there are issues related to the viability of the pest found. The Bureau considered that this was a complex issue with many ramifications and agreed that DPs should not address viability at this time.
- [17] **Draft template for objections.** In June 2017, the Bureau discussed the process for dealing with objections to ISPMs presented to CPM, particularly a concern noted by the SC in May 2017 about an objection raised at CPM-12 (2017) where no solutions or improvements were proposed to facilitate the adoption of the standard. The Bureau requested the Secretariat to develop a template for objections in order that contracting parties provide information on how their objection is technically justified based on the criteria agreed for objections and provide text to improve the draft and to address their concerns.
- [18] The Secretariat introduced the draft template for objections to the adoption of ISPMs<sup>4</sup>, which was based on the IPPC Standard Setting Procedure as revised by CPM-11 (2016). SC members felt this was useful and suggested several improvements including adding a section on what has been done to try and resolve the issue, to provide evidence that supports the objection at the time of submission, and an explanation that the CPM may reject the objection if all elements are not completed.
- [19] The SC:
- (1) *requested* the IPPC Secretariat to post the amended template on the IPPC website and ask contracting parties to use it should they wish to submit an objection (Appendix 04).
  - (2) *invited* the CPM Chairperson to allow sufficient time for the CPM to decide whether objections are accompanied by technical justification and suggestions for improvement of the draft ISPM.

#### *SPG: October 2017 meeting*

- [20] The SPG discussed several items of interest to the SC including:

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<sup>2</sup> Link to Standard Setting Unit staff (2017-06-20): <https://www.ippc.int/en/publications/2463/>

<sup>3</sup> 27\_SC\_2017\_Nov; link to Bureau reports (<https://www.ippc.int/en/core-activities/governance/bureau/>); link to SPG reports (<https://www.ippc.int/en/core-activities/governance/strategic-planning-group/>)

<sup>4</sup> 23\_SC\_2017\_Nov

- [21] **IPPC strategic framework 2020-2030.** A draft Strategic Framework<sup>5</sup> was discussed by the SPG and will be presented to CPM-13 (2018). SC members were encouraged to review the draft presented to CPM and provide comments via their CPM representative.
- [22] **Sustainable Funding.** The SPG decided that the sustainable funding proposal should be rewritten.
- [23] **ePhyto project.** The pilot phase of the ePhyto HUB project is now operational and secure and countries are exchanging information. The Bureau had agreed that the SC should provide oversight of development and approval of a list of commonly traded products. Discussion on this process is covered at Agenda item 10.2.
- [24] **Call for topics: standards and implementation.**
- [25] The FG to develop the process and criteria for a joint call for phytosanitary issues was composed of representatives from the SC, the IC, the Bureau and the Secretariat. The FG developed criteria based on the existing criteria for standard setting with modifications to make them applicable for topics for both standards and implementation. A flow chart of the process was developed, which included a new Task Force to review submissions and develop recommendations for the SC and IC. It was proposed that a call could take place every three years and the process could start in November 2018.
- [26] The SPG reviewed the outcomes of the FG and requested further work on the paper. The proposed Task Force could work via virtual meetings and the process would require the active participation of the Chairs of the SC and IC. The SPG noted that priorities would be given to topics with the largest global impact and the relation to trade was also emphasized. The SPG considered the call would be a great opportunity to increase the cooperation between the SC and IC and suggested that both bodies should also be able to submit topics that had been identified through other tools such as the IRSS survey or discussions at workshops. The process should help identify whether a standard or a manual would be the best way to address an issue and, if necessary, which should be developed first. The SPG also recommended that there were Secretariat-wide work plans with clearer linkages between standards and their implementation tools.
- [27] The Bureau will consider a revised proposal and Terms of Reference for the Task Force at their meeting in December and will present them to CPM-13 (2018). The SC welcomed the development as it should strengthen their relationships with the IC.
- [28] The SC:

(3) *noted* the updates on items arising from governance bodies.

### **IC interactions**

- [29] The SC discussed how it should interact with the IC and the issues that should be raised by the SC representative at the first meeting of the IC in December 2017.
- [30] One SC member noted that the IC already had an agenda item on implementation issues related to standards and suggested that discussion of implementation issues on newly adopted ISPMs (e.g. ISPM 38 (*International movement of seeds*) and ISPM 41 (*International movement of used vehicles, machinery and equipment*)) would be good topics for discussion. Another SC member suggested discussing the possibility of holding joint meetings of experts on specific topics.
- [31] The SC agreed that the following items should be raised as key initial areas for SC/IC interactions:
- Call for topics: standards and implementation
  - Holding back-to-back meetings
  - Joint work plans
  - Technical panels

<sup>5</sup> Draft Strategic Framework 2020-2030: <https://www.ippc.int/en/publications/84884/>

- Continuing to undertake IRSS general surveys
- Framework for standards and implementation.

### ***International Year of Plant Health (IYPH) Steering Committee update***

- [32] The SC deferred in-depth discussion on this Agenda item to the next SC meeting. The SC representative in the IYPH asked the SC members to consider the Secretariat update on this issue to support the proclamation of IYPH and encouraged SC members to promote the IYPH at national and regional events.

### ***TC-RPPOs update***

- [33] The Secretariat noted that discussions on how RPPOs could improve cooperation in the standard setting process had taken place at the TC-RPPO meeting in 2017. Details can be found in the report of this meeting, which will be available on the IPP.

### ***Sea Containers Task Force***

- [34] The SC deferred discussion on this Agenda item to the next SC meeting.

## **4.2 Briefings from IPPC Secretariat**

### ***Standard setting unit (SSU) / Presentation of the 2018 SSU work plan***

- [35] The Standards Officer gave an update on the SSU activities, including work on advocacy and publicity. He summarized the draft 2018 SSU work plan<sup>6</sup>. The agreed work plan will be available on the IPP<sup>7</sup>.
- [36] He noted that the standard setting process is lengthy and requires long-term support from sufficient skilled and experienced staff. He informed the SC that a project post to support report writing, publications and translations, and to lead the work of the Technical Panel on the Glossary (TPG) had been cancelled. Some SSU staff will be leaving in the next months. The publication and translation of ISPMs and CPM recommendations, including the Language Review Group process, will therefore be done centrally in the Secretariat and will no longer be responsibility of the SSU. Some other activities will be reduced, including cancelling of the 2018 TPG meeting, due to the lack of available experienced staff.
- [37] The Secretariat explained that an online registration system was being developed by the SSU with support from the Integration and Support Team (IST) to streamline administrative arrangements for meetings. A survey will be launched to provide feedback on the new standard setting pages on the IPP.
- [38] The SC was informed that Canada may have funds during 2018 for an Expert Working Group (EWG) on the topic *Audit in the phytosanitary context* (2015-014) if the specification is approved and the priority changed. He noted that audit is closely linked to the authorization of entities, which was considered by an EWG in 2017. Another SC member noted that the new FAO recruitment processes to fill in-kind contributions seemed very complex. The SC was concerned that the TPG was to be cancelled because this would result in a loss of input of key advice to the SC. SC members were encouraged to raise these issues with the Bureau members in their region.

### ***Update from the Implementation Facilitation Unit (IFU) and Integration and Support Team (IST)***

- [39] The Secretariat provided an oral update on their activities since the last SC meeting.
- [40] The IFU had organized three implementation meetings, seven IPPC regional workshops, the TC-RPPOs, and three PCEs. A new four-year project has been officially launched under the FAO-China South-South Cooperation project focused on phytosanitary capacity development. The first meeting of the Sea Containers Task Force, which the IPPC Secretary attended, was organized with the support of the IFU in Shanghai in November. The IFU organized the meeting of the FG on the call for topics:

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<sup>6</sup> 24\_SC\_2017\_Nov

<sup>7</sup> Link to the Standard Setting page of the IPP: <https://www.ippc.int/en/core-activities/standards-setting/>



standards and implementation (Agenda 4.1) and is currently organizing the first meeting of the IC to be held in December 2017.

- [41] The IST supported the strategic governance meetings (Agenda item 4.1) and, in relation to National Reporting Obligations, organized a workshop in the South West Pacific, published information material and is developing an e-learning tool. Regarding advocacy, six factsheets, the Secretariat Annual Report for 2016 and two videos were published, and three seminars on Plant Health and Trade Facilitation were held.
- [42] The Secretariat explained progress towards the proclamation of the IYPH. He noted that this needs the support of countries and requested SC members to be proactive in their countries and regions to solicit their support for the endorsement of the IYPH at the UN General Assembly in 2018. He also noted that there had been progress with Cooperation Agreements, including signing of a joint work plan for cooperation with the CBD.

### *Update on the IPPC Regional Workshops*

- [43] The Secretariat provided an update on the IPPC regional workshops<sup>8</sup>. Seven IPPC regional workshops had been organized involving 206 participants from 117 countries. The Secretariat has been standardizing arrangements and agendas, ensuring that all parts of the Secretariat and CPM bodies contribute topics for the agenda, and also that regional issues are discussed.
- [44] Having the involvement of SC members and Secretariat staff was considered valuable by IPPC regional workshop participants and the Secretariat is working to improve the IPPC regional workshops based on feedback. Some SC members made proposals, including: merging the Latin American and Caribbean workshops; scheduling meetings to maximize SC participation and not changing meeting dates without consultation; involving SSU staff at the IPPC regional workshops; ensuring there are follow up actions when regional pest issues are identified e.g. at the TC-RPPOs.
- [45] The Secretariat stressed the importance of participation by SC members, who should make the presentations on the draft ISPMs. The Secretariat expressed appreciation for the planning being done for the 2018 IPPC regional workshops and the SC was requested to consider topics for the agenda. The SC tentatively assigned SC members to participate as indicated in the table below.

Region	Tentative date	Tentative venue	SC Rep
Southwest Pacific	TBD	TBD	Mr Stephen BUTCHER
Latin America	27-31 August	Brazil	Ms Ana Lilia MONTEALEGRE LARA
Central and Eastern Europe and Central Asia	3-7 September	Moscow (Russia)	Mr Nicolaas Maria HORN
Caribbean	5-7 September	TBD	Mr Álvaro SEPÚLVEDA LUQUE
Near East and North Africa	10-13 September	Lebanon or Sudan	Ms Shaza OMAR
Asia	10-14 September	Seoul (Republic of Korea)	Mr Masahiro SAI
Africa	11-13 September	TBD	Mr David KAMANGIRA

<sup>8</sup> 11\_SC\_2017\_Nov\_Rev1

[46] The SC:

- (4) *noted* the updates from the Secretariat on standard setting, implementation facilitation, and integration and support.
- (5) *noted* the standard setting 2018 work plan (Appendix 05).
- (6) *noted* the update on the 2017 IPPC regional workshops.
- (7) *encouraged* all SC members to attend the 2018 IPPC regional workshops where possible.

## **5. Draft ISPMs for recommendation to CPM for adoption (from second consultation)**

### **5.1 Draft 2015 and 2016 amendments to ISPM 5 (Glossary of phytosanitary terms) (1994-001)**

[47] The Steward introduced the draft ISPM, the Steward's notes and responses to the compiled comments from second consultation<sup>9</sup>. There were 54 comments.

[48] The SC discussed the following issues.

[49] **“Contaminating pest”, “contamination” (revisions).** One comment had asked for the revision of the definition of “infestation (of a commodity)” (i.e. *“Presence in a commodity of a living pest of the plant or plant product concerned. Infestation includes infection”*) so that it explicitly would cover the presence of pests that are not only “in” but “on” a commodity, and so that “infestation” would not be defined only for “commodities”. This did not affect the proposed revised definitions of “contaminating pest” and “contamination”. Several SC members noted that pests could be in, on, or with commodities. The SC also noted that the term “infestation” could apply more broadly, but in these cases the common understanding of the word would apply. The SC did not feel there was an immediate need to consider this term further, but a proposal could be made to the SC in a discussion paper.

[50] **“Test” (revision).** A proposal to replace “or to determine compliance with phytosanitary regulations” with “or to determine compliance with specific phytosanitary requirements” was accepted because tests are usually targeted to a particular characteristic, e.g. the humidity of wood, and the new wording was therefore more specific and relevant. An SC member suggested broadening the term to be more comprehensive as in the definition of “visual examination”. However, the SC decided that it would not be possible to include all types of methods that could be used for tests in the definition.

[51] **“Quarantine” (revision).** One SC member proposed to add “potential regulated” before “pests”. The SC considered that this would limit the term and did not make any changes.

[52] **“Endangered area” (2014-009).** In their May 2017 meeting, the SC-7 had agreed with the TPG proposal to withdraw this term from the draft 2015 and 2016 Amendments. This was proposed because “endangered area” is defined in Article II of the IPPC and the original definition is not incorrect. The misunderstandings that the revision could address are not sufficiently important to merit an “agreed interpretation” of the term. Instead, the Explanatory document on ISPM 5 (the “Annotated Glossary”), note 1, will be adjusted to clarify that the term “endangered area” should not be misinterpreted to mean an environmentally protected area in the ecological conservation sense. A note to explain this had been added to the draft 2015 and 2016 Amendments submitted to the second consultation and no comment had been received on this issue.

[53] The SC:

- (8) *thanked* the previous and current Stewards for their efforts in developing this draft standard.

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<sup>9</sup> 1994-001, 18\_SC\_2017\_Nov, 19\_SC\_2017\_Nov

- (9) *recommended* the draft 2015 and 2016 amendments to ISPM 5 (*Glossary of phytosanitary terms*) (1994-001) as modified in this meeting for submission to CPM-13 (2018) for adoption (Appendix 06).
- (10) *deleted* the term “endangered area” (2014-009) from the *List of topics for IPPC standards*.

## 5.2 Revision of ISPM 6 (Surveillance) (2009-004), Priority 1

- [54] The Steward introduced the draft, the Steward’s notes and the responses to the compiled comments from second consultation<sup>10</sup>. There were 305 comments and many had been incorporated.
- [55] The SC discussed the following main issues.
- [56] **Harmonization of survey and specific protocols.** Some consultation comments called for more guidance on protocols or surveillance methodologies for different phytosanitary situations in appendixes or annexes to the ISPM or in manuals. The SC considered that harmonized guidance would be difficult to provide in the standard due to the number of possible options involved and the issue could be considered as an implementation issue.
- [57] **Data collection and reporting of the absence of pests.** Some comments had indicated that requirements for data collection and reporting of pest presence and absence were different. They had therefore proposed adding a list of requirements for data collection when determining pest absence.
- [58] An SC member explained that guidance on reporting of absence is not yet well developed. It is important to ensure that surveillance for pest absence is based on factors including pest biology, host distribution and environment. This provides evidence for importing countries that the surveillance data used for the determination of pest status when the pest is absent are robust. Other members supported the concept but noted that such considerations are also important for determining low pest prevalence.
- [59] The SC considered including relevant details on surveillance for pest absence in the revision of ISPM 8 (*Determination of pest status in an area*) and noted that ISPM 22 (*Requirements for the establishment of areas of low pest prevalence*) covers low pest prevalence. However, it was felt appropriate to include some guidance in this standard.
- [60] There were concerns about including a lot of new text and prescriptive requirements at this late stage. A sentence was therefore added requiring national plant protection organizations (NPPOs) to record all observations or samples, including when the pest was not found.
- [61] **Approaches to general surveillance.** A new bullet was added to recognize that in addition to cooperation with other government services to provide data for general surveillance, NPPOs may also cooperate with institutions that carry out research.
- [62] **Incentives for general surveillance.** The SC changed “incentives” to “mechanisms to facilitate reporting” to prevent confusion with financial incentives, and consequently replaced “mechanisms for collecting reports” to “tools for collecting reports”.
- [63] **Definition of detection survey.** The SC noted that detection surveys are normally used to determine pest presence and the Glossary definition does not refer to absence. Brackets were therefore added around the reference to pest absence.
- [64] **Area or site selection for specific surveillance.** The SC revised the list of elements that may be considered when selecting areas or sites for surveillance to include reference to proximity to points of entry and tourist activities, as these can be locations where pests may enter. These additions were linked with the concept of pathways and one SC member noted that there could be confusion about the use of the term pathway in relation to points of entry. This was clarified by revising the text.

<sup>10</sup> 2009-004, 30\_SC\_2017\_Nov, 31\_SC\_2017\_Nov

- [65] **Legal support for NPPO officers or other authorized personnel.** In relation to queries regarding the meaning of this concept, the SC considered that it related to the protection from being sued and simplified the text to clarify that officers and personnel should have the legal power, process and protection to undertake surveillance activities.
- [66] **Mandatory domestic reporting.** There was a suggestion to change “detection” to “identification” of pests, but it was explained that, for example growers would not be able to identify pests. One SC member noted that a mandatory requirement to notify the presence of pests new to an area, host or pathway could be a new concept for some contracting parties and could be an implementation challenge. Another member explained the challenges in her country. The SC considered removal of “mandatory”, but this was not accepted because it would weaken the requirements. The SC added “or suspected presence” after “detection” to take into account that the NPPO may need to confirm pest identity.
- [67] **Prioritization of surveillance - non-compliance of consignments.** There had been a proposal to add non-compliances as a factor for prioritization. The concept was broadened to clarify that surveillance might be prioritized when there are findings of a pest not previously known in an area (e.g. at export certification or notification by an importing country).
- [68] **Information management system.** The SC considered that the Information Management System was part of the supporting infrastructure and therefore adjusted the numbering and added a new box in Figure 1. Although Records could be considered as part of Documentation, moving this section would involve a major change. “Records” and “Analysis and Reporting” were therefore retained as separate sections.
- [69] **Pest Records.** A global change was made from “surveillance records” to “pest records” as a result of a comment. The term “surveillance records” is not defined in the Glossary, whereas “pest records” is defined and used in ISPMs and includes recording absence of pests. In cases where the meaning had changed, the SC adjusted the text.
- [70] **Minimum requirements for pest records.** The SC considered that it was not always appropriate to have minimum requirements for pest records from general surveillance, which may involve general gathering of data. The SC therefore clarified that the minimum requirements should be from specific surveillance, and from general surveillance wherever possible.
- [71] The SC discussed whether the taxonomic position of the pest should always be required for all pest records and agreed that it was always important to record as much detail as possible in pest records.
- [72] **Records of pest absence.** A proposal to include mandatory specific requirements for pest absence records was not included because the proposal was too specific, and these requirements were already captured in the standard.
- [73] The outline of requirements was modified to reflect the reorganisation of the sections of the standard.
- [74] The SC agreed that the nature of the changes made were not extensive and that a third consultation was not needed.
- [75] **Potential implementation issues.** The SC noted the following:
- **Protocols or survey methodologies for different phytosanitary situations.** Some contracting parties had called for further guidance. The SC noted that in the *Framework for Standards and Implementation, Specific guidance on surveillance for a pest or a group of pests* had been identified as a gap in the Implementation Standards – “how” column in relation to ISPM 6. The EWG had considered developing additional guidance in accordance with the specification, but felt it was too difficult due to the large number of situations (different countries, pests etc.). The SC therefore considered that the *Framework for Standards and Implementation* should be reviewed with this in mind, and it might be appropriate for the IC to consider the topic as a gap in implementation guidance. The SC noted there is an IPPC implementation pilot on surveillance and proposed that countries could be asked to share their protocols and methodologies on the

Phytosanitary Resources Pages (<http://phytosanitary.info/>). The SC felt that there may be a need for more guidance material for certain pests or circumstances. In addition, the SC felt that the IPPC Surveillance Manual may need to be reviewed once the revision of ISPM 6 has been adopted.

- **Mandatory requirement to notify the presence of pests new to an area, host or pathway.** There could be challenges for NPPOs when introducing this new requirement in their countries.
- **NPPO resources.** There was a concern that different organizational structures, infrastructure, technical, logistical, operational and budgetary resources of NPPOs may lead to implementation difficulties or phased implementation.
- **Undertaking specific surveys.** There could be issues, for example:
  - pest surveys for some hosts may be difficult due to the diversity of plant species in an area and the fact that some pests are considered host-specific.
  - when a previously unknown pest causes an outbreak on non-imported crops, the origin of the pest may be difficult to determine (e.g. an exotic pest or an indigenous pest causing an outbreak due to climate change).

[76] The SC:

- (11) *thanked* the previous and current Stewards for their efforts in developing this draft standard.
- (12) *recommended* the draft ISPM on *Surveillance* (2009-004) as modified in this meeting for submission to CPM-13 (2018) for adoption (Appendix 07).
- (13) *requested* the Secretariat to forward the implementation issues identified for this draft standard to the Implementation Facilitation Unit of the Secretariat for their consideration by the IC.

### 5.3 Requirements for the use of temperature treatments as a phytosanitary measure (2014-005), Priority 1

[77] The Steward introduced the draft, the Steward's notes and the responses to the compiled comments from second consultation<sup>11</sup>. He noted that 428 comments had been submitted and many had been incorporated.

[78] The SC discussed the following issues.

[79] **Consistency between draft standards on the requirements for the use of temperature and fumigation treatments as a phytosanitary measure.** There had been requests for consistency between the two draft treatment standards. The SC noted that the SC-7 had made efforts to align them and that the draft ISPM on the *Requirements for the use of fumigation treatments as a phytosanitary measure* (2014-004) would be aligned with any further changes to this standard.

[80] **Scope - Treatments not addressed by the standard.** Due to confusion about the treatments covered in the scope, the SC decided to delete the paragraph on exclusions.

[81] **Footnote 1.** Some contracting parties had considered that footnote 1 should not appear in the scope. The SC considered relocating it to the Background but noted that this footnote is normally placed only in annexes to ISPM 28 (*Phytosanitary treatments for regulated pests*). The SC therefore agreed to delete it.

[82] **Requirement that the temperature is attained throughout the commodity.** This statement was removed from the Background because in some cases it is only the surface that is treated.

[83] **Temperature mapping.** Additional wording was added to clarify that NPPOs can carry out temperature mapping and the factors to be considered.

[84] **Proposal to remove reference to monitoring the core temperature of the commodity for cold treatments.** Some comments had questioned the requirement to monitor the core temperature in cold

<sup>11</sup> 2014-005, 32\_SC\_2017\_Nov, 33\_SC\_2017\_Nov



treatments. They considered that during long-term (16-18 days) treatments the required temperature could be assured by monitoring air temperature, provided the whole load had attained the air temperature before the treatment started. However, some SC members stressed that placing sensors in the core of the commodity is a critical requirement for successful treatments and temperatures could be affected by commodity density and packing. They were concerned that this proposal would result in a significant change to the draft.

[85] **Sensor placement for hot water immersion.** The SC noted that submersion to a depth of ten centimetres was an example so agreed to replace it with the text “fully submerged”.

[86] **Responsibilities of NPPOs.** The text was clarified to state that when treatments are conducted or completed during transport the NPPO of the exporting country is usually but not always responsible for authorizing the entity.

[87] **Appendix 1.** Some comments had proposed that the appendix on Guidance for temperature treatment efficacy studies should be removed or moved to ISPM 28 (*Phytosanitary treatments for regulated pests*). The usefulness of the information was not questioned, but where it should be placed. The SC made improvements to the text based on the comments and considered that it should be included in the IPPC Procedure Manual for Standard Setting as a Technical Panel on Phytosanitary Treatments (TPPT) procedure. Similarly, the appendix on research protocols to the other draft ISPMs on treatment requirements would be dealt with in the same way.

[88] **Potential implementation issues.** The SC noted the following:

- There were many calls for further guidance on the use of temperature treatments, and specific requests relating to staff training, temperature mapping and its oversight by NPPOs and critical points for the approval of facilities (e.g. a checklist).

[89] The SC:

- (14) *thanked* the previous and current Stewards for their efforts in developing this draft standard.
- (15) *recommended* the draft ISPM on *Requirements for the use of temperature treatments as a phytosanitary measure* (2014-005) as modified in this meeting for submission to CPM-13 (2018) for adoption (Appendix 08).
- (16) *requested* the Secretariat to incorporate the text of Appendix 1 of the draft ISPM into the IPPC Procedure Manual for Standard Setting as a TPPT procedure.
- (17) *requested* the Secretariat to forward the implementation issues identified for this draft standard to the Implementation Facilitation Unit of the Secretariat for their consideration.

#### **5.4 Revision of Annex 1 and Annex 2 to ISPM 15, for inclusion of the phytosanitary treatment sulphuryl fluoride fumigation and revision of the dielectric heating section (2006-010A&B), Priority 2**

[90] The Steward introduced the draft, the Steward's notes and the responses to the compiled comments from the second consultation<sup>12</sup>. She noted that 95 comments had been submitted and many proposed improvements had been incorporated. The SC made adjustments to ensure consistency with the other text in ISPM 15 and discussed the following issues.

[91] **Use of “within a single 24 hours period” and “dosage” throughout the ISPM.** Two suggestions, to replace “over 24 hours” with “within a single 24 hours period”; and “dose” with “dosage” or “dose rate”, had been made for clarity and consistency. These should apply to the whole ISPM rather than just the text open for comment. The Secretariat noted that such comments are tracked and considered in future revisions of the ISPM.

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<sup>12</sup> 2006-010 A&B, 12\_SC\_2017\_Nov, 13\_SC\_2017\_Nov

[92] **Moisture content.** The SC agreed only to use the dry basis (75%) for moisture content rather than also adding the wet basis used in the underlying research for this treatment. The reason was explained in the TPPT 2016 report<sup>13</sup> as industry normally uses dry basis, and was for consistency with ISPM 28 Annex 22 (Sulfuryl fluoride fumigation treatment for insects in debarked wood) and Annex 23 (Sulfuryl fluoride fumigation treatment for nematodes and insects in debarked wood).

[93] **Dosage and minimum concentration in Table 4.** These are given in the same units (g/m<sup>3</sup>) but each measures a different thing. Two footnotes had been proposed but the SC did not consider they clarified these terms and therefore did not include them.

[94] **Fumigation enclosure.** For methyl bromide treatment there is a requirement for no more than 80% loading of the fumigation enclosure and it was proposed that this should also apply to sulphuryl fluoride fumigation enclosures. The SC therefore kept the same requirement as for methyl bromide for consistency.

[95] **Authorized entity.** There was a proposal to add the new term “authorized entity” in addition to “treatment provider” in the context of keeping records of treatments and calibrations for auditing. The SC agreed not to add the term, even if it is used in the draft on fumigation as phytosanitary measure.

[96] The SC:

- (18) *thanked* the previous and current Stewards for their efforts in developing this draft standard.
- (19) *recommended* the draft Revision of Annex 1 and Annex 2 to ISPM 15, for inclusion of the phytosanitary treatment sulphuryl fluoride fumigation and revision of the dielectric heating section (2006-010A&B) as modified in this meeting for submission to CPM-13 (2018) for adoption (Appendix 09).

## 6. Draft ISPMs for approval for the first consultation

### 6.1 International movement of grain (2008-007), Priority 1

[97] The Steward introduced the revised draft, Specification 60 and the Steward’s notes<sup>14</sup>. The standard had been re-drafted following comments from the SC May 2017, a small SC group and an online forum. An appendix had been added with a list of some major storage pests associated with grain. The Steward acknowledged the input from experts, SC members and the Secretariat. He reminded the SC that, as indicated in the Bureau update, commodity standards need to contain requirements.

[98] The Steward explained that there were two key concerns with the draft:

- exporting countries were concerned that importing countries were setting too stringent import requirements that were not technically justified given the relatively low pest risk and the end-use of grain;
- importing countries were concerned that grain poses a more serious pest risk than that suggested by exporting countries, but there was great difficulty in assessing this risk.

[99] He stressed the importance of wide discussions with industry to explain the aim of the draft ISPM, increase understanding of issues and alleviate industry concerns. SC members welcomed the work done to improve the draft, particularly the separation of industry activities from NPPO responsibilities.

[100] The SC discussed specific concerns including:

[101] **“Extraneous material”.** The Steward expressed that exporting countries consider this a quality issue while importing countries consider it a pest risk because it can contain regulated articles. It is difficult to conduct a pest risk analysis (PRA) for such material and this can result in low tolerances being set in phytosanitary import requirements, and consequently very different requirements for the same

<sup>13</sup> 2016 September TPPT meeting report, paragraph 36: <https://www.ippc.int/en/publications/83489/>

<sup>14</sup> 2008-007, Link to Specifications: <https://www.ippc.int/en/core-activities/standards-setting/approved-specifications/>, 14\_SC\_2017\_Nov

commodity. Some SC members stressed that grain was a low risk commodity and were concerned about the introduction in the draft of non-technically justified tolerances for such material. One member also noted the lack of clarity in the use of, and inclusion of, associated tolerances for weed seeds, regulated articles, and extraneous material.

[102] **“Grain import system”.** This is a new concept and some SC members were concerned about including requirements relating to grain import systems. The Steward explained that, although a manual could be produced on these systems, the concept had been included in order to address diversion from the intended use. It is the responsibility of the importing country to manage risks from material that has been imported, which should not be the responsibility of the exporting country. Moreover, in some parts of the draft, a grain import system was qualified as mandatory and in other parts it was suggested to be optional.

[103] **Traceability.** The EWG had identified that traceability was appropriate back to the consolidation stage of grain rather than to the production area. However, one SC member expressed the need to be able to trace back to growers or fields, which could be done through documentation and some contracting parties already include traceability to an area in their phytosanitary import requirements. Some SC members commented that traceability to a field or grower would not be possible and one SC member stated that traceability should be considered a tool to identify the origin, not a phytosanitary measure. Some SC members were concerned on the inclusion of requirements of traceability in the draft when the specification did not include traceability.

[104] **Pests.** The SC had recommended that the ISPM only refer to “quarantine pests” (QPs) rather than to “pests”. However, there are no internationally agreed QPs and the draft now refers to “potential quarantine or contaminating pests”. The Steward explained that the aim was to produce guidance that ensured that commodities could meet the import requirements of most importing countries without additional measures being applied. One SC member was concerned to ensure that the draft did not go beyond PRA-based phytosanitary import requirements. Another was concerned about the inclusion of “potential quarantine or contaminating pests” and considered this could hamper trade.

[105] **Exclusion of animal feed from scope.** The current draft excludes animal feed because it could pose higher pest risks compared to grain for processing or consumption. This is because animal feed (whole grain) can be used to feed animals in feed lots and fields. Some SC members were concerned about the exclusion noting that guidance is particularly needed for animal feed because of the high pest risks. Waste material from grain imports may be used for animal feed or as a fertilizer. One SC member noted that if the exclusion remains, the title should be changed for clarity to indicate it only covers grain for human consumption. One SC member indicated the exclusion of unprocessed grain for animal feed would cause confusion in the grain trade.

[106] One SC member highlighted that there was an opportunity now to do further work to support the draft, particularly on sampling of grain (e.g. harmonized sampling protocols for inclusion as annexes) and to address uncertainty about phytosanitary measures included in the draft (e.g. an expert group to discuss globally acceptable tolerances for extraneous material in grain). He suggested that the SC propose a new topic to CPM on sampling protocols for grain as annexes. Some SC members supported the need for harmonization on sampling protocols.

[107] The SC discussed the new approach taken in the draft on moving from PRA-based requirements for bilateral trade to globally agreed requirements bypassing PRA in order to facilitate multilateral trade. The SC determined that this new approach needed broader discussion and further guidance. Due to the number of issues still remaining with this draft and the challenges associated with development of commodity standards, several SC members proposed this would be a good discussion for CPM. A small group held a lunch time session to discuss the elements to be included in a discussion paper for the CPM Agenda item on Concepts and implementation issues related to draft standards. This paper would seek guidance on the following key issues:

- Do requirements in a commodity standard replace the need for a PRA?



- Does the CPM want the SC to develop commodity standards with a broad (e.g. cut flowers) or narrow (e.g. roses) scope, and are criteria needed for determining which to do (e.g. develop standards where they are required to facilitate trade)?
- Should commodity standards include lists of pests (i.e. mention specific pests)? If yes, what are the criteria for the inclusion of a pest?
- May commodity standards include requirements for the importing country (e.g. to address diversion from the intended use)?

[108] The SC:

- (20) *tasked* Mr Stephen BUTCHER and Ms Ana Lilia MONTEALEGRE LARA to draft a discussion paper on issues related to commodity standards for submission to the Bureau for the CPM Agenda item on Concepts and implementation issues related to draft standards by 1 December 2017.
- (21) *agreed* to defer further discussion on the draft until the May 2018 meeting after guidance had been given by CPM-13 (2018).

## **7. Draft specifications for approval for consultation**

### **7.1 Use of systems approaches in managing risks associated with the movement of wood commodities (2015-004), Priority 3**

[109] The SC agreed to consider the draft specification in an e-decision.

## **8. Draft specifications for approval**

### **8.1 Audit in the phytosanitary context (2015-014), Priority 2**

[110] The Steward introduced the draft specification, compiled comments (including Steward's response) and the Steward's notes<sup>15</sup>. There were 74 comments.

[111] A few contracting parties had stressed that the draft ISPM should avoid confusion with audits undertaken for quality or safety of plant products.

[112] Some contracting parties had questioned why audits of laboratories had not been included within the scope. It was noted that the ISO 17025 quality standard is often used for such audits. However, NPPOs may undertake audits of laboratories when they are involved in phytosanitary activities, e.g. clean plant health programmes for nursery stock. The SC therefore removed the exclusion of laboratories from the scope.

[113] One contracting party had proposed that the Purpose should clarify the processes involved in audits (including the physical audit, discussion of findings and reporting). The SC noted that these were elements of an audit, but decided not to provide a list of the different audit elements in the Purpose.

[114] Some contracting parties had pointed out that there were differences between an NPPO undertaking an audit in its own territory, which may involve audits of individual companies, and audits undertaken in another country. Task 3 was therefore amended to clarify this.

[115] One contracting party had proposed a new task on differentiating between audits and verification of compliance of consignments by the importing countries in exporting countries. However, the SC noted that this topic should not cover compliance of consignments. This is a bilateral arrangement that is already covered by Annex 1 of ISPM 20 (*Guidelines for a phytosanitary import regulatory system*). It was noted that sometimes when systems audits are being undertaken by an importing country in the exporting country, some compliance checking occurs and there can be confusion about responsibilities. The SC noted that this is an implementation issue.

<sup>15</sup> 2015-014, 09\_SC\_2017\_Nov, 05\_SC\_2017\_Nov

- [116] One contracting party had proposed a task on considering whether visits to an exporting country to establish phytosanitary import requirements is covered by the standards. The SC felt that this was already covered in task 3.
- [117] One SC member proposed deleting the task on describing the responsibility for financing audits. Another SC member noted that this was a major issue for countries and some harmonized guidance on responsibilities would be helpful. It was clarified that this referred to financing of audits in another country rather than in the territory of the NPPO. The SC acknowledged that financing of audits affects trade. The SC considered it might be possible to determine criteria for financing audits and adjusted the text accordingly.
- [118] A task was added on consideration of equivalent audit systems (e.g. Hazard Analysis and Critical Control Point (HACCP)-based systems or audits conducted by other NPPOs).
- [119] An additional task on maintaining the integrity of the audit system, conflicts of interest and confidentiality was included because these were important aspects relating to audits.
- [120] Regarding training of auditors, the SC changed the task to “requirements for approving and selecting auditors” because requirements for training could be covered in a training manual, whereas the approval and selection of auditors by NPPOs may be more relevant for an ISPM.
- [121] The SC:
- (22) *approved* Specification 66 *Audit in the phytosanitary context* (2015-014) as modified in this meeting (Appendix 10).

## **8.2 Revision of ISPM 12 (*Phytosanitary certificates*) (2015-011), Priority 2**

- [122] The SC agreed to consider the draft specification in an e-decision

## **8.3 Supplement on Guidance on the concept of the likelihood of establishment component of a pest risk analysis for quarantine pests (2015-010) to ISPM 11 (Pest risk analysis for quarantine pests), Priority 4**

- [123] The SC agreed to consider the draft specification in an e-decision

# **9. Standards Committee**

## **9.1 Follow-up on actions from the SC May 2017**

- [124] There were no comments on the report<sup>16</sup>.

### ***Revision of the Terms of Reference for the SC to align with those for the Implementation and Capacity Development Committee***

- [125] The SC discussed a paper with proposals for revision to the Terms of Reference and Rules of Procedure for the SC to align them with those for the IC<sup>17</sup>. The changes were to ensure that a representative of the IC could participate in SC meetings and an SC representative would be selected to attend IC meetings.
- [126] The SC clarified that the IC representative should be considered an important participant at the SC meeting, although not as a full member. The wording of the Terms of Reference was adjusted to reflect this.
- [127] One SC member supported the changes, but felt that a more detailed comparison with the Terms of Reference and the Rules of Procedure of the IC should have been done because there were differences between the way the IC was set up and will work and the SC. Another SC member felt that it would be

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<sup>16</sup> Link to the May 2017 SC Report: <https://www.ippc.int/en/publications/84388/>

<sup>17</sup> 25\_SC\_2017\_Nov

worthwhile to wait to see how the IC operates before making any further changes to the SC Terms of Reference and the Rules of Procedure.

[128] The SC:

- (23) *approved* the revised SC Terms of Reference and the Rules of Procedure as adjusted in the meeting;
- (24) *recommended* the revised SC Terms of Reference and the Rules of Procedure to the CPM for adoption (Appendix 11)

***Update on the reorganization of the fruit fly ISPMs***

[129] At CPM-12 (2017), the outstanding issue related to the reorganization of the fruit fly ISPMs was the integration of ISPM 30 (*Establishment of areas of low pest prevalence for fruit flies (Tephritidae)*) as an annex to ISPM 35 (*Systems approaches for pest risk management of fruit flies*). For COSAVE countries, it was important that ISPM 30 was maintained as an ISPM in order that an area of low pest prevalence for fruit flies (FF-ALPP) could continue to be recognized as a single phytosanitary measure for fruit fly risk management.

[130] To help resolve this issue, a virtual meeting of the small CPM-12 (2017) working group was held in September 2017 to discuss the reorganization of the fruit fly ISPMs. This group, led by COSAVE, involved participants from Australia, Israel and Japan who considered the issues raised at CPM-12 (2017). There was no agreement at this meeting and the Secretariat was requested to seek FAO legal advice.

[131] The FAO Legal Office explained that the incorporation of ISPM 30 as Annex 1 to ISPM 35 does not make the establishment of a FF-ALPP a mandatory requirement for the development of a systems approach, and would not preclude the use of FF-ALPP as a stand-alone measure if countries wished to do so. The Legal Office suggested to add a footnote to ISPM 35 to clarify that an FF-ALPP was not mandatory for a FF systems approach (FF-SA).

[132] One SC member introduced the paper summarizing the discussions prior to the SC meeting<sup>18</sup>.

[133] The SC members from COSAVE, in a compromise solution, agreed with moving ISPM 30 as an annex to ISPM 35 with a proposal to insert a sentence in line with that proposed by the FAO Legal Office, but in the main body of the ISPM 35 rather than as a footnote. Additional changes to the text presented to CPM-12 (2017) were also suggested.

[134] One SC member welcomed the compromise, which meant that the reorganization could take place, but was concerned because he considered that countries wanting to prevent the entry of fruit flies are unlikely to base their phytosanitary import requirements on a requirement for an FF-ALPPs as a single measure.

[135] The SC agreed with the proposal. It adjusted the text stating that FF-ALPP is not mandatory for a FF-SA, and deleted text that could be understood as implying that an FF-ALPP was a requirement for an FF-SA and text stating that an FF-ALPP is usually used for an FF-SA.

[136] The SC:

- (25) *agreed* to present the proposed reorganization of IPPC fruit fly standards as amended in the meeting to CPM-13 (2018).

***Promotional paper on positive impact of phytosanitary standards on international trade, poverty reduction and the phytosanitary situation globally - International Year of Plant Health***

[137] This Agenda item was deferred to the next SC meeting, but the SC requested the small working group (Mr Sam BISHOP (lead), Mr Jesulindo Nery DE SOUZA JUNIOR, Mr Nico HORN, Ms Shaza OMAR,

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<sup>18</sup> 16\_SC\_2017\_Nov

Mr Álvaro SEPÚLVEDA LUQUE, Ms Thanh Huong HA, Mr David KAMANGIRA and Mr Lupeomanu Pelenato FONOTI) to continue their work intersessionally.

***Public availability of documents: developing phytosanitary treatments (PTs) based solely on publicly available data***

- [138] The Steward of the TPPT introduced a paper<sup>19</sup>. This request from CPM-12 (2017) had been discussed by the Bureau in June and by the TPPT in July 2017. The Bureau will discuss it again in December 2017.
- [139] The TPPT agreed that the ideal situation is for treatments to be based on peer reviewed, published papers. However, even in such cases, the TPPT might receive the actual data and tables supporting the published paper, which are often not publicly available. It was also noted that if scientific papers that are available by subscription to a journal are made available by the IPPC, this could raise legal issues concerning copyright.
- [140] It was agreed that it was important to encourage submitters to release supporting information for the submissions in order to increase transparency and to avoid delay in adoption. The TPPT therefore now automatically requests the submitter to allow the release of any confidential data considered essential for the evaluation of the treatment once a draft PT is approved for consultation.
- [141] The TPPT had recommended maintaining the current policy of allowing access to meeting documents to only meeting participants. They had pointed out that if contracting parties are concerned about a draft PT they can request the release of the supporting data.
- [142] One SC member considered that SC members should be able to have access to the documents, particularly if there are problems with a draft PT. The Secretariat pointed out that the issue of access to documents had been discussed previously and there is a CPM decision on it<sup>20</sup>. Such documents often contain personal expert's views and do not represent a final consensus by the panel, but could be misinterpreted as containing TPPT positions. One SC member pointed out that technical panels work under the remit of the SC and that SC members are not specialists, but can request access to documents if necessary.
- [143] Another SC member welcomed the proposal to seek publication of the data prior to the consultation period and noted that it is important for stewards to have access to the data when responding to comments from contracting parties. She also called for timely availability of TPPT reports to allow for proper SC decisions.
- [144] The SC:
- (26) *agreed* to maintain the current policy of allowing access to meeting documents only to meeting participants.

***Guidelines for a consistent ISPM terminology***

- [145] The SC agreed to discuss this Agenda item in an e-decision.

## **9.2 Report of the SC-7 May 2017**

- [146] There were no comments on the report<sup>21</sup>.

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<sup>19</sup> 35\_SC\_2017\_Nov

<sup>20</sup> Section 4.4 of the Procedure Manual for Standard Setting: <https://www.ippc.int/en/core-activities/ippc-standard-setting-procedure-manual/>

<sup>21</sup> Link to the May 2017 SC-7 Report: <https://www.ippc.int/en/publications/84695/>

### ***Selection or reconfirmation of SC-7 members***

[147] The SC agreed that Mr Álvaro SEPÚLVEDA LUQUE and Mr Rajesh RAMARATHNAM would be the SC representatives for the SC-7 for their respective regions (Latin America and Caribbean and North America).

[148] The SC:

(27) *agreed* to the membership of the SC-7 as presented in the Participants list (Appendix 3)

### ***Major issues on draft ISPMs***

[149] The Steward of the draft ISPM on *Requirements for the use of fumigation treatments as a phytosanitary measure* (2014-004) noted that some of the issues identified in the comments from the first consultation<sup>22</sup> had been addressed during the discussion on the draft ISPM on *Requirements for the use of temperature treatments as a phytosanitary measure* (2014-005). If issues remained after the SC-7 meeting, these would be discussed by the SC at a future meeting.

[150] ***International movement of cut flowers and foliage*** (2008-005)

[151] The Steward of the draft ISPM presented the major issues identified in comments from the first consultation<sup>23</sup> and requested advice from the SC on how to redraft the standard for presentation to the SC-7.

[152] Some contracting parties had supported the draft, but others were concerned because of the lack of specific requirements. There had been a number of proposals including to: revise Specification 56 and change the draft to an annex of an existing ISPM; strengthen parts of the draft to make it a commodity standard; create a manual on how to undertake PRA for cut flowers; and remove the pest list. Two contracting parties called for deletion of the topic.

[153] One SC member pointed out that there were similar issues with this draft and other commodity standards, in particular whether the draft text should address “quarantine pests” or “pests”.

[154] The SC discussed whether there was a need to change the specification and refocus the tasks to concentrate less on pest risk analysis and in order to develop a commodity standard. One SC member pointed out that the specification focuses on pest risk analysis, whereas it is now under discussion whether commodity standards should include requirements.

[155] The SC held a lunch time session and discussed issues associated with this draft together with those on the draft grain standard (see Agenda item 6.1).

[156] The SC:

(28) *agreed* not to forward the draft to the SC-7 meeting in May 2018

(29) *agreed* to postpone further discussion of the draft until after guidance had been provided by CPM-13 (2018).

### **9.3 Summary on polls and forums discussed on e-decision site (from May 2017 to October 2017)**

[157] The Secretariat presented a summary of the polls and forums discussed on the SC e-decision site<sup>24</sup>. She noted that there had been eight forums and three polls.

[158] The SC noted that this had included approval of the draft PT: Vapour heat treatment for *Bactrocera dorsalis* on *Carica papaya* (2009-109) for adoption by CPM-13 (2018).

<sup>22</sup> 26\_SC\_2017\_Nov

<sup>23</sup> 17\_SC\_2017\_Nov

<sup>24</sup> 21\_SC\_2017\_Nov

[159] The SC:

- (30) *agreed* that the summary of SC polls and forums from May to November 2017 reflects the outcome of the e-decisions (Appendix 12).

## 10. Procedural issues

### 10.1 Revision of guidelines for expert drafting groups including EWGs and TPs

[160] This Agenda item was deferred to the next meeting of the SC.

### 10.2 Modifications to ISPM 12 (*Phytosanitary certificates*)

[161] An SC member introduced two papers relating to this issue<sup>25</sup>.

#### *ISPM 12 – Ink amendments related to ePhyto*

[162] The ePhyto hub and generic ePhyto national system (GeNS) are now being developed. Appendix 1 of ISPM 12 (*Phytosanitary Certificates*) describes the structure and content of electronic certificates based upon standardized codes and lists developed by various standard setting bodies engaged in electronic documentation. The lists linked to in Appendix 1 contain specific terms and elements used in phytosanitary certification.

[163] The ePhyto Steering Group (ESG) had reviewed the links in Appendix 1 and further standardized the lists and codes, and presented a number of ink amendments to Appendix 1 of ISPM 12 to the Bureau in October 2017. The Secretariat had pointed out the urgent need to amend the Appendix because countries are currently implementing the schema as part of the pilot of the ePhyto hub. The information contained in the Appendix is not a prescriptive part of the standard and the editorial text changes are intended to facilitate uniform implementation of electronic certification.

[164] The Bureau had agreed, in this exceptional circumstance, to request the Secretariat to immediately apply these ink amendments and inform the SC and the CPM.

#### *Oversight process for data associated with Appendix 1 of ISPM 12*

[165] The ESG had noted that there is no comprehensive list of all product descriptions used on phytosanitary certificates. Current lists cannot be complete, considering the wide range of globally traded plants and plant products that are accompanied by a phytosanitary certificate.

[166] The ESG therefore decided to make a wide inventory of terms used in phytosanitary certificates for the product descriptions next to the botanic name. This list is expected to be comprehensive, but not exhaustive. It will be checked for synonyms to help achieve harmonization.

[167] Regular updates of IPPC terms related to Appendix 1 of ISPM 12 will need to be made very quickly, especially for product descriptions. As the SC endorses the terms, SC procedures need to be suitably flexible and swift. The ESG had therefore proposed a process for making changes to the terms in Appendix 1. An SC member clarified that, once changes were needed, the ESG would make them immediately and make further revisions, if required, after the SC scrutiny.

[168] The SC:

- (31) *noted* the ink amendments applied to Appendix 1 of ISPM 12 (*Phytosanitary Certificates*) (Appendix 13) and *submitted* them to the CPM.
- (32) *approved* the process for changing IPPC terms used in ePhyto and associated with ISPM 12 *Phytosanitary certificates*, Appendix 1 (*Electronic phytosanitary certificates, information on standard XML schemes and exchange mechanisms*) (Appendix 14).

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<sup>25</sup> 22\_SC\_2017\_Nov, 34\_SC\_2017\_Nov



## 11. Technical Panels: urgent issues

### 11.1 Technical Panel on Phytosanitary Treatments (TPPT)

#### *Invited expert to the 2018 TPPT face to face meeting*

[169] The Secretariat informed the SC of the request of the TPPT for Mr Guy HALLMAN to participate as an expert at the 2018 face to face meeting because of his valuable expertise in phytosanitary treatments.

[170] The SC:

(33) *agreed* that Mr Guy HALLMAN be invited as an expert to the 2018 TPPT face-to-face meeting.

## 12. List of Topics for IPPC standards

### 12.1 Review and adjustments to the List of topics for IPPC standards

[171] The Secretariat informed the SC that the changes agreed during this SC meeting would be incorporated into the *List of topics for IPPC Standards*<sup>26</sup>.

[172] The SC agreed that the topic *Audit in the phytosanitary context* (2015-014) was urgently needed and should have a higher priority because audits are referred to in many other ISPMs.

[173] The SC:

(34) *recommended* that the priority for *Audit in the phytosanitary context* (2015-014) is changed from Priority 2 to Priority 1.

### 12.2 Adjustments to stewards

[174] The SC thanked the outgoing stewards and assistant stewards for their contributions. The SC reviewed the *List of topics for IPPC Standards*<sup>27</sup> and made modifications to stewards and assistant stewards for some topics:

[175] **Technical Panel on Diagnostic Protocols (2004-002).** Ms Jayani Nimanthika WATHUKARAGE was assigned assistant steward.

[176] **Technical Panel on Forest Quarantine (2004-004).** Mr Masahiro SAI was assigned assistant steward.

[177] **International movement of wood products and handicrafts made from wood (2008-008).** Mr Masahiro SAI was assigned assistant steward.

[178] **Revision of ISPM 15 (Regulation of wood packaging material in international trade): Criteria for treatments for wood packaging material in international trade (2006-010).** Mr Bruce HANCOCKS was assigned assistant steward.

[179] **Requirements for the use of chemical treatments as a phytosanitary measure (2014-003).** Mr David OPATOWSKI was assigned steward.

[180] **Revision of ISPM 4 Requirements for the establishment of pest free areas (2009-002).** Mr Bruce HANCOCKS was assigned assistant steward.

[181] **Requirements for the use of modified atmosphere treatments as a phytosanitary measure (2014-006).** Mr Nicolaas Maria HORN was assigned steward.

<sup>26</sup> Link to List of topics: <https://www.ippc.int/en/publications/84405/>

<sup>27</sup> 20\_SC\_2017\_Nov

### 13. SC recommendations for CPM-13 (2018) decisions and discussions (including proposals for discussions on concepts and implementation issues related to draft or adopted standards, special topics session and side-event)

[182] The Secretariat reminded the SC of their decision at the May 2017 SC meeting relating to the challenges associated with Next Generation Sequencing (NGS) technologies as a diagnostic tool for phytosanitary purposes. As the topic applied to diagnosis, but was also relevant for PRA and surveillance, the SC had considered that it should be brought to the attention of the CPM.

[183] The SC:

(35) *invited* the CPM to note the challenges associated with the use of the NGS technologies.

#### 13.1 Implementation issues raised at CPM-12 (2017) and at SC May 2017

[184] The SC agreed to discuss the implementation issues associated ISPM 41 (*International movement of used vehicles, machinery and equipment*) in an e-forum.

### 14. Agenda items deferred to future SC Meetings

[185] The following items were deferred:

- Updates on the IYPH (including development of a promotional paper)
- Updates on the Sea Containers Task Force
- Guidelines for expert drafting groups
- Implementation issues associated ISPM 41 (*International movement of used vehicles, machinery and equipment*).

#### 14.1 Future SC e-decisions

[186] The Secretariat stressed the need for all SC members to actively participate in SC e-decisions.

[187] The following SC e-forums are tentatively planned between SC November 2017 – SC May 2018:

- Guidelines for a consistent ISPM terminology

[188] DPs for approval for consultation period

- Begomoviruses transmitted by *Bemisia tabaci* (2006-023)
- *Candidatus Liberibacter* spp. on *Citrus* spp. (2004-010)

[189] DPs for approval for DP notification period

- Revision of DP 2: *Plum pox virus* (2016-007)
- *Bactrocera dorsalis* complex (2006-026)
- *Conotrachelus nenuphar* (2013-002)
- *Ips* spp. (2006-020)
- *Xylella fastidiosa* (2004-024)
- *Puccinia psidii* (2006-018)

[190] Draft specifications and draft ISPMs

- For consultation: the draft specification on *Use of systems approaches in managing risks associated with the movement of wood commodities* (2015-004)
- For approval: the draft specification on Revision of ISPM 12 (*Phytosanitary certificates*) (2015-011)
- For approval: the draft specification on *Supplement on Guidance on the concept of the likelihood of establishment component of a pest risk analysis for quarantine pests* (2015-010) to ISPM 11 (*Pest risk analysis for quarantine pests*).



## 15. Review of the Standard Setting Calendar

[191] The Secretariat recalled that the standard setting calendar is presented on the IPP<sup>28</sup>. He informed the SC of planned standard setting activities during 2018.

## 16. Any Other Business

[192] There was no other business.

## 17. Date and Venue of the Next SC Meeting

[193] The next SC meeting was scheduled from 14 to 18 May 2018 in Rome, Italy.

[194] The SC-7 will meet the following week, from 21 to 25 May 2018.

## 18. Evaluation of the Meeting Process

[195] The SC gave brief feedback on the meeting. Some SC members stressed the need to concentrate on core activities and focus on draft ISPMs. They requested that updates from the Secretariat are kept brief and provided in writing where possible to allow for proper consideration. The SC also felt that the lunch time session used for the IPPC seminar should have been used instead for SC business.

[196] The Secretariat requested SC members to contact them if training on a specific issue should be arranged during the next meeting.

[197] The Secretariat invited all SC members and observers to complete the evaluation of the meeting via the online survey by Friday, 07 December 2017.

## 19. Review and Adoption of the report

[198] The SC adopted the report.

[199] For ease of reference, a list of action points arising from the meeting is attached as Appendix 15.

## 20. Close of the meeting

[200] The SC Chairperson thanked the SC members and the Stewards for their hard work before and during the week. He also thanked the Rapporteur for her dedication and for accurately recording the SC decisions and the Secretariat staff for ensuring the smooth running and reporting of the meeting. He particularly acknowledged the work of the Standards Officer in successfully leading standards development. He also expressed appreciation for others who had contributed to the success of the meeting, including the interpreters and the messenger.

[201] The SC in return thanked the SC Chairperson for guiding the meeting throughout the week.

[202] The SC Chairperson closed the meeting.

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<sup>28</sup> Link to the IPP calendar: <https://www.ippc.int/en/year/calendar/>

**APPENDIX 1: Agenda**

AGENDA ITEM		DOCUMENT NO.	PRESENTER
<b>1.</b>	<b>Opening of the Meeting</b>		
1.1	Welcome by the IPPC Secretariat	---	XIA/ LARSON
<b>2.</b>	<b>Meeting Arrangements</b>		
2.2	Election of the Rapporteur	---	Chairperson
2.3	Adoption of the Agenda	01_SC_2017_Nov	Chairperson
<b>3.</b>	<b>Administrative Matters</b>		
3.1	Documents List	02_SC_2017_Nov	KISS
3.2	Participants List	03_SC_2017_Nov	KISS
3.3	Local Information	<a href="#">Link to local information</a>	KISS
3.4	Standard Setting Unit staff	<a href="#">Link to standard setting staff</a>	LARSON
<b>4.</b>	<b>Updates</b>		
4.1	<b>Items arising from governance bodies</b>		
	❖ CPM Bureau: June and October 2017 meetings	27_SC_2017_Nov <a href="#">Link to Bureau meeting reports</a>	VAN ALPHEN/ LARSON
	○ Draft template for objections	23_SC_2017_Nov	
	❖ SPG: October 2017 meeting	27_SC_2017_Nov	VAN ALPHEN/ LARSON
	○ Call for topics: standards and implementation	<a href="#">Link to SPG meeting reports</a> <a href="#">Link to the Framework for Standards and Implementation</a>	
	❖ IC interactions	<a href="#">Link to IC Agenda</a>	BISHOP
	❖ IYPH Steering Committee update		OMAR, DE SOUZA JUNIOR
	❖ TC-RPPOs update		LARSON
	❖ Update on the Sea Container Task Force		HORN
4.2	<b>Briefings from IPPC Secretariat</b>		
	❖ Standard setting unit (SSU)		LARSON
	○ Presentation of the 2018 SSU work plan	24_SC_2017_Nov	
	❖ Update from the Implementation Facilitation Unit (IFU) and Integration and Support Team (IST)		AL-DOBAI
	❖ Update on the Regional Workshops	11_SC_2017_Nov_Rev1	BRUNEL
<b>5.</b>	<b>Draft ISPMs for recommendation to CPM for adoption (from second consultation)</b>		

AGENDA ITEM		DOCUMENT NO.	PRESENTER
5.1	<b>Draft 2015 and 2016 amendments to ISPM 5 (<i>Glossary of phytosanitary terms</i>) (1994-001)</b> <ul style="list-style-type: none"> <li>- Steward: Ms Laurence BOUHOT-DELDUC</li> <li>❖ Compiled comments (including Steward's response)</li> <li>❖ Steward's notes</li> </ul>	1994-001  18_SC_2017_Nov  19_SC_2017_Nov	BOUHOT-DELDUC/ GERMAIN
5.2	<b>Revision of ISPM 6 (<i>Surveillance</i>) (2009-004), Priority 1</b> <ul style="list-style-type: none"> <li>- Steward: Mr Ezequiel FERRO</li> <li>❖ Compiled comments (including Steward's response)</li> <li>❖ Steward's summary and potential implementation issues</li> </ul>	2009-004  30_SC_2017_Nov  31_SC_2017_Nov	FERRO/ MOREIRA
5.3	<b>Requirements for the use of temperature treatments as a phytosanitary measure (2014-005), Priority 1</b> <ul style="list-style-type: none"> <li>- Steward: Mr Ezequiel FERRO</li> <li>❖ Compiled comments (including Steward's response)</li> <li>❖ Steward's summary and potential implementation issues</li> </ul>	2014-005  32_SC_2017_Nov  33_SC_2017_Nov	FERRO/ MOREIRA
5.4	<b>Revision of Annex 1 and Annex 2 to ISPM 15, for inclusion of the phytosanitary treatment sulphuryl fluoride fumigation and revision of the dielectric heating section (2006-010A&amp;B), Priority 2</b> <ul style="list-style-type: none"> <li>- Steward: Ms Marina ZLOTINA</li> <li>❖ Compiled comments (including Steward's response)</li> <li>❖ Steward's notes and potential implementation issues</li> </ul>	2006-010 A&B  12_SC_2017_Nov  13_SC_2017_Nov	ZLOTINA/ WLODARCZYK
6.	<b>Draft ISPMs for approval for the first consultation</b>		
6.1	<b>International movement of grain (2008-007), Priority 1</b> <ul style="list-style-type: none"> <li>- Steward: Mr Stephen BUTCHER</li> <li>❖ Specification 60 (for information)</li> <li>❖ Steward's notes</li> </ul>	2008-007  <a href="#">Link to Specification 60</a>  14_SC_2017_Nov	BUTCHER/ LARSON
7.	<b>Draft specifications for approval for consultation</b>		

AGENDA ITEM		DOCUMENT NO.	PRESENTER
7.1	<b>Use of systems approaches in managing risks associated with the movement of wood commodities (2015-004) Priority 3</b> <ul style="list-style-type: none"> <li>- Steward: Mr Jesulindo Nery DE SOUZA JUNIOR</li> <li>❖ Compiled comments from the SC OCS discussion (including Steward's responses)</li> <li>❖ Steward's notes</li> </ul>	2015-004  04_SC_2017_Nov_Rev  15_SC_2017_Nov	DE SOUZA JUNIOR/ WLODARCZYK
8.	<b>Draft specifications for approval</b>		
8.1	<b>Audit in the phytosanitary context (2015-014) Priority 2</b> <ul style="list-style-type: none"> <li>- Steward: Mr Álvaro SEPÚLVEDA LUQUE</li> <li>❖ Compiled comments (including Steward's response)</li> <li>❖ Steward's summary</li> </ul>	2015-014  09_SC_2017_Nov  05_SC_2017_Nov	SEPÚLVEDA LUQUE/ WLODARCZYK
8.2	<b>Revision of ISPM 12 (<i>Phytosanitary certificates</i>) (2015-011) Priority 2</b> <ul style="list-style-type: none"> <li>- Steward: Ms Laurence BOUHOT-DELDUC</li> <li>❖ Compiled comments (including Steward's response)</li> </ul>	2015-011  08_SC_2017_Nov	BOUHOT-DELDUC/ GERMAIN
8.3	<b>Supplement on Guidance on the concept of the likelihood of establishment component of a pest risk analysis for quarantine pests (2015-010) to ISPM 11 (<i>Pest risk analysis for quarantine pests</i>) Priority 4</b> <ul style="list-style-type: none"> <li>- Steward: Ms Marina ZLOTINA</li> <li>❖ Compiled comments (including Steward's response)</li> <li>❖ Steward's notes</li> </ul>	2015-010  06_SC_2017_Nov  07_SC_2017_Nov	ZLOTINA/ WLODARCZYK
9.	<b>Standards Committee</b>		
9.1	<b>Follow-up on actions from the SC May 2017</b>	<a href="#">Link to May 2017 SC report</a>	Chairperson
	❖ Revision of the Terms of Reference for the SC to align with those for the Implementation and Capacity Development Committee	25_SC_2017_Nov	SEPULVEDA LUQUE
	❖ Update on the reorganization of the fruit fly ISPMs	16_SC_2017_Nov	SEPULVEDA LUQUE, MONTEALEGR E LARA/ GERMAIN

AGENDA ITEM		DOCUMENT NO.	PRESENTER
	❖ Promotional paper on positive impact of phytosanitary standards on international trade, poverty reduction and the phytosanitary situation globally - International Year of Plant Health		BISHOP/ GERMAIN
	❖ Public availability of documents: developing phytosanitary treatments based solely on publicly available data	35_SC_2017_Nov	OPATOWSKI/ MOREIRA
	❖ Guidelines for a consistent ISPM terminology	10_SC_2017_Nov	BOUHOT- DELDUC/ GERMAIN
9.2	Report of the SC-7 May 2017	<a href="#">Link to SC-7 May 2017 meeting report</a>	HORN/ MOREIRA
	❖ Selection or reconfirmation of SC-7 members		
	❖ Major issues on draft ISPMs	26_SC_2017_Nov 17_SC_2017_Nov	OPATOWSKI/ MOREIRA MONTEALEGR E/ MOREIRA
9.3	Summary on polls and forums discussed on e-decision site (from May 2017 to October 2017)	21_SC_2017_Nov	KISS
<b>10.</b>	<b>Procedural issues</b>		
10.1	Revision of guidelines for expert drafting groups including EWGs and TPs	29_SC_2017_Nov	LARSON
10.2	Modifications to ISPM 12 (Phytosanitary certificates)		
	❖ ISPM 12 – Ink amendments related to ePhyto ❖ Oversight process for data associated with Appendix 1	22_SC_2017_Nov 34_SC_2017_Nov	HORN
<b>11.</b>	<b>Technical Panels: urgent issues</b>		
11.1	Technical Panel on Phytosanitary Treatments (TPPT) ❖ Invited expert to the 2018 TPPT face to face meeting		MOREIRA
<b>12.</b>	<b>List of Topics for IPPC standards</b>		
12.1	Review and adjustments to the <i>List of topics for IPPC standards</i>	20_SC_2017_Nov	WLODARCZYK
12.2	Adjustments to stewards		LARSON
<b>13.</b>	<b>SC recommendations for CPM-13 (2018) decisions and discussions</b> (including proposals for discussions on concepts and implementation issues related to draft or adopted standards, special topics session and side-event)		
13.1	Implementation issues raised at CPM-12 (2017) and at SC May 2017	28_SC_2017_Nov	SAI, FONOTI SEPULVEDA LUQUE / LARSON

AGENDA ITEM		DOCUMENT NO.	PRESENTER
14.	Agenda items deferred to future SC Meetings		Chairperson
15.	Review of the standard setting calendar	<a href="#">Link to the IPP calendar</a>	LARSON
16.	Any Other business		Chairperson
17.	Date and venue of the next SC Meeting		LARSON
18.	Evaluation of the meeting process	<a href="#">Link to survey</a> <sup>29</sup>	Chairperson
19.	Review and Adoption of the report		Chairperson
20.	Close of the meeting		Chairperson

<sup>29</sup> Link to survey on the evaluation of the meeting process: <https://www.surveymonkey.com/r/2017SCNov>

**APPENDIX 2: Documents list**

DOCUMENT NO.	AGENDA ITEM	DOCUMENT TITLE	LEVEL OF ACCESS	DATE POSTED / DISTRIBUTED
<b>Draft ISPMs</b>				
1994-001	5.1	Draft 2015 and 2016 amendments to ISPM 5 ( <i>Glossary of phytosanitary terms</i> )	SC, NPPOs and RPPOs	2017-10-25
2009-004	5.2	Revision of ISPM 6 ( <i>Surveillance</i> )	SC, NPPOs and RPPOs	2017-11-01
2014-005	5.3	<i>Requirements for the use of temperature treatments as a phytosanitary measure</i>	SC, NPPOs and RPPOs	2017-11-01
2006-010A & B	5.4	Revision of Annex 1 and Annex 2 to ISPM 15, <i>for inclusion of the phytosanitary treatment sulphuryl fluoride fumigation and revision of the dielectric heating section</i>	SC, NPPOs and RPPOs	2017-10-25
2008-007	6.1	Draft ISPM on <i>International movement of grain</i>	SC	2017-10-25
<b>Draft Specifications</b>				
2015-004	7.1	Use of systems approaches in managing risks associated with the movement of wood commodities	SC	2017-10-25
2015-014	8.1	Audit in the phytosanitary context	SC	2017-10-25
2015-011	8.2	Revision of ISPM 12 (Phytosanitary certificates)	SC	2017-10-25
2015-010	8.3	Supplement on <i>Guidance on the concept of the likelihood of establishment component of a pest risk analysis for quarantine pests</i> to ISPM 11	SC	2017-10-25
<b>Other Documents</b>				
01_SC_2017_Nov	2.3	Draft Agenda	SC, NPPOs and RPPOs	2017-10-27 2017-11-01
02_SC_2017_Nov	3.1	Documents List	SC	2017-10-27 2017-11-01
03_SC_2017_Nov	3.2	Participants List	SC, NPPOs and RPPOs	2017-10-27 2017-11-01
04_SC_2017_Nov_R ev1	7.1	Compiled comments with steward's responses - Draft specification <i>Use of systems approaches in managing pest risks associated with movement of wood commodities</i>	SC	2017-10-25
05_SC_2017_Nov	8.1	Steward's summary on draft specification for ISPM: <i>Audit in the phytosanitary context</i>	SC	2017-10-25

DOCUMENT NO.	AGENDA ITEM	DOCUMENT TITLE	LEVEL OF ACCESS	DATE POSTED / DISTRIBUTED
06_SC_2017_Nov	8.3	Compiled comments with steward's responses - <i>Supplement on guidance on the concept of the likelihood of establishment component of a pest risk analysis for quarantine pests</i> to ISPM 11	SC	2017-10-25
07_SC_2017_Nov	8.3	Steward's notes- <i>Supplement on guidance on the concept of the likelihood of establishment component of a pest risk analysis for quarantine pests</i> to ISPM 11	SC	2017-10-25
08_SC_2017_Nov	8.2	Compiled comments with steward's responses - <i>Revision of ISPM 12</i>	SC	2017-10-25
09_SC_2017_Nov	8.1	Compiled comments with steward's responses - Draft specification <i>Audit in the phytosanitary context</i>	SC	2017-10-25
10_SC_2017_Nov	9.1	Guidelines for a consistent ISPM terminology	SC	2017-10-25
11_SC_2017_Nov_R ev1	4.2	2017 IPPC regional workshops	SC	2017-10-25 2017-10-26
12_SC_2017_Nov	5.4	Compiled comments with steward's responses – Draft revision to Annex 1 and Annex 2 to ISPM 15 (2006-010A&B)	SC	2017-10-25
13_SC_2017_Nov	5.4	Steward's notes – Revision to Annex 1 and Annex 2 to ISPM 15	SC	2017-10-25
14_SC_2017_Nov	6.1	Steward's notes on draft ISPM: <i>International movement of grain</i>	SC	2017-10-25
15_SC_2017_Nov	7.1	Steward's notes on Draft specification <i>Use of systems approaches in managing pest risks associated with movement of wood commodities</i>	SC	2017-10-25
16_SC_2017_Nov	9.1	Update on the reorganization of the fruit fly ISPMs	SC	2017-10-26
17_SC_2017_Nov	9.2	Major issues on draft ISPMs – cut flowers and foliage	SC	2017-10-26
18_SC_2017_Nov	5.1	Compiled comments with steward's response - Draft 2015 and 2016 amendments to ISPM 5	SC	2017-10-26
19_SC_2017_Nov	5.1	Steward's notes - Draft 2015 and 2016 amendments to ISPM 5	SC	2017-10-26
20_SC_2017_Nov	12.1	Adjustments to the List of topics and the stewards	SC	2017-10-26
21_SC_2017_Nov	9.3	Summary of Standard Committee e-decisions	SC	2017-10-26
22_SC_2017_Nov	10.2	ISPM 12 – Ink amendments related to ePhyto	SC	2017-10-26
23_SC_2017_Nov	4.1	Draft template for objections to the adoption of ISPMs	SC	2017-10-26



DOCUMENT NO.	AGENDA ITEM	DOCUMENT TITLE	LEVEL OF ACCESS	DATE POSTED / DISTRIBUTED
24_SC_2017_Nov	4.2	Standard setting unit work plan 2018	SC	2017-10-26
25_SC_2017_Nov	9.1	Revision of the Terms of Reference for the SC to align with those for the Implementation and Capacity Development Committee	SC	2017-10-27
26_SC_2017_Nov	9.2	Major issues on draft ISPMs – Fumigation	SC	2017-10-27
27_SC_2017_Nov	4.1	Update from Bureau and SPG	SC	2017-10-27
28_SC_2017_Nov	13.1	Implementation issues raised at CPM-12 (2017) and at SC May 2017	SC	2017-10-27
29_SC_2017_Nov	10.1	Revision of guidelines for expert drafting groups including EWGs and TPs	SC	2017-10-27
30_SC_2017_Nov	5.2	Compiled comments with steward's responses on Draft Revision to ISPM 6 ( <i>Surveillance</i> )	SC	2017-11-01
31_SC_2017_Nov	5.2	Steward's notes on Draft Revision to ISPM 6 ( <i>Surveillance</i> )	SC	2017-11-01
32_SC_2017_Nov	5.3	Compiled comments with steward's responses on Draft ISPM temperature treatments as phytosanitary measures	SC	2017-11-01
33_SC_2017_Nov	5.3	Steward's notes on Draft ISPM temperature treatments as phytosanitary measures	SC	2017-11-01
34_SC_2017_Nov	10.2	Oversight process for data associated with Appendix 1 to ISPM 12	SC	2017-11-01
35_SC_2017_Nov	9.1	Public availability of documents: developing PTs based solely on publicly available data	SC	2017-11-01

IPP LINKS:	Agenda item
<a href="#">Link to Local Information</a>	3.3
<a href="#">Link to Standards Setting Staff</a>	3.4
<a href="#">Link to Bureau meeting reports</a>	4.1
<a href="#">Link to SPG meeting reports</a>	4.1
<a href="#">Link to IC Agenda</a>	4.1
<a href="#">Link to Specification 60</a>	6.1
<a href="#">Link to May 2017 SC report</a>	9.1
<a href="#">Link to SC-7 May 2017 meeting report</a>	9.2
<a href="#">Link to the IPP calendar</a>	15
<a href="#">Link to survey</a>	18

**APPENDIX 3: Participants list**

<b>Region / Role</b>	<b>Name, mailing, address, telephone</b>	<b>Email address</b>	<b>Membership Confirmed</b>	<b>Term expires</b>
Africa Member	<b>Ms Alphonsine LOUHOARI TOKOZABA</b> Ministère de l'Agriculture et de l'Elevage, 24, rue Kiélé Tenard, Mfilou, Brazzaville, <b>REPUBLIC OF CONGO</b> Tel: +242 01 046 53 61 Tel: +242 04 005 57 05	<a href="mailto:louhouari@yahoo.fr">louhouari@yahoo.fr</a> ; <a href="mailto:A.louhouaritoko@gmail.com">A.louhouaritoko@gmail.com</a> ;	Replacement member for Ms Nadia HADJERES CPM-10 (2015) 1st term / 3 years	2018
Africa Member SC-7	<b>Ms Esther KIMANI</b> Managing Director Kenya Plant Health Inspectorate Service- KEPHIS P.O. BOX 49592-00100, Nairobi <b>KENYA</b> Tel: (+254) 356171, Mobile: (+254) 0722 226 239	<a href="mailto:ekimani@kephis.org">ekimani@kephis.org</a> ;	CPM-9 (2014) CPM-12 (2017) 2nd term / 3 years	2020
Africa Member	<b>Mr David KAMANGIRA</b> Senior Deputy Director Department of Agricultural Research Services Headquarters, P.O. Box 30779, Lilongwe 3. <b>MALAWI</b> Tel: : +265 888 342 712 Tel: +265 999 122 199	<a href="mailto:davidkamangira1@gmail.com">davidkamangira1@gmail.com</a> ;	CPM-11 (2016) 1st term / 3 years	2019
Africa Member	<b>Mr Moses Adegboyega ADEWUMI</b> Head of Inspection Nigeria Agricultural Quarantine Service Plant Unit FAAN Headquarter Complex, Ikeja Lagos <b>NIGERIA</b> Tel: +234 -8033913847 / 8059607047	<a href="mailto:adegboyegamoses37@yahoo.com">adegboyegamoses37@yahoo.com</a> ;	Replacement member for Ms Alice Ntoboh Sibon NDIKONTAR CPM-10 (2015) 1st term / 3 years	2018
Asia Member	<b>Mr HERMAWAN</b> Centre for Plant Quarantine and Bio-Safety Indonesian Agricultural Quarantine Agency Ministry of Agriculture Jl. Harsono RM. 3 Pasar Minggu, Jakarta Selatan 12550 <b>INDONESIA</b> Tel: + 62 21 7816482 Fax: + 62 12 7816482	<a href="mailto:Hermawan1961@gmail.com">Hermawan1961@gmail.com</a> ;	CPM-11 (2016) 2nd term/3 years	2019

Region / Role	Name, mailing, address, telephone	Email address	Membership Confirmed	Term expires
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North America Member	<b>Ms Marina ZLOTINA</b> IPPC Technical Director USDA-APHIS, Plant Protection and Quarantine (PPQ) 4700 River Rd, 5c-03.37 Riverdale, MD 20737 <b>USA</b> Phone: 1-301-851-2200 Cell: 1 -301-832-0611	<a href="mailto:Marina.A.Zlotina@aphis.usda.gov">Marina.A.Zlotina@aphis.usda.gov</a> ;	CPM-10 (2015) 1st term / 3 years	2018
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IPPC Secretariat	<b>Mr Brent LARSON</b> Standards Officer	<a href="mailto:Brent.Larson@fao.org">Brent.Larson@fao.org</a>	N/A	N/A
IPPC Secretariat	<b>Ms Adriana MOREIRA</b> Support	<a href="mailto:Adriana.Moreira@fao.org">Adriana.Moreira@fao.org</a>	N/A	N/A
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*Members who did not attend*

Region / Role	Name, mailing, address, telephone	Email address	Membership Confirmed	Term expires
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Asia Member SC-7	<b>Ms Thanh Huong HA</b> Deputy Director of Plant Quarantine Division, Plant Protection Department 149 Ho Duc Di Street Dong Da district Hanoi City <b>VIET NAM</b> Tel: (+844) 35331033 Fax: (+844) 35330043	<a href="mailto:ppdhuong@yahoo.com">ppdhuong@yahoo.com</a> ; <a href="mailto:ppdhuong@gmail.com">ppdhuong@gmail.com</a> ;	CPM-7 (2012) CPM-10 (2015) 2nd term/3 years	2018



## APPENDIX 4: Template for objections to the adoption of international standards for phytosanitary measures (ISPMs)

*Note: This template (also available at <https://www.ippc.int/en/core-activities/standards-setting/member-consultation-draft-ispms/objections-draft-ispms-prior-cpm/>) should be used by contracting parties if they wish to submit an objection to the adoption of a draft International Standard for Phytosanitary Measures (ISPM), a draft Phytosanitary treatment (PT) or a draft Diagnostic protocol (DP).*

*The completed file should be submitted by the IPPC Official Contact Point of the Contracting Party submitting the objection, via e-mail to the IPPC Secretariat (ippc@fao.org) before the deadline set by the IPPC Secretariat (according to the IPPC Standard Setting Procedure, Step 7). Please name the file in the following manner: “Year\_OBJECTION\_Contracting Party\_Name of draft ISPM/PT/DP being objected to.doc”, prior to submitting to the IPPC Secretariat via e-mail.*

*Contracting parties should be aware that the Commission on Phytosanitary Measures (CPM) may reject the objection if all elements below are not completed.*

<b>CPM session / DP notification period:</b> <i>[insert the session and year of the relevant CPM session, or for DPs the dates of the notification period]</i>
<b>Submission of an objection to the adoption of the following draft ISPM, draft Phytosanitary treatment (PT) or draft Diagnostic protocol (DP):</b> <i>[Insert the title and topic number of the draft being objected to]</i>
<b>Contracting Party submitting the objection:</b> .....
<b>Date of submission:</b> .....
<b>Contact:</b> <i>[Insert the name and contact details of the IPPC contact point or another person who can be contacted to help resolve the issue before the CPM]</i>  Name: ..... Position and organization: ..... Mailing address: ..... ..... Phone: ..... Fax: ..... E-mail: .....
<b>Introduction:</b> <i>[Introduce the objection and list the concerns of the contracting party. Where appropriate, indicate what was done to try to have those concerns addressed before the submission of the objection.]</i>
<b>Technical justification to the objection:</b> <i>[Add text to technically justify the objection and provide evidence supporting the objection. Also refer to the Criteria to help determine whether an objection is technically justified (approved by CPM-8 (2013)) and available in the IPPC Procedure Manual for Standard Setting: <a href="https://www.ippc.int/en/core-activities/ippc-standard-setting-procedure-manual/">https://www.ippc.int/en/core-activities/ippc-standard-setting-procedure-manual/</a>)]</i>
<b>Suggestions for improvement of the draft ISPM / PT / DP:</b> <i>[Provide text suggestions to improve the draft ISPM / PT / DP in order to address the concerns raised in the objection. Indicate the next steps to be undertaken to seek agreement before the CPM, or for DPs before the next DP notification period.]</i>

## APPENDIX 5: Standard Setting Unit Work Plan for 2018 (2017-11)

[203] The standard setting work plan is developed based on the two main tools that show the status of standards and the planned work within standard setting, and these should be consulted for explanatory details:

(36) [The List of topics for IPPC standards \(LOT\)](#) which is updated after each Standards Committee (SC) meeting and which presents the status of each item as well as the CPM priority (considering also the additional guidance from CPM to give high priority for a draft ISPM that has been developed).

(37) [The calendar on the IPP](#) which shows all standard setting tentative and confirmed meetings for the next two years. It also shows the various times members are consulted (consultation on draft ISPMs and specifications, Expert consultations on draft diagnostic protocols (DPs), DP notification periods, etc.)

[204] Outputs from the standard setting work plan are published on the IPP<sup>30</sup>: adopted [ISPMs](#), [approved Specifications](#) and [approved Explanatory Documents](#), as well as meeting reports.

[205] More details on the processes and products that are under the responsibility of the Standard Setting Unit are presented below.

[206] In order to deliver this work plan, it is essential that the standard setting unit has adequate skilled staff. Current staff are indicated in the [linked chart \(2017-06\)](#). A vacancy announcement for a P2 project post in the standard setting unit (SSU) was issued earlier in 2016-17 to cover tasks related to the writing of meeting reports, the management of our complex publication processes for ISPMs and CPM recommendations, as well as the management of their translations as well as leading the work of the Technical Panel for the Glossary. However, the vacancy announcement was recently cancelled, leaving an unfilled gap. To help address the lack of adequate resources in the standard setting unit, the publication and translation of IPPC standards and CPM recommendations, including the LRG process, will be transferred to another unit in the Secretariat, and some other activities will need to be reduced.

[207] It should also be noted that in kind contributions and short term consultants and PSAs (Professional Service Agreements) are not secured for the entire year (2018). In addition, FAO recently changed rules and procedures related to their staffing process for consultants and PSAs and these changes are adding an administrative burden to the SSU.

[208] It is important to recall that the average time for the development of an ISPM is 7 years, a long process before its adoption; thus, experienced staff are needed on a long-term basis for the SSU to function efficiently.

[209] This paper firstly summarizes our main activities under three headings: Governance, Standard setting and Outreach and secondly it provides details on the tentative standard setting work plan for 2018.

### Governance and Management

[210] *Governance*: Main outputs include the oversight of the development of draft ISPMs for CPM-13 (2018) and preparation for CPM-14 (2019) including preparation of all standard setting related discussion papers; two meetings of the Standards Committee (SC) (May and November) and one SC-7 May meeting, all organized with outcomes processed, reports posted on the IPP and SC e-decisions processed.

### Standard Setting

[211] The major deliverables for the Standard Setting Unit in 2018 are the following (also see Appendix 1):

[212] *Identification and prioritization of topics*: Maintain the ongoing call for phytosanitary treatments (PTs) and process some of the previous and any future submissions; update the list of topics (LOT) in six

<sup>30</sup> Adopted ISPMs on the IPP: <https://www.ippc.int/en/core-activities/standards-setting/ispm/>

languages twice a year; Note that the call for topics for standards has been postponed until a call can be made for topics for both standards and implementation.

- [213] *Supporting the standard setting process:* Develop and maintain other documents and tools available as needed, such as the Procedure manual for standard setting, IPPC style guide, the Phytosanitary treatment search tool, etc.
- [214] *Drafting and expert input:* Support for one Expert Working Group (EWG for *Guidance on pest risk management* (2014-001), priority 2); support for technical panels with two face-to-face meetings organized (TPDP, TPPT). It should be noted that, due to the current lack of adequate resources mentioned above, a meeting of the TPG will not be planned for 2018, unless the appropriately skilled staff can be recruited early in 2018; intersessional support to technical panels as needed (follow-up with experts, TP e-decisions processed, approximately ten TP virtual meetings organized, when needed).
- [215] *Consultation:* Organize consultation processes on draft specifications and draft standards to ensure all the views of contracting parties, RPPOs and relevant international organizations are collected.
- [216] *Adoption:* Ensure draft standards are presented to CPM.
- [217] *CPM Recommendations:* Oversee the call and development of CPM Recommendations.

## Outreach

- [218] **Communications:** Implement the communication work plan for standard setting. Post ongoing news items and announcements.
- [219] **Phytosanitary treatment search tool:** Maintain the categorized list of treatments that feeds the search tool and update it according to available resources. Liaison with the TPPT for categorizing phytosanitary treatments adopted and those posted on the phytosanitary resource page for presentation to the Implementation and Capacity Development Committee (IC).
- [220] Organize and deliver one **IPPC regional workshops**.
- [221] Contribute to **resource mobilization, communication and advocacy** activities through participation in the IPPC Secretariat Task Forces for Resource Mobilization and for Advocacy and Communication.

## Details of the SSU tentative 2018 Work Plan

- [222] In this appendix abbreviated titles for topics are used for simplicity; full names are available on the LOT<sup>31</sup>. Where possible, numbers and titles of draft ISPMs going through different steps of the standard setting process are predicted, but these will depend on decisions made by CPM and the SC. In some cases, only approximate numbers are given.

### Draft ISPMs, specifications and expert input

#### Presented to CPM-13 (2018):

- 4 draft ISPMs for adoption: Amendments to ISPM 5, Revision of ISPM 15 (SF treatment and DH section), Revision of ISPM 6, Requirements for temperature treatments
- 1 draft PT for adoption: Vapour heat treatment for *Bactrocera dorsalis* on *Carica papaya*
- 2 DPs for noting as adopted by the SC on behalf of CPM: Tospoviruses, *Phytophthora*

#### Presented for first consultation (July-September):

- 4 draft ISPMs: Grain, Authorization of entities, Revision of ISPM 8, Requirements for modified atmosphere treatments
- 3 draft DPs: Begomoviruses, *Striga*, “Huanglongbing (HLB)”
- 1 draft specification: Use of systems approaches for wood

<sup>31</sup> LOT: <https://www.ippc.int/en/core-activities/standards-setting/list-topics-ippc-standards/>

Presented for second consultation (July-September):

- 2 draft ISPMs: Cut flowers, Requirements for fumigation, Amendments to ISPM 5

Presented for DP notification period (July-August):

- 6 draft DPs in January: *Bactrocera*, *Conotrachelus*, *Ips*, *Puccinia*, *Xylella*, Rev DP 2: PPV

Presented to expert consultation on draft DPs (March):

- 1 draft DP: *Striga*

Call for experts (Topic TBD)

Manage memberships of:

SC & SC-7 (25 members), 5 TPs (~40 members), 11 EWGs (~70 members), ~100 DP authors,

Organize meetings (organization, liaison, document preparation and meeting reports) and e-decisions

- SC May (interpreted into 3 FAO languages)
- SC-7 May
- SC November (interpreted into 3 FAO languages)
- ~20 expected SC e-decisions
- TPDP February
- TPPT June
- 1 EWG (Pest risk management (priority 2))
- 10 virtual TP meetings (4 TPPT, 2 TPDP, 2 TPFQ)

Prepare Standard setting discussion papers for CPM, 4 Bureau meetings and SPG.

Prepare CPM recommendations call and papers for CPM and if needed the consultation process.

Contribute to Secretariat level activities and internal collaboration: IPPC Annual and mid-year reports and chronicles; Communication and Resource Mobilization; M&EIPPC Regional Workshops; implementation; resource mobilization, communication & advocacy, planning, budgeting & monitoring, 2018 theme “Environment Protection”, IYPH, etc.

Cooperate and liaise with Ozone Secretariat, CBD (GTI), IAEA, OIE, IMO, ILO, UNECE, WCO, international industry associations, ISF, ISO, Ozone Secretariat, IFQRG, PRMG, WCO, RPPOs as well as with FAO units and divisions (eg AGP, FOR etc)

Products:

- Draft ISPMs and CPM Recommendations submitted for translation and once adopted submitted for publication
- Specifications approved and submitted for publication
- IPPC Procedure manual for standard setting published annually (September)
- IPPC Style guide for standard setting documents updated and published as necessary
- *List of topics for IPPC standards* published biannually (after SC May and SC November)
- List of IPPC standards posted in all FAO languages once a year and additional two times in English
- IPP SSU web pages (~60 public pages reviewed and ~20 restricted area pages created and managed)
- Searchable PDF database updated tri-annually with ISPMs, specifications and meeting reports
- Online registration system is used and participants and membership managed.
- PT search tool updated as PTs – Annexes to ISPM 28 are adopted and phytosanitary treatments are included on the Phytosanitary Resources page
- Communication material: numerous news items, announcements and publications related to standard setting prepared
- Quality management: all standard operating procedures updated as necessary
- Training material developed or updated (e.g. “New SC members”)

## APPENDIX 6: Draft 2015 and 2016 amendments to ISPM 5: Glossary of phytosanitary terms (1994-001)

### Publication history

<b>Date of this document</b>	2017-11-15
<b>Document category</b>	Draft 2015 and 2016 Amendments to ISPM 5 ( <i>Glossary of phytosanitary terms</i> ) (1994-001)
<b>Current document stage</b>	From Standards Committee (SC) November 2017 to the Commission on Phytosanitary Measures (CPM) for adoption
<b>Major stages</b>	<p>CEPM (1994) added topic: 1994-001, Amendments to ISPM 5: Glossary of phytosanitary terms.</p> <p>2006-05 Standards Committee (SC) approved specification TP5</p> <p>2012-10 Technical Panel for the Glossary (TPG) revised specification</p> <p>2012-11 SC revised and approved revised specification, revoking Specification 1.</p> <p>2014-12 TPG drafted text (for draft Amendments approved by SC in 2015-05).</p> <p>2015-05 SC reviewed and approved for consultation.</p> <p>2015-12 TPG drafted text (for draft Amendments approved by SC in 2016-05).</p> <p>2016-05 SC approved for first consultation.</p> <p>2016-07 First consultation.</p> <p>2016-12 TPG reviewed consultation comments and adjusted the draft 2016 Amendments.</p> <p>The TPG recommended withdrawing the revision of “endangered area” from the draft 2016 Amendments because “endangered area” is defined in Article II of IPPC and the original definition is not incorrect. The misunderstandings that the revision could address are not sufficiently important to merit an “agreed interpretation” of the term. Instead, the Explanatory document on ISPM 5 (the “Annotated Glossary”), note 1, will be adjusted to clarify that the term “endangered area” should not be misinterpreted to mean an environmentally protected area in the ecological conservation sense.</p> <p>2017-05 SC-7 approved for second consultation.</p> <p>2017-10 Steward revised draft amendments based on comments.</p> <p>2017-11 SC reviewed and recommended the draft 2015 and 2016 Amendments to ISPM 5 to the CPM for adoption.</p>
<b>Notes</b>	<p>Note to Secretariat formatting this paper: formatting in definitions and explanations (strikethrough, bold, italics) needs to remain.</p> <p>“Kiln-drying” did not receive comments during first consultation and was therefore not open for comments in second consultation.</p> <p>2017-03-20 IPPC Secretariat corrected minor errors in the draft Amendments in consistency with TPG decisions.</p> <p><b>NOTE: The explanations for each proposal are presented only in the version of the draft Amendments presented to consultation and to the SC. For CPM, only the proposals will be presented. For full details on the discussions related to the specific terms, please refer to the meeting reports on the <a href="#">IPP</a>.</b></p>

## 1. ADDITION

### 1.1 “exclusion (of a pest)” (2010-008)

#### Proposed addition

<b>exclusion (of a pest)</b>	Application of <b>phytosanitary measures</b> to prevent the <b>entry</b> or <b>establishment</b> of a <b>pest</b> into an <b>area</b> [CPM, 2018]
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## 2. REVISIONS

### 2.1 “contaminating pest”, “contamination” (2012-001)

#### *Original definitions*

<b>contaminating pest</b>	A <b>pest</b> that is carried by a <b>commodity</b> and, in the case of <b>plants</b> and <b>plant products</b> , does not infest those <b>plants</b> or <b>plant products</b> [CEPM, 1996; revised CEPM, 1999]
<b>contamination</b>	Presence in a <b>commodity</b> , storage place, conveyance or container, of <b>pests</b> or other <b>regulated articles</b> , not constituting an <b>infestation</b> (see <b>infestation</b> ) [CEPM, 1997; revised CEPM, 1999]

#### *Proposed revisions*

<b>contaminating pest</b>	A <b>pest</b> that is carried by a <b>commodity</b> , <u>packaging</u> , conveyance or container, or present in a <u>storage place</u> and <u>that</u> , in the case of <b>plants</b> and <b>plant products</b> , does not <b>infest</b> <u>them</u> <del>these <b>plants</b> or <b>plant products</b></del> [CEPM, 1996; revised CEPM, 1999]
<b>contamination</b>	Presence of <u>a <b>contaminating</b> <b>pests</b></u> or <u>other unintended presence of a <b>regulated articles</b></u> in <u>or on</u> a <b>commodity</b> , <u>packaging</u> , <u>storage place</u> , conveyance, or container or <u>storage place</u> , <del>not constituting an <b>infestation</b> (see <b>infestation</b>)</del> [CEPM, 1997; revised CEPM, 1999]

### 2.3 “quarantine” (2015-002)

#### *Current definition*

<b>quarantine</b>	<b>Official</b> confinement of <b>regulated articles</b> for observation and research or for further <b>inspection</b> , <b>testing</b> or <b>treatment</b> [FAO, 1990; revised ISPM 3, 1995; CEPM, 1999]
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#### *Proposed revision*

<b>quarantine</b>	<b>Official</b> confinement of <b>regulated articles</b> , <b>pests</b> or beneficial organisms for <del>observation and research or for further <b>inspection</b>, <b>testing</b>, or <b>treatment</b></del> , <u>observation or research</u> [FAO, 1990; revised ISPM 3, 1995; CEPM, 1999]
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### 2.4 “test” (2015-003), “visual examination” (2013-010)

#### *Current definitions*

<b>test</b>	<b>Official</b> examination, other than visual, to determine if <b>pests</b> are present or to identify <b>pests</b> [FAO, 1990]
<b>visual examination</b>	The physical examination of <b>plants</b> , <b>plant products</b> , or other <b>regulated articles</b> using the unaided eye, lens, stereoscope or microscope to detect <b>pests</b> or <b>contaminants</b> without <b>testing</b> or processing [ISPM 23, 2005]

#### *Proposed revisions*

<b>test</b>	<b>Official</b> examination <u>of <b>plants</b>, <b>plant products</b> or other <b>regulated articles</b></u> , other than visual, to determine if <b>pests</b> are present, <del>or to identify <b>pests</b> or determine compliance with specific phytosanitary requirements</del> [FAO, 1990]
<b>visual examination</b>	<del>The physical examination of <b>plants</b>, <b>plant products</b>, or other <b>regulated articles</b></del> <u>using the unaided eye, lens, stereoscope or other optical microscope</u>

	to detect <del>pests or contaminants</del> without <del>testing</del> or processing [ISPM 23, 2005]
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### 3. DELETIONS

#### 3.1 “kiln-drying” (2013-006)

*Proposed deletion*

<b>kiln-drying</b>	A process in which <b>wood</b> is dried in a closed chamber using heat and/or humidity control to achieve a required moisture content [ISPM 15]
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#### 3.2. “pre-clearance” (2013-016)

*Proposed deletion*

<b>pre-clearance</b>	<b>Phytosanitary certification</b> and/or <b>clearance</b> in the <b>country of origin</b> , performed by or under the regular supervision of the <b>national plant protection organization</b> of the country of destination [FAO, 1990; revised FAO, 1995]
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**APPENDIX 7: Draft revision of ISPM 6: Surveillance (2009-004)****Status box**

This is not an official part of the standard and it will be modified by the IPPC Secretariat after adoption.	
<b>Date of this document</b>	2017-11-27
<b>Document category</b>	Draft revision of ISPM 6 ( <i>Guidelines for surveillance</i> (2009-004))
<b>Current document stage</b>	<i>From SC November 2017 to CPM-13 (2018)</i>
<b>Major stages</b>	<p>2009-11 Standards Committee (SC) recommended topic <i>Revision of ISPM 6 (Guidelines for surveillance)</i> be added to the work programme</p> <p>2010-03 CPM-5 added topic to the <i>List of topics for IPPC standards</i></p> <p>2014-05 SC revised and approved specification 61</p> <p>2015-09 Expert working group (EWG) started the revision of ISPM (meeting)</p> <p>2015-11 EWG finalized draft ISPM (virtual meeting)</p> <p>2016-05 SC revised and approved draft for first consultation</p> <p>2016-07 First consultation</p> <p>2017-05 SC-7 revised and approved draft for second consultation</p> <p>2017-07 Second consultation</p> <p>2017-10 Steward revised the draft based on consultation comments</p> <p>2017-11 SC revised in meeting and approved the draft for adoption by CPM</p>
<b>Steward history</b>	<p>2009-11 SC Mr John HEDLEY (NZ, Lead Steward)</p> <p>2013-05 SC Mr Bart ROSSEL (AU, Assistant Steward)</p> <p>2015-05 SC Mr Piotr WLODARCZYK (PL, Lead Steward)</p> <p>2015-11 SC Ms Esther KIMANI (KE, Assistant Steward)</p> <p>2016-05 SC Mr Ezequiel FERRO (AR, Lead Steward)</p>
<b>Notes</b>	<p>2015-11 EWG recommended the title change from “Guidelines for surveillance” to “National surveillance systems”</p> <p>2016-01 Edited</p> <p>2017-05 Edited</p> <p>2017-11 SC agreed change of title to “Surveillance”</p> <p>2017-11 Edited</p>

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## Adoption

[To be inserted following adoption]

## INTRODUCTION

### Scope

[223] This standard describes the requirements for surveillance, including the components of a national surveillance system.

### References

[224] The present standard refers to ISPMs. ISPMs are available on the International Phytosanitary Portal (IPP) at <https://www.ippc.int/core-activities/standards-setting/ispms>.

### Definitions

[225] Definitions of phytosanitary terms used in this standard can be found in ISPM 5 (*Glossary of phytosanitary terms*).

### Outline of Requirements

[226] Surveillance is one of the core activities of national plant protection organizations (NPPOs). It provides NPPOs with a technical basis for many phytosanitary measures; for example, phytosanitary import requirements, pest free areas, pest reporting and eradication, and pest status in an area.

[227] National surveillance systems relate to both general surveillance and specific surveillance. A national surveillance system comprises surveillance programmes and the infrastructure required to implement them. Surveillance protocols describe the methodology of surveillance, whether general or specific. Supporting elements to consider for a national surveillance system include phytosanitary legislation and policies, prioritization, planning, resources, documentation, training, auditing, communication and stakeholder engagement, pest diagnostics, information management systems and pest reporting.

## BACKGROUND

[228] Surveillance is essential in plant protection. Article IV of the IPPC prescribes general provisions for the organizational arrangements for national plant protection and specifically states that the responsibilities of an official national plant protection organization shall include “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)”. According to the same article the “designation, maintenance and surveillance of pest free areas and areas of low pest prevalence” are a responsibility of NPPOs. In addition, Article VII.2(j) specifies that “contracting parties shall, to the best of their ability, conduct surveillance for pests and develop and maintain adequate information on pest status”.

[229] Surveillance underpins several activities, including:

- the early detection of pests new to an area
- the compilation of host pest lists, commodity pest lists and pest distribution records (e.g. to support pest risk analysis and phytosanitary certification)
- the establishment and maintenance of pest free areas, pest free places of production, pest free production sites or areas of low pest prevalence
- the determination of pest status in an area
- pest reporting to other countries

- measuring changes in the characteristics of a pest population or pest incidence (e.g. for areas of low pest prevalence or for research)
- delimiting a pest population in an area
- eradication and pest management.

## IMPACTS ON BIODIVERSITY AND THE ENVIRONMENT

[230] This standard may contribute to the protection of biodiversity and the environment by helping countries develop systems to provide reliable and well-structured information on the presence, absence or distribution of pests in an area and information about hosts or commodities as pathways. These pests could include organisms relevant to biodiversity (e.g. invasive alien species).

## REQUIREMENTS

### 1. Components of a National Surveillance System

[231] A national surveillance system should be an integral part of a country's plant health system.

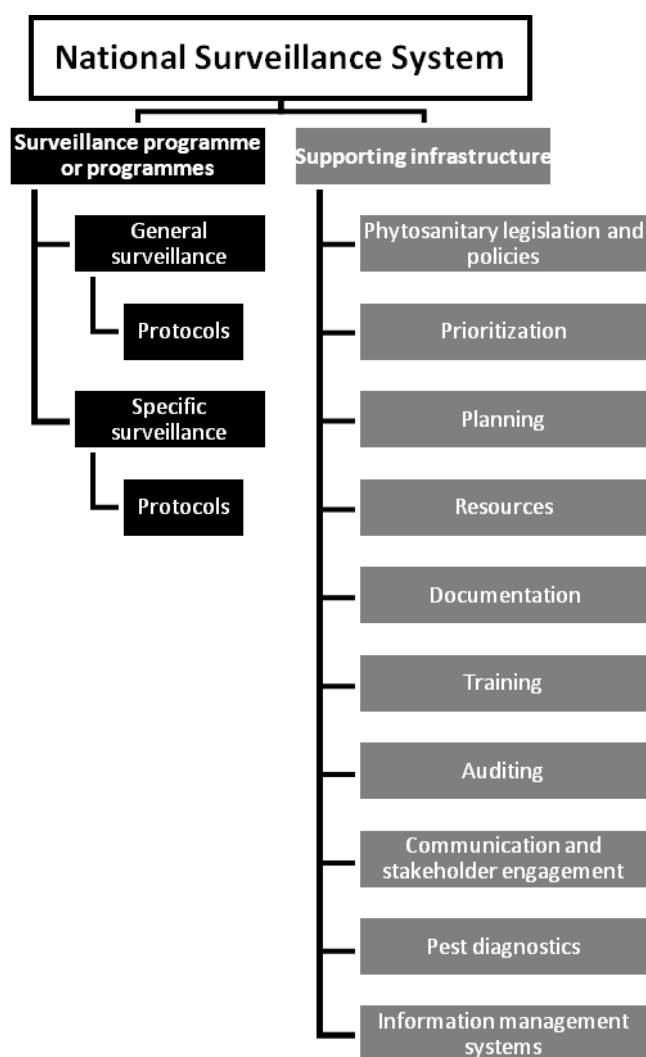
[232] A national surveillance system may be structured into programmes (e.g. for specific pest species or groups of pests) and should include the supporting infrastructure required to implement them (Figure 1 and section 3).

[233] Surveillance programmes may include the following types of surveillance:

- General surveillance: a process whereby information on pests of concern in an area is gathered from various sources. Sources may include national or local government bodies, research institutions, universities, museums, scientific societies (including those of independent specialists), producers, consultants, the general public, scientific and trade journals, unpublished data, and the websites of other NPPOs or international organizations (e.g. the IPPC, regional plant protection organizations, the Convention on Biological Diversity).
- Specific surveillance: a process whereby information on pests of concern in an area is obtained by the NPPO over a defined period. NPPOs actively gather specific pest-related data. Specific surveillance includes surveys that are conducted to determine the characteristics of a pest population or to determine which species are present or absent in an area.

[234] NPPOs should develop surveillance protocols describing how to conduct general and specific surveillance.

[235] Elements to be considered when an NPPO develops a national surveillance system are illustrated in Figure 1.



**Figure 1.** A model national surveillance system, comprising surveillance programmes (general and specific) and supporting infrastructure.

## 2. Designing Surveillance Programmes

- [236] Surveillance programmes should, as appropriate, be long term and regular with well-developed methodology, so that results may be compared and analysed. Surveillance programmes may include elements of general and specific surveillance (Figure 1). The methodology of surveillance should be described in surveillance protocols. The protocols developed by NPPOs should aim to achieve the purpose of the surveillance programme.
- [237] Surveillance protocols should provide clear instructions for carrying out a surveillance activity in a consistent manner that can be used by various operational personnel at different locations. Methods used in the surveillance protocols may be distinguished by, for example, the means by which data are collected, where the surveillance is carried out, the aim of the surveillance or whether the methods are focused on the pest, host or pathway.
- [238] Surveillance methods should be based on international or regional guidelines where they exist or be developed by the NPPO. Surveillance managers and officers should be aware of current methodologies associated with specific groups of pests and should ensure that the methods are used appropriately to deliver reliable surveillance outcomes.

[239] NPPOs may need to develop or adopt new methods for new or emerging pests. In all cases, surveillance methods should be based on relevant scientific, geographical and statistical information, and be operationally feasible.

## 2.1 General surveillance

### 2.1.1 Approaches to general surveillance

[240] NPPOs may use a range of approaches to general surveillance with varying degrees of involvement by the NPPO – from reports received by the NPPO to increasingly structured and targeted programmes run entirely by the NPPO. Examples of general surveillance approaches are listed below:

- receipt of reports from the general public (i.e. initiated by the public)
- scanning of sources of pest information
- general encouragement of public reporting through official channels (e.g. via a free call phone number in response to publicity about plant health or educating on the advantages of reporting pests)
- encouragement of public reporting on specific pests – this is useful where the target species is known and public awareness is already high (e.g. through the use of public awareness materials) and during known periods of high pest incidence (e.g. breeding seasons)
- encouragement of reporting by groups involved with specific crops (e.g. producers, community groups)
- involvement of specific groups in plant health activities organized by the NPPO to obtain surveillance data (e.g. scientific societies, plant health clinics and agricultural extension services)
- cooperation with other governmental services (e.g. forestry or environmental services)
- cooperation with institutions that carry out research
- general surveillance carried out by NPPO staff.

[241] NPPOs should take into account the following factors when developing approaches to general surveillance:

- costs and resource requirements are usually lower with less involvement of the NPPO
- good results are more readily achieved for easily noticed and recognizable pests (e.g. beetles and caterpillars) or symptoms
- detection of hidden pests (e.g. wood-boring beetles, or pathogens that are symptomless in some hosts) is usually less effective
- surveillance may not need to be restricted to a defined period
- the proportion of useful reports received is usually lower for less-structured or less-targeted programmes
- the usefulness of the information (e.g. pest diagnosis, monitoring methodologies) may depend on how current it is
- systems may be needed to manage large numbers of reports from general surveillance, in order to identify those which are relevant
- the validity of the data may need to be verified
- increasing the sensitivity and specificity of a general surveillance programme may result in higher costs.

[242] When conducting general surveillance, NPPOs should evaluate the reliability of the information, which depends on the source of the information (e.g. reports from the general public versus entomologists). Guidance on evaluating the reliability of a pest record is provided in ISPM 8 (*Determination of pest status in an area*).

### 2.1.2 Elements of general surveillance

[243] NPPOs should recognize that general surveillance can be an effective supplement to specific surveillance. For example, general surveillance can provide the context for undertaking specific surveillance to accurately determine the pest status in an area or site. The NPPO may also decide that the result of general surveillance is sufficient to determine the pest status.

[244] The elements of general surveillance may include:

- mechanisms to facilitate reporting:
  - legislative obligations (for the general public, growers or specific agencies)
  - cooperative agreements (between NPPOs and, for example, stakeholders or scientific societies)
  - the use of contact personnel to enhance communication channels to and from NPPOs
  - public education and awareness raising initiatives
- tools for collecting reports from the public:
  - publicly accessible free call phone numbers
  - systems for free delivery of samples
  - smartphone and mobile device applications (apps)
  - social media channels and e-mail
- systems or processes to enhance the quality of reporting:
  - a filtering process at the point of initial contact
  - the ability to send and receive images for initial identification
  - publicity material to allow submitters to self-filter (e.g. leaflets and websites with pest information and photos)
  - training for submitters
- means to consolidate, analyse and communicate the information gathered:
  - integrated national, regional or global databases and alert systems for emerging pests
  - spatial modelling tools embedded in web-based systems (e.g. geographical information systems)
  - mathematical and simulation models of data collected (e.g. Bayesian networks).

[245] NPPOs may encourage reporting by ensuring timely feedback (e.g. identification of specimens submitted) to those providing reports.

## 2.2 Specific surveillance

[246] Three types of surveys may be utilized by NPPOs depending on the objectives of the specific surveillance programme:

- detection survey: conducted in an area to determine if pests are present (or absent)
- delimiting survey: conducted to establish the boundaries of an area considered to be infested by or free from a pest
- monitoring survey: ongoing survey to verify the characteristics of a pest population.

[247] These surveys may be developed for pests in relation to one or more areas, sites, hosts, pathways or commodities and should include the collection of pest presence and absence records.

[248] The result of every observation or sample taken should be recorded, including when the pest was not found. Data on pest absence collected during surveys can be used by NPPOs to support a country's pest status and pest free areas, as well as its trade and market access.



[249] The most important factor for the validity of pest absence data is the design of the specific surveillance programme. Elements that should be considered in the design of specific surveillance programmes are presented in sections 2.2.1 to 2.2.9.

### **2.2.1 Purpose**

[250] The purpose of the surveillance should include background on the phytosanitary objectives and the reasons why the information is required (e.g. early detection, assurance for a pest free area, pest free production site or area of low pest prevalence, commodity pest list).

### **2.2.2 Scope**

[251] The scope describes the extent of the area to be covered by the surveillance, both geographically and in terms of the production system (whole or parts) or uncultivated area.

### **2.2.3 Target**

[252] The target of the surveillance should be described. The target may be a single or multiple pests, hosts, pathways or commodities, or a combination of any of these.

### **2.2.4 Timing**

[253] Timing may include the start and end of the survey and the frequency of visits by field personnel. These may be determined by, for example, the life cycle of the pest, the phenology of the pest's hosts or the scheduling of pest management programmes.

### **2.2.5 Area or site selection**

[254] Area or site selection may be determined by:

- any previously reported presence, distribution and resulting pest status of the pest
- the previously reported absence of a pest
- the undetermined pest status of an area
- the biology of the pest
- the suitability of the climate and other ecological conditions in the area for the pest
- the geographical distribution of host plants and production areas
- the degree of isolation of an area
- pest management programmes (at commercial and non-commercial sites)
- the points of consolidation, handling or storage of the harvested commodity
- proximity to:
  - points of entry (for pathways, including people)
  - sites where imported commodities are marketed, stored, processed or used as planting material
  - tourist activities.

[255] To achieve effective use of resources, surveillance for absent or recently intercepted pests (e.g. in a consignment) may best be concentrated on those places that are at higher risk of the primary spread of the pest.

[256] If the objective of surveillance is to delimit an outbreak, the area selection should be focused on the immediate surroundings of the known infested area and to sites of the same habitat type that, according to exercises of trace-forward and trace-back, may also have become infested. Surveillance that is focused on specific areas or sites within a larger area may be complemented by random sampling of sites in the whole area. For surveillance of pests that are widely distributed, a more systematic selection of sites over the whole area to be surveyed is more appropriate.

## 2.2.6 Statistical design

[257] NPPOs should define the population units (in the statistical sense) to be surveyed; that is, the population as a collection of similar units of concern. Defining the statistical population may be based on pest biology, a pathway or an entity upon which phytosanitary measures may be applied. The population unit may be of various types, for example:

- a geographical unit, comprising the area covered with a trapping grid
- a field planted with a host crop
- an individual host plant in an unmanaged or uncultivated area
- a storage facility.

[258] It is often not feasible to survey all units of an entire population. Therefore, NPPOs may decide to perform the surveillance on a sample taken from the population. The five most common sampling methods, which may be applied alone or in combination, are:

- simple random sampling
- systematic sampling
- stratified sampling
- cluster sampling
- targeted sampling.

[259] Statistical sampling methods described in ISPM 31 (*Methodologies for sampling of consignments*) or other appropriate methods should be used as appropriate. They are often used when the data captured are of a binary nature (presence/absence). The statistical analysis of the data should be based on an appropriate method and may require expert advice.

[260] NPPOs are encouraged to state the level of confidence and the minimum level of detection of the pest survey.

## 2.2.7 Data collection

[261] NPPOs should determine the data elements to be captured during surveillance and how these data will be transferred to the information management system (e.g. by the use of forms and electronic devices).

## 2.2.8 Biosecurity and sanitation

[262] When developing surveillance protocols, NPPOs should consider procedures to ensure that spread of pests is not facilitated during a survey.

[263] NPPO officers, or other personnel authorized to undertake surveillance, should follow any biosecurity procedures that are in place at facilities, places of production or sites being surveyed.

## 2.2.9 Samples

[264] The surveillance protocol should include a description of when and how samples are to be taken, collected, handled and prepared in order to ensure specimen integrity and preservation and timely delivery to the laboratory for diagnostic processing. Each sample should be given a unique identifier code (e.g. label, number or bar code) to enable tracking and follow-up from the point of collection in the field, through the stages of processing and identification, to storage in a formal reference collection, if applicable.

# 3. Supporting Infrastructure

## 3.1 Phytosanitary legislation and policies

[265] A national surveillance system should be supported by phytosanitary legislation and policies that ensure that authority, responsibilities and financial resources are assigned to the appropriate administrative levels.

[266] Contracting parties should include the following provisions in their phytosanitary legislation or in official procedures:

- the legal power, process and protection for NPPO officers or other authorized personnel to undertake surveillance activities, including entering premises or land to inspect plants, plant products or other articles that may be capable of harbouring pests, or to collect samples for testing
- the establishment and maintenance of facilities for diagnostics or appropriate access to up-to-date diagnostic services to ensure that pests are properly identified
- mandatory domestic reporting (e.g. by research institutions, diagnostic laboratories, non-governmental organizations, industry, growers, local government or scientific groups) to the NPPO on detection or suspected presence of:
  - targeted pests
  - pests new to an area, host or pathway.

[267] Surveillance policies should cover responsibilities related to administration, finance and governance within the NPPO, including funding for surveillance activities, procedures for surveillance deliverables and training and qualification of personnel.

### 3.2 Prioritization

[268] Priorities for surveillance may vary from country to country depending on the needs for surveillance information.

[269] Factors to consider when prioritizing surveillance programmes may include:

- impact of pests on crops and biodiversity
- existing national, bilateral, regional or international phytosanitary obligations and arrangements
- implementation of pest management programmes
- emerging pests at the local, national, regional or international level and potential benefits of their early detection
- whether surveillance is cost-effective
- the availability of the resources and methods required to implement a surveillance programme
- the quality and reliability of the expected surveillance results, given the required resource expenditure
- national lists of priority pests prepared using pest risk ranking methods or similar analytical techniques
- trade and market access
- foodsecurity
- findings of a pest in a consignment originating from an area where the pest was not known to be present (e.g. notification from trading partner or detection during export certification).

### 3.3 Planning

[270] Once priorities for surveillance have been established, NPPOs should develop plans for the implementation of surveillance programmes, taking into account phytosanitary legislation and policies.

### 3.4 Resources

[271] Surveillance should be adequately resourced with appropriate human, financial and physical resources. Diagnostic services resources are an essential part of a national surveillance system.

[272] Human resources may include personnel in administration, operations, technical functions, management and logistics. NPPOs should ensure that personnel are appropriately trained and qualified.

[273] Financial resources may be required for surveillance logistics and staff travel (e.g. transport costs, accommodation and meals), equipment purchase and maintenance, staff training, specimen processing and diagnosis, maintenance of an information management system, facility maintenance and emergency response expenses for unplanned surveillance activities.

[274] Physical resources may include field equipment (including personal protective equipment), vehicles, appropriate storage facilities and consumables used for carrying out surveys and monitoring, reference materials and other documentation, computers, georeferencing devices and other equipment for data input and storage, software for information management systems, staff uniforms (or valid identification) and materials for raising public awareness.

### 3.5 Documentation

[275] NPPOs should develop administrative procedures for maintaining official documentation, undertaking surveillance (including technical instructions in the form of surveillance protocols), and managing or having access to specimen collections. Documentation is essential for promoting consistency, improving interpretation and reliability of results, and facilitating audit and verification of activities under a national surveillance system.

### 3.6 Training

[276] Training, assessment and regular review of personnel involved in surveillance activities are integral components of a national surveillance system. NPPOs should develop and implement procedures to ensure that the competencies of staff are maintained.

[277] Personnel involved in surveillance activities should be adequately trained in plant health and related fields (including relevant pests, their biology, hosts and symptoms of infestation) and data management. Personnel should also be trained in biosecurity, sampling methods, handling of samples, preservation and transportation of samples for identification, and record keeping associated with samples.

[278] Training materials should be developed and updated regularly to ensure that the competencies of personnel are developed and maintained. Training and reference materials should be readily available to all personnel involved in surveillance activities.

### 3.7 Auditing

[279] NPPOs should conduct regular audits of their general and specific surveillance, including activities conducted by authorized entities, to ensure that activities are carried out in accordance with relevant surveillance protocols.

### 3.8 Communication and stakeholder engagement

[280] NPPOs are encouraged to engage through effective and timely communication with stakeholders and relevant experts on the design, planning, implementation and review of national surveillance systems, as well as on priorities for surveillance and on expected outcomes. Arrangements may include:

- internal communication within the NPPO (e.g. meetings, briefings, newsletters)
- external communication by the NPPO (e.g. official reporting, industry notices)
- formal stakeholder engagement (e.g. forums, newsletters, awareness raising and training initiatives)
- formal and informal national surveillance networks that develop and implement surveillance programmes, and their channels to communicate information to and from the NPPO.

### 3.9 Pest diagnostics

[281] Diagnostic services are fundamental to the success of a national surveillance system. NPPOs should ensure that appropriate diagnostic services are accessible. Some diagnostic protocols are available as annexes to ISPM 27 (*Diagnostic protocols for regulated pests*).

[282] Characteristics of the diagnostic services include:

- have expertise in disciplines relevant to pest (and host) identification
- have adequate facilities and equipment
- have access to specialists for verification where necessary
- have facilities for recordkeeping
- have facilities for processing and storing of reference specimens
- use standard operating procedures, where appropriate and available.

### 3.10 Information management systems

[283] Information management systems should be used as a repository or centralized database for all results obtained.

[284] Information management systems should be designed for the collection, consolidation, management, validation and reporting of surveillance data and information for analysis, including records of presence and absence of pests.

[285] It is critical that surveillance data and information are collected in a uniform manner to ensure their integrity from collection to reporting. NPPOs should develop and implement minimum data sets, for use across all surveillance programmes in accordance with section 4 of this standard. These data sets should form the basis of a surveillance information management system. Information management systems should ensure traceability of samples taken during surveillance activities. Data verification procedures should also be an integral element of information management systems.

[286] Information management systems should allow easy retrieval of data and information to meet national and international surveillance-related reporting requirements.

## 4. Pest Records

[287] NPPOs should determine how long pest records are required to be retained, taking into account that they may be needed to support declarations of pest status. For example, fruit fly absence pest records may be needed to support pest free areas for fruit flies in accordance with ISPM 26 (*Establishment of pest free areas for fruit flies (Tephritidae)*). Reference to the survey methodology used should be included in the pest records.

[288] Pest records from specific surveillance should include, as a minimum, the following information:

- scientific name and taxonomic position of the pest
- scientific name and taxonomic position of the host
- locality (e.g. location code, address, geographical coordinates)
- date of survey and name of surveyor
- identification date, method of identification and name of identifier.

[289] When relevant and available, the above information should be included in pest records from general surveillance.

[290] Pest records should also include, to the extent possible, the following information, especially if the presence of a quarantine pest is suspected:

- codes for pest and host scientific names (e.g. EPPO codes)
- verification date, method of verification and name of verifier
- references (e.g. diagnostic protocol used)
- phytosanitary measures taken.

[291] Additional information may be useful; for example, the nature of the pest and host relationship, pest incidence, the growth stage and the origin of the host plant affected, whether the host plant is grown

only in greenhouses in the area, the plant part affected or the means of sample collection (e.g. attractant trap, soil sample, sweep net).

[292] The NPPO should act as the national repository for pest records.

## **5. Analysis and Reporting**

[293] Tools such as spatial mapping (geographical information system), modelling and statistical analysis software can be used to manage surveillance data and to facilitate their presentation and reporting.

[294] The information to be reported will depend on the type of surveillance conducted. In all cases, reports should provide data on the target (pest, host, pathway or commodity of concern), the area covered, the number of observations or samples taken, the results obtained and, if appropriate, the statistical reliability.

[295] The means by which data are consolidated, analysed and reported may also be used to predict the probable behaviour of pests or vectors, including the probability of establishment and spread, in order to support decision-making on pest management and further surveillance.

## **6. Transparency**

[296] NPPOs should, on request, provide information on methods used to conduct surveillance and on pest status and distribution.

## APPENDIX 8: Draft ISPM: Requirements for the use of temperature treatments as phytosanitary measures (2014-005)

### Status box

This is not an official part of the standard and it will be modified by the IPPC Secretariat after adoption.	
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<b>Document category</b>	Draft ISPM
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## Adoption

[Text to this paragraph will be added following adoption.]

## INTRODUCTION

### Scope

- [297] This standard provides technical guidance on the application of various temperature treatments as phytosanitary measures for regulated pests on regulated articles. This standard does not provide details on specific treatments.

### References

- [298] The present standard refers to ISPMs. ISPMs are available on the International Phytosanitary Portal (IPP) at <https://www.ippc.int/core-activities/standards-setting/ispms>.

### Definitions

- [299] Definitions of phytosanitary terms used in this standard can be found in ISPM 5 (*Glossary of phytosanitary terms*).

### Outline of Requirements

- [300] This standard provides guidance on how temperature treatments may be used for pest management to comply with phytosanitary import requirements.
- [301] This standard provides guidance on the main operational requirements for the application of each type of temperature treatment to achieve pest mortality at a specified efficacy.
- [302] This standard also provides guidance on monitoring and recording systems and temperature mapping of facilities to ensure that the specific facility–commodity configuration will enable the treatment to be effective.
- [303] The national plant protection organization (NPPO) should be responsible for approving the treatment facilities, and procedures should be in place to ensure the accurate measuring, recording and documentation of treatments applied.

## BACKGROUND

- [304] Phytosanitary treatments based on temperature are considered to be effective when the specific temperature–time combination required for the stated efficacy to be achieved is attained.
- [305] The purpose of this standard is to provide generic requirements for the application of phytosanitary temperature treatments, specifically those adopted under ISPM 28 (*Phytosanitary treatments for regulated pests*).
- [306] ISPM 28 was adopted to harmonize effective phytosanitary treatments over a wide range of circumstances and to enhance the mutual recognition of treatment efficacy by NPPOs, which may facilitate trade. ISPM 28 provides requirements for submission and evaluation of efficacy data and other relevant information on phytosanitary treatments, and annexes with specific temperature treatments that have been evaluated and adopted by the Commission on Phytosanitary Measures.

## IMPACTS ON BIODIVERSITY AND THE ENVIRONMENT

- [307] The use of temperature treatments as phytosanitary measures has a beneficial impact on biodiversity and the environment by preventing the introduction and spread of regulated pests with the trade of plants and plant products.

## REQUIREMENTS

### 1. Treatment Objective

[308] The objective of using a temperature treatment as a phytosanitary measure is to achieve pest mortality (including devitalization of seeds as pests) at a specified efficacy.

### 2. Treatment Application

[309] Temperature treatments may be applied at any point along the supply chain, for example:

- as an integral part of production or packaging operations
- after packaging (e.g. once the commodity is packaged for dispatch)
- during storage
- immediately before dispatch (e.g. at centralized locations at a port)
- during transport
- after unloading.

[310] The requirement of a temperature treatment is that the scheduled temperature is attained throughout the commodity for the specified treatment duration, allowing the required efficacy to be achieved.

[311] Parameters to consider when implementing a temperature treatment are the temperature and duration of the treatment and, where applicable, the humidity of the treatment environment or moisture content of the commodity. The specified level for each parameter should be met to achieve the required efficacy.

[312] Packaging size and controlled atmospheres or modified atmospheres created by packaging may alter treatment efficacy. Packaging should allow the treatment to be properly applied throughout the load.

[313] Where the treatment specifies a minimum humidity level, impervious packaging must be removed, opened or adequately punctured to allow the humidity to reach the level required by the treatment.

[314] The treatment protocol should describe the process of pre- and post-conditioning to reach the required temperature and humidity, where these processes are critical to the treatment achieving the required efficacy while preserving commodity quality. The protocol should also include contingency procedures and guidance on corrective actions for treatment failures.

### 3. Treatment Types

#### 3.1 Cold treatment

[315] Cold treatment uses refrigerated air to lower the temperature of the commodity to or below a specific temperature for a specific period. Cold treatment is used primarily for perishable commodities that are hosts of pests that are internal feeders.

[316] Cold treatment may be applied during transport to the importing country (e.g. refrigerated cargo holds in vessels and refrigerated sea containers). The treatment may start before dispatch and be completed prior to or at the point of entry. Prior to beginning treatment, the commodity may be precooled to the temperature at which the commodity will be treated. Where applicable, mixed consignments (e.g. fresh lemon and orange fruits loaded in the same facility) may also be treated pre-dispatch or during transport. In all cases, the commodities should be protected from infestation throughout treatment, transport and storage. Cold treatment may be used in combination with chemical treatment (e.g. fumigation).

#### 3.2 Heat treatment

[317] Heat treatment raises the temperature of the commodity to the minimum required temperature or higher throughout a specific period.

[318] Following the completion of a heat treatment, rapid cooling to preserve commodity quality (when applicable) should be carried out only if this has been shown not to reduce the treatment efficacy.

[319] Heat treatment may be used in combination with chemical treatment, usually done sequentially (e.g. fumigation and immersion treatment).

### 3.2.1 Hot water immersion treatment

[320] Hot water immersion treatment (also known as hydrothermal treatment) uses heated water at a required temperature to heat the surface of the commodity for a specific period or to raise the temperature of the entire commodity to the required temperature for a specific period. This treatment is used primarily for certain fruits and vegetables that are hosts of fruit flies, but it may also be used for plants for planting (e.g. ornamental bulbs, grapevine material) and some seeds (e.g. paddy and ornamental palm seeds).

### 3.2.2 Vapour heat treatment

[321] Vapour heat treatment (VHT), including high temperature forced air (HTFA)<sup>32</sup>, uses water vapour to heat the commodity throughout a specific period. The high heat energy of hot moist air enables vapour heat to raise the commodity temperature faster than dry air.

[322] This treatment is suitable for those plant products that are tolerant of high moisture but are vulnerable to drying out, such as fruits, vegetables and flower bulbs. It is also used for the treatment of wood products.

[323] Variable humidity heat treatment is a type of VHT or HTFA. Hot and relatively dry fan-driven air is used initially, avoiding condensation, to heat the entire commodity from ambient temperature to the required temperature, which is then maintained in humid air, just below dew point, for a specific period.

### 3.2.3 Dry heat treatment

[324] Dry heat treatment uses heated air at the required temperature to heat the surface of the commodity or to raise the entire commodity to the required temperature for a specific period. This treatment is used primarily for commodities with low moisture content, such as seeds, grain and wood, that should not be exposed to moisture.

### 3.2.4 Dielectric heat treatment

[325] Dielectric heating raises the temperature of the commodity by subjecting it to high frequency electromagnetic waves that cause heating by molecular dipole rotation of polar molecules, especially water. Dielectric heating may be provided by the application of electromagnetic radiation over a range of frequencies, including microwaves and radio waves.

[326] Unlike traditional heating techniques, where heat moves via conduction from the surface to the inside of the commodity, and where therefore the surface is the hottest, dielectric heating generates heat throughout the material, including the internal part, and the heat propagates by convection and conduction outwards, reducing treatment time. The inside of the commodity tends to be hotter than the surface due to heat radiation.

[327] Dielectric heating has the potential advantage of selectively heating moist substances, such as pests, within relatively drier commodities, such as wood and grain, resulting in a shorter treatment time than if the entire commodity were heated with water or air until it reached a uniform temperature throughout.

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<sup>32</sup> The main distinction between VHT and HTFA relates to the moisture content of the heated air and the consequential heating. VHT typically uses air near saturation, which results in condensation of water on the commodity surface until the commodity surface temperature increases to near the air temperature, while during HTFA the dew point is always kept below the surface temperature of the commodity being heated resulting in no condensation.

## 4. Temperature and Humidity Calibration, Monitoring and Recording

- [328] Monitoring and recording equipment for temperature and humidity, when required, should be appropriate for the selected temperature treatment. The equipment should be evaluated for the accuracy and consistency of its measurement of temperature, humidity and duration of treatment.
- [329] To ensure that the required temperature, humidity and duration of treatment are achieved for a particular commodity, the temperature monitoring equipment should be calibrated in accordance with the manufacturer's instructions and international standards or appropriate national standards, at the temperature and humidity specified in the treatment schedule for heat treatments or in an ice slurry for cold treatments.
- [330] Temperature monitoring methods should consider the following factors in the commodity being treated: (1) density and composition (including insulative property of the commodity); (2) shape, size and volume; (3) orientation in the facility (e.g. stacking and spacing); and (4) packaging.
- [331] The NPPO of the country in which the treatment is initiated or conducted should ensure that monitoring and recording of temperature and humidity are properly conducted, thus allowing for verification that the treatment parameters have been met. The monitoring and recording system, number and location of sensors, and the frequency of monitoring (i.e. temperature and humidity readings) or recording should be appropriate for the specific treatment equipment, commodities, relevant technical standards and phytosanitary import requirements.

### 4.1 Temperature mapping

- [332] Temperature mapping should be conducted by the NPPO or an authorized entity (person or organization) of the country in which the treatment is initiated or conducted. The NPPO should ensure that the temperature mapping follows the approved procedures and is appropriate for:
- the packaging type
  - the arrangement and density of the commodity within the packaging
  - the load configuration to be used in the treatment facility
  - the type of treatment facility.
- [333] Temperature mapping studies should be conducted to characterize the temperature distribution within the temperature treatment facility and the commodity (in relation to the volume and arrangement of the commodity). Such information is used to identify where the temperature monitoring and recording devices should be placed during the application of a temperature treatment using the same facility and commodity configuration. Temperature mapping is not required for each consignment, as it is designed for each facility. Temperature mapping may rely on historical use of treatments for information on the configuration, arrangement and density of a facility or commodity. In other cases, based on recognized research, the positions of the sensors may be fixed. Temperature mapping may also be conducted regularly to check possible changes of temperature distribution over time. Independent temperature mapping for a partially filled treatment facility is required to determine whether the temperature distribution is significantly different from a filled facility and therefore whether the treatment needs to be adjusted accordingly.
- [334] Temperature mapping should be carried out following modifications or adjustments in equipment or processes that affect attainment of the required temperature for the treatment. Mapping should also be carried out following changes in packaging or pack configuration.

### 4.2 Sensor placement for temperature monitoring

- [335] When the core temperature of the commodity needs to be monitored during treatment, sensors should be placed into appropriate units of the commodity, with the exception of dielectric heat treatment where surface temperature is measured. In mixed commodities, sensors should be placed appropriately to allow monitoring of the different commodities to ensure that they have all reached the required temperature and met the temperature conditions throughout the treatment cycle.

- [336] Sensors should be placed in areas of the commodity that will take the longest time to reach the required core temperature (e.g. the centre of a bag in the centre bag of a pallet).
- [337] The sensor should be appropriately secured to the commodity so that it does not become dislodged and in a manner that does not interfere with heat transfer in and out of the commodity.
- [338] The sensor should be completely encased by the commodity to avoid false readings. Core sensors that are not completely encased should be sealed into the insertion holes using heat resistant, insulating filler.
- [339] Placing the sensor close to metal objects such as nails should be avoided, as heat transfer along the metal objects may interfere with the integrity of the temperature recorded by the core sensor.
- [340] For small commodities such as cherries and grapes, the sensor should be inserted through enough of the fruits to ensure that it monitors pulp temperature and not ambient air temperature.
- [341] For larger commodities, the sensors should be placed in the largest items, which may take the longest time to reach the required core temperature.

#### **4.2.1 Cold treatment**

- [342] Cold treatment requires:
- monitoring of the core temperature of the commodity
  - adequate air circulation to ensure that the required temperature is uniformly maintained.
- [343] The number of sensors required depends on factors such as the treatment schedule, commodity size, commodity type and the type of treatment facility. The number of sensors required to monitor the temperature of the commodity also depends on the temperature mapping and the size of the treatment facility.
- [344] Monitoring of the air temperature provides useful information for the verification of the commodity treatment, but not as a replacement for commodity temperature.
- [345] In the temperature treatment facility, at least three sensors should be used. The number of additional sensors should be adjusted to take into account factors such as the density and composition of the commodity, and the load configuration. Monitoring of the outlet air temperature may also be required.
- [346] Additional sensors may be installed in accordance with the mapping to compensate for possible sensor malfunction of one or more of the minimum required sensors.

#### **4.2.2 Hot water immersion treatment**

- [347] Hot water immersion treatment requires:
- monitoring of the water temperature
  - adequate water circulation to ensure that the required temperature is uniformly maintained
  - a means to ensure that the commodity is fully submerged.
- [348] Sensors should be fully submerged in the water to ensure that they can monitor the uniformity of the treatment temperature. Depending on the requirements of the treatment (e.g. whether it is the core temperature of the commodity or the water temperature that needs to be maintained at a specific temperature for a given time), commodity sensors may or may not be required. If they are required, the largest units of the commodity should be selected for sensor placement.

#### **4.2.3 Vapour heat treatment**

- [349] Vapour heat treatment requires:
- monitoring of the air temperature and humidity within the facility
  - monitoring of the core temperature of the commodity

- adequate circulation of vapour heated air to ensure uniformity of temperature and relative humidity in the facility.

[350] The number of sensors required depends on factors such as temperature mapping, commodity size and configuration and the type of treatment facility. The largest units of the commodity should be selected for sensor placement and the sensors should be placed in the coldest part of the commodity and the heat treatment facility, as identified by temperature mapping.

[351] The treatment schedule should include:

- (38) heat-up time (also known as run-up or ramp-up time): the minimum time allowed for all the temperature sensors to reach the required minimum temperature in the commodity
- (39) minimum air temperature and heating time: the maximum time to raise the room temperature to the minimum temperature required for the air in the facility
- (40) minimum commodity temperature at the end of heat-up time: the minimum temperature required for all commodity core temperature sensors
- (41) dwell time: the length of time all commodity temperature sensors must maintain the minimum core or pulp temperature and air temperature sensors must maintain the minimum air temperature
- (42) total heat treatment time: total time from the start of heating of the commodity to the end of dwell time
- (43) humidity control parameters during treatment
- (44) the type of post-treatment cooling (if appropriate).

#### 4.2.4 Dry heat treatment

[352] Dry heat treatment requires:

- monitoring of the air temperature and humidity in the facility
- monitoring of the core temperature of the commodity, when appropriate
- adequate circulation of air to ensure uniformity of temperature and relative humidity in the facility.

[353] In dry heat treatment schedules that specify air temperature and humidity requirements, air temperature should be monitored using temperature sensors (analogue or digital) and humidity should be monitored using wet and dry bulb thermometers or humidity sensors.

[354] Sensors should be located away from any heat source and as far from the wall of the treatment facility as possible or, alternatively, schedules may be developed based on a series of test treatments during which the temperature farthest from the wall of the facility has been measured and correlated with the temperature at the sensor location.

[355] Additional sensors may be installed to compensate for possible sensor malfunctioning.

[356] Dry heat treatment for nuts and seeds should have a minimum of three temperature sensors placed in the commodity at locations determined by temperature mapping studies.

[357] Where the treatment temperature is monitored using sensors inserted into the commodity, they should be suitable for measuring commodity core temperature. The overall number of sensors should be adjusted according to the treatment type, commodity type, commodity size and configuration, temperature mapping and the type of treatment facility. Monitoring the core temperature of the commodity, when appropriate, may provide additional information on the verification of dry heat treatment, compared to monitoring air temperature alone.

#### 4.2.5 Dielectric heat treatment

[358] Dielectric heat treatment requires monitoring of the temperature at the coolest region of the commodity.



[359] The nature of dielectric heating means that systems for monitoring and recording temperature need to be compatible with this technology. Examples include infrared cameras, temperature sensors not affected by the electromagnetic fields generated, thermocouples and fibre-optic sensors.

[360] Depending on the specific treatment to be applied to a particular commodity (e.g. whether the core or the surface of the commodity is the coolest region identified by temperature mapping), internal temperature sensors may be required as appropriate.

[361] Sensors should be positioned, according to approved procedures, to monitor the uniformity of the treatment temperature in the largest part of the commodity.

## **5. Adequate Systems for Treatment Facilities**

[362] Confidence in the adequacy of a temperature treatment as a phytosanitary measure is primarily based on assurance that the treatment is effective against the pest of concern under specific conditions and the treatment has been properly applied. Systems for treatment delivery should be designed, used and monitored to ensure that treatments are properly conducted and commodities are protected from infestation and contamination after treatment.

[363] The NPPO of the country in which the treatment facility is located or where treatments are initiated is responsible for ensuring that the system requirements are met.

### **5.1 Approval of facilities**

[364] Treatment facilities should be subject to approval by the NPPO in the country in which the facility is located before phytosanitary treatments are applied there. In cases where the treatment is applied during transport, the NPPO may approve the procedures for this application. NPPOs should maintain a list of approved facilities.

### **5.2 Prevention of infestation after treatment**

[365] The treatment facility should provide the necessary measures to prevent possible infestation or contamination of the commodity after treatment. The following measures may be required:

- keeping the commodity in a pest free enclosure
- packing the commodity immediately after treatment
- segregating and identifying treated commodities
- dispatching the commodity immediately after treatment.

### **5.3 Labelling**

[366] Commodities may be labelled with treatment lot numbers or other features of identification allowing trace-back for non-compliant consignments. The labels should be easily identifiable and placed on visible locations.

### **5.4 Monitoring and auditing**

[367] The NPPO of the country in which the temperature treatment is conducted is responsible for monitoring and auditing the application of phytosanitary treatments and the facilities within which the treatments are conducted. Continuous supervision of treatments should not be necessary provided that there is a system for continuous temperature monitoring and for ensuring the security of the facility, process and commodity in question. The monitoring and auditing should be sufficient to detect and correct deficiencies promptly.

### **5.5 Requirements for treatment facilities**

[368] Treatment facilities should meet the requirements specified by the NPPO. These may include the following elements:

- approval of the facility by the NPPO of the country in which the facility is located

- authorization of entities by the NPPO
- access for the NPPO of the country in which the facility is located to documentation and records of the treatment facility
- corrective action to be taken in cases of non-compliance.

## **6. Documentation**

[369] The NPPO of the country in which the treatment facility is located is responsible for ensuring that treatment providers keep appropriate records, such as raw data on temperature and humidity recorded during the treatment. Accurate record keeping is essential to allow for trace-back capability.

### **6.1 Documentation of procedures**

[370] Procedures should be documented to ensure that commodities are consistently treated, as required. Process controls and operational parameters should be established to provide the details necessary for a specific approval of a treatment facility. Calibration and quality control procedures should be documented by the treatment facility operator. As a minimum, they should address the following:

- commodity handling procedures before, during and after treatment
- orientation and configuration of the commodity during treatment
- critical process parameters and the means for their monitoring
- temperature calibration and recording and, where appropriate, humidity calibration and recording
- contingency plans and corrective actions to be taken in the event of treatment failure or problems with critical treatment processes
- procedures for handling rejected lots
- labelling (if required), record keeping and documentation requirements
- training of personnel.

### **6.2 Record keeping**

[371] Treatment facility operators should keep records for each treatment application. These records should be made available to the NPPO of the importing or exporting country when, for example, a trace-back is necessary.

[372] Appropriate records for temperature treatments as phytosanitary measures should be kept by the treatment facility for at least one year to enable the trace-back of treated lots. Information that may be required to be recorded includes:

- identification of facility
- commodity treated
- target regulated pest
- packer, grower and place of production of the commodity
- lot size and volume, including number of articles or packages
- identifying markings or characteristics
- date of treatment
- any observed deviation from the treatment schedule
- temperature, humidity (if required) and time recorded
- calibration data.

### **6.3 Documentation by the NPPO**

[373] All NPPO procedures should be appropriately documented and records, including those of monitoring inspections made and phytosanitary certificates issued, should be maintained for at least one year. In cases of non-compliance or new or unexpected phytosanitary situations, documentation should be made

available upon request as described in ISPM 13 (*Guidelines for the notification of non-compliance and emergency action*).

## **7. Inspection**

- [374] Inspection is carried out to determine compliance with phytosanitary import requirements. Where live non-target pests are found after treatment, the NPPO should consider if their survival indicates a treatment failure and whether additional measures may be necessary.
- [375] The NPPO of the importing country may inspect documentation and records for treatments conducted during transport to determine compliance with phytosanitary import requirements.

## **8. Responsibilities**

- [376] The NPPO of the country in which the temperature treatment is initiated or conducted is responsible for the evaluation, approval and monitoring of the application of temperature treatments as phytosanitary measures, including those performed by other authorized entities. However, when treatments are conducted or completed during transport, the NPPO of the exporting country is usually responsible for authorizing the entity applying the treatment during transport, and the NPPO of the importing country is responsible for verifying if the treatment requirements have been met.

**APPENDIX 9: [1] Draft revision of Annex 1 (Approved treatments associated with wood packaging material) and Annex 2 (The mark and its application) to ISPM 15 (*Regulation of wood packaging material in international trade*): inclusion of the phytosanitary treatment Sulphuryl fluoride fumigation and Revision of the dielectric heating section (2006-010A&B)**

<b>[2]Status box</b>	
<b>[3]</b> <i>This is not an official part of the standard and it will be modified by the IPPC Secretariat after adoption.</i>	
<b>[4]Date of this document</b>	<b>[5]</b> 2017-11-24
<b>[6]Document category</b>	<b>[7]</b> Draft revision of Annexes 1 and 2 to ISPM 15 ( <i>Regulation of wood packaging material in international trade</i> )
<b>[8]Current document stage</b>	<b>[9]</b> From Standards Committee (SC) November 2017 to CPM-13 (2018)
<b>[10]Major stages for the phytosanitary treatment Sulphuryl fluoride fumigation</b>	<p><b>[11]</b>2006-09 <i>Sulphuryl fluoride fumigation of wood packaging material treatment</i> (2007-101) submitted</p> <p><b>[12]</b>2006-12 Technical Panel on Phytosanitary Treatments (TPPT) reviewed treatment</p> <p><b>[13]</b>2007-07 Revised text considered by Technical Panel on Forest Quarantine (TPFQ)</p> <p><b>[14]</b>2007-12 Further revised text submitted to TPPT</p> <p><b>[15]</b>2008-12 TPFQ discussion</p> <p><b>[16]</b>2009-01 TPPT reviewed treatment</p> <p><b>[17]</b>2009-07 Amended text considered by TPFQ</p> <p><b>[18]</b>2010-07 Text updated and recommended to SC</p> <p><b>[19]</b>2010-09 TPFQ discussion</p> <p><b>[20]</b>2011-04 SC e-decision</p> <p><b>[21]</b>2011-05 SC via e-discussion returned to TPPT</p> <p><b>[22]</b>2011-07 TPPT revised text based on SC comments</p> <p><b>[23]</b>2011-10 TPPT reviewed treatment</p> <p><b>[24]</b>2012-02 TPFQ discussion</p> <p><b>[25]</b>2012-12 TPPT reviewed treatment</p> <p><b>[26]</b>2014-06 TPPT recommended treatment to SC for approval for consultation</p> <p><b>[27]</b>2014-09 SC approved for consultation via e-decision</p> <p><b>[28]</b>2014-11 SC agreed to split <i>Sulphuryl fluoride fumigation of wood packaging material</i> (2007-101) into two separate topics: <i>Sulphuryl fluoride fumigation of insects in debarked wood</i> (2007-101A) and <i>Sulphuryl fluoride fumigation of nematodes and insects in debarked wood</i> (2007-101B) and recommended to CPM to include a new topic: Revision of dielectric heating section (Annex 1 (<i>Approved treatments associated with wood packaging material</i>)) to ISPM 15 (<i>Regulation of wood packaging material in international trade</i>))</p> <p><b>[29]</b>2014-12 TPFQ reviewed the draft treatment <i>Sulphuryl fluoride fumigation of nematodes and insects in debarked wood</i> (2007-101B) for inclusion to ISPM 15 (2006-010A)</p> <p><b>[30]</b>2015-05 SC reviewed and approved draft revision to ISPM 15 in relation to topics 2006-010A and 2007-101B for consultation.</p> <p><b>[31]</b>2015-07 Consultation for draft ISPMs</p> <p><b>[32]</b>2016-01 TPFQ inputs to the draft and steward</p> <p><b>[33]</b>2016-05 SC-7 asked the TPPT to better assess the treatments</p> <p><b>[34]</b>2017-05 SC-7 2017-07 Second consultation 2017-10 Steward revised the draft based on consultation comments 2017-11 SC revised in meeting and approved the draft for adoption by CPM</p>
<b>[35]Steward's history</b>	<p><b>[36]</b>2006-05 SC: Mr Greg WOLFF (CA, Lead Steward)</p> <p><b>[37]</b>2010-04 SC: Mr Thomas SCHRODER (DE, Lead Steward)</p> <p><b>[38]</b>2011-11 SC: Mr Piotr WLODARCZYK (PL, Lead Steward)</p>

	<p>[39]2016-05 SC: Ms Marina ZLOTINA (US, Lead Steward)</p> <p>[40]2016-05 SC: Mr Ezequiel FERRO (AR, Assistant steward)</p>
[41]Major stages for the revision of the dielectric heating section	[42]2014-10 TPFQ reviewed draft treatment for <i>Heat treatment of wood using dielectric heating</i> (2007-114) and suggested changes to the dielectric heating section of Annex 1 to ISPM 15
[43]Secretariat notes	<p>[44]2015-02 This document combines two topics:</p> <p>[45]Inclusion of the phytosanitary treatment Sulphuryl fluoride fumigation of wood packaging material in Annexes 1 and 2 to ISPM 15</p> <p>[46]Revision of dielectric heating section (Annex 1 (<i>Approved treatments associated with wood packaging material</i>) to ISPM 15 (<i>Regulation of wood packaging material in international trade</i>)) (2006-010B)</p> <p>[47]Grey text was not open for comments and was only changed for consistency with the revised text, indicated in black.</p> <p>Edited 2017-11</p> <p><i>The text will be formatted after adoption.</i></p>

[48]This revised Annex 1 was adopted by the XXth Session of the Commission on Phytosanitary Measures in [month] [year].

[49]The annex is a prescriptive part of the standard.

#### [50]ANNEX 1: Approved treatments associated with wood packaging material (2013)

[51]The approved treatments may be applied to units of wood packaging material or to pieces of wood that are to be made into wood packaging material.

#### [52]Use of debarked wood

[53]Irrespective of the type of treatment applied, wood packaging material must be made of debarked wood. For this standard, any number of visually separate and clearly distinct small pieces of bark may remain if they are:

[54]- less than 3 cm in width (regardless of the length) or

[55]- greater than 3 cm in width, with the total surface area of an individual piece of bark less than 50 square cm.

[56]For methyl bromide and sulphuryl fluoride treatments, the removal of bark must be carried out before treatment as the presence of bark on the wood may affect treatment efficacy. For heat treatment, the removal of bark may be carried out before or after treatment. When a dimension limitation is specified for a certain type of heat treatment (e.g. dielectric heating), any bark must be included in the dimension measurement.

#### [57]Heat treatment

[58]Various energy sources or processes may be suitable to achieve the required treatment parameters. For example, conventional steam heating, kiln-drying, heat-enabled chemical pressure impregnation and dielectric heating (microwave, radio frequency) may all be considered heat treatments provided they meet the heat treatment parameters specified in this standard.

[59]NPPOs should ensure that treatment providers monitor the treatment temperature at a location likely to be the coldest, which will be the location taking the longest time to reach the target temperature in the wood, to ensure that the target temperature is maintained for the duration of treatment throughout the batch of wood being treated. The point at which a piece of wood is the coldest may vary depending on the energy source or process applied, the moisture content and the initial temperature distribution in the wood.

[60]When using dielectric heating as a heat source, the coldest part of the wood during treatment is usually the surface. In some situations (e.g. dielectric heating of wood of large dimensions that has been frozen and until the wood has thawed) the core may be the coldest part of the wood.

**[61] Heat treatment using a conventional steam or dry kiln heat chamber (treatment code for the mark: HT)**

[62] When using conventional heat chamber technology, the fundamental requirement is to achieve a minimum temperature of 56 °C for a minimum duration of 30 continuous minutes throughout the entire profile of the wood (including its core).

[63] This temperature can be measured by inserting temperature sensors in the core of the wood. Alternatively, when using kiln-drying heat chambers or other heat treatment chambers, treatment schedules may be developed based on a series of test treatments during which the core temperature of the wood at various locations inside the heat chamber has been measured and correlated with chamber air temperature, taking into account the moisture content of the wood and other substantial parameters (such as species and thickness of the wood, air flow rate and humidity). The test series must demonstrate that a minimum temperature of 56 °C is maintained for a minimum duration of 30 continuous minutes throughout the entire profile of the wood.

[64] Treatment schedules should be specified or approved by the NPPO.

[65] Treatment providers should be approved by the NPPO. NPPOs should consider the following factors that may be required for a heat chamber to meet the treatment requirements:-

[66]- The heat chamber is sealed and well insulated, including insulation in the floor.

[67]- The heat chamber is designed in a manner that permits uniform flow of air around and through the wood stack. Wood to be treated is loaded into the chamber in a manner that ensures adequate air flow around and through the wood stack.

[68]- Air deflectors in the chamber area and spacers in the stack of the wood are used as required to ensure adequate air flow.

[69]- Fans are used to circulate air during treatment, and air flow from these fans is sufficient to ensure the core temperature of the wood is maintained at the specified level for the required duration.

[70]- The coldest location within the chamber is identified for each load and temperature sensors are placed there, either in the wood or in the chamber.

[71]- Where the treatment is monitored using temperature sensors inserted into the wood, at least two temperature sensors are recommended. These temperature sensors should be suitable for measuring wood core temperature. The use of multiple temperature sensors ensures that any failure of a temperature sensor is detected during the treatment process. The temperature sensors are inserted at least 30 cm from the end of a piece of wood and penetrate to the centre of the wood. For shorter boards or pallet blocks, temperature sensors are also inserted in the piece of wood with the largest dimensions in a manner that ensures the temperature at the core is measured. Any holes drilled in the wood to place the temperature sensors are sealed with appropriate material to prevent interference in temperature measurement by convection or conduction. Special attention should be paid to external influences on the wood such as nails or metal insertions that may lead to incorrect measurements.

[72]- Where the treatment schedule is based on monitoring chamber air temperature and is used for treatment of different wood types (e.g. specific species and sizes), the schedule takes into account the species, moisture content and thickness of the wood being treated. At least two temperature sensors are recommended for monitoring the air temperature in the chamber treating wood packaging according to treatment schedules.

[73]- If the air flow in the chamber is routinely reversed during treatment, a greater number of temperature sensors may be needed to account for a possible change in the location of the coldest point.

[74]- Temperature sensors and data recording equipment are calibrated in accordance with the manufacturer's instructions at a frequency specified by the NPPO.

[75]- Temperatures are monitored and recorded during each treatment to ensure that the prescribed minimum temperature is maintained for the required period of time. If the minimum temperature is not maintained, corrective action needs to be taken to ensure that all wood is treated according to heat treatment requirements (30 continuous minutes at 56 °C); for example, the treatment is restarted or the treatment time extended and, if necessary, the temperature raised. During the treatment period, the frequency of temperature readings is sufficient to ensure that treatment failures can be detected.

[76]- For the purpose of auditing, the treatment provider keeps records of heat treatments and calibrations for a period of time specified by the NPPO.

**[77]Heat treatment using dielectric heating (treatment code for the mark: DH)**

[78]Where dielectric heating ~~is used (e.g. microwaves or radio waves) is used~~, wood packaging material ~~composed of wood not exceeding 20 cm<sup>1</sup> when measured across the smallest dimension of the piece or the stack~~ must be heated to achieve a minimum temperature of 60 °C for 1 continuous minute throughout the entire profile of the wood (including its surface). ~~The prescribed temperature must be reached within 30 minutes from the start of the treatment<sup>2</sup>. Treatment providers using dielectric heating must verify that their schedules achieve specified treatment parameters (taking into account the moisture content of the wood, its size and density, and the frequency of microwaves or radio waves).~~

[79]Treatment schedules should be specified or approved by the NPPO.

[80]Treatment providers should be approved by the NPPO. NPPOs should consider the following factors that may be required for a dielectric heating chamber to meet the treatment requirements:-

[81]- Irrespective of whether dielectric heating is conducted as a batch process or as a continuous (conveyor) process, the treatment is monitored in the wood where the temperature is likely to be the coldest (normally on the surface) to ensure the target temperature is maintained. For measuring the temperature, at least two temperature sensors are recommended to ensure that any failure of a temperature sensor is detected.

[82]- The treatment provider has initially validated that the wood temperatures reach or exceed 60 °C for 1 continuous minute throughout the entire profile of the wood (including its surface).

[83]- For wood exceeding 5 cm in thickness, dielectric heating at 2.45 GHz requires bidirectional application or multiple waveguides for the delivery of microwave energy to ensure uniformity of heating.

[84]- Temperature sensors and data recording equipment are calibrated in accordance with the manufacturer's instructions at a frequency specified by the NPPO.

[85]- For the purpose of auditing, the treatment provider keeps records of heat treatments and calibrations for a period of time specified by the NPPO.

**[86]Methyl bromide treatment (treatment code for the mark: MB)**

[87]NPPOs are encouraged to promote the use of alternative treatments approved in this standard<sup>33</sup>. Use of methyl bromide should take into account the CPM recommendation on the replacement or reduction of the use of methyl bromide as a phytosanitary measure (CPM, 2008).

[88]Wood packaging material containing a piece of wood exceeding 20 cm in cross-section at its smallest dimension must not be treated with methyl bromide.

[89]The fumigation of wood packaging material with methyl bromide must be in accordance with a schedule specified or approved by the NPPO that achieves the minimum concentration-time product<sup>34</sup> (CT) over 24 hours at the temperature and final residual concentration specified in Table 1. This CT must be achieved throughout the profile of the wood, including its core, although the concentrations ~~s would be~~ is measured in the ambient atmosphere. The minimum temperature of the wood and its surrounding atmosphere must not be less than 10 °C and the minimum exposure time must not be less than 24 hours. Monitoring of gas concentrations must be carried out at a minimum at 2, 4 and 24 hours from the beginning of the treatment. In the case of longer exposure times and weaker concentrations, additional measurement of the gas concentrations should be recorded at the end of fumigation.

<sup>33</sup> Contracting parties to the IPPC may also have obligations under the Montreal Protocol on Substances that Deplete the Ozone Layer (UNEP, 2000).

<sup>34</sup> The CT utilized for methyl bromide and sulphuryl fluoride treatments in this standard is the sum of the products of the concentration (g/m<sup>3</sup>) and time (h) over the duration of the treatment.



[90] If the CT is not achieved over 24 hours, corrective action needs to be taken to ensure the CT is reached; for example, the treatment is restarted or the treatment time extended for a maximum of two hours without adding more methyl bromide to achieve the required CT (see the footnote to Table 1).

[91] **Table 1.** Minimum required CT over 24 hours for wood packaging material fumigated with methyl bromide

[92] Temperature (°C)	[93] Minimum required CT (g·h/m <sup>3</sup> ) over 24 h	[94] Minimum final concentration (g/m <sup>3</sup> ) after 24 h <sup>#</sup>
[95] 21.0 or above	[96] 650	[97] 24
[98] 16.0 – 20.9	[99] 800	[100] 28
[101] 10.0 – 15.9	[102] 900	[103] 32

[104] <sup>#</sup> In circumstances when the minimum final concentration is not achieved after 24 hours, a deviation in the concentration of ~5% is permitted provided additional treatment time is added to the end of the treatment to achieve the prescribed CT.

[105] One example of a schedule that may be used for achieving the specified requirements is shown in Table 2.

[106] **Table 2.** Example of a treatment schedule that achieves the minimum required CT for wood packaging material treated with methyl bromide (initial doses may need to be higher in conditions of high sorption or leakage)

[107] Temperature (°C)	[108] Dosage (g/m <sup>3</sup> )	[109] Minimum concentration (g/m <sup>3</sup> ) at:		
[110]	[111]	[112] 2 h	[113] 4 h	[114] 24 h
[115] 21.0 or above	[116] 48	[117] 36	[118] 31	[119] 24
[120] 16.0 – 20.9	[121] 56	[122] 42	[123] 36	[124] 28
[125] 10.0 – 15.9	[126] 64	[127] 48	[128] 42	[129] 32

[130] Treatment providers should be approved by the NPPO. NPPOs should consider the following factors that may be required for methyl bromide fumigation to meet the treatment requirements:

[131]- Fans are used as appropriate during the gas distribution phase of fumigation to ensure equilibrium is reached, and they are positioned to make certain the fumigant is rapidly and effectively distributed throughout the fumigation enclosure (preferably within the first hour of application).

[132]- The fumigation enclosure is not loaded beyond 80% of its volume.

[133]- The fumigation enclosure is well sealed and as gas tight as possible. If fumigation is to be carried out under sheets, these are made of gas-proof material and sealed appropriately at the seams and at floor level.

[134]- The fumigation site floor is impermeable to the fumigant; if it is not, gas-proof sheets are laid on the floor.

[135]- The use of a vaporizer to apply methyl bromide (“hot gassing”) in order to fully volatilize the fumigant prior to its entry into the fumigation enclosure is recommended.

[136]- Methyl bromide treatment is not carried out on stacked wood packaging material exceeding 20 cm in cross-section at its smallest dimension. Therefore, stacked wood packaging material may need separators to ensure adequate methyl bromide circulation and penetration.



[137]- The concentration of methyl bromide in the air space is always measured at a location furthest from the insertion point of the gas as well as at other locations throughout the enclosure (e.g. at front bottom, centre middle and back top) to confirm that uniform distribution of the gas is reached. Treatment time is not calculated until uniform distribution has been reached.

[138]- When calculating methyl bromide dosage, compensation is made for any gas mixtures (e.g. 2% chloropicrin) to ensure that the total amount of methyl bromide applied meets required dose rates.

[139]- Initial dose rates and post-treatment product handling procedures take account of likely methyl bromide sorption by the treated wood packaging material or associated product (e.g. polystyrene boxes).

[140]- The measured or expected temperature of the product or the ambient air immediately before or during treatment (whichever is the lowest) is used to calculate the methyl bromide dose.

[141]- Wood packaging material to be fumigated is not wrapped or coated in materials impervious to the fumigant.

[142]- Temperature and gas concentration sensors and data recording equipment are calibrated in accordance with the manufacturer's instructions at a frequency specified by the NPPO.

[143]- For the purposes of auditing, the treatment provider keeps records of methyl bromide treatments and calibrations for a period of time specified by the NPPO.

**[144] Sulphuryl fluoride treatment (treatment code for the mark: SF)**

[145] Wood packaging material containing a piece of wood exceeding 20 cm in cross-section at its smallest dimension must not be treated with sulphuryl fluoride. Wood packaging material with a moisture content higher than 75% (dry basis) must not be treated with sulphuryl fluoride.

[146] The fumigation of wood packaging material with sulphuryl fluoride must be in accordance with a schedule specified or approved by the NPPO that achieves the minimum CT<sup>2</sup> over 24 or 48 hours at the target temperature and final residual concentration specified in Table 3. This CT must be achieved throughout the profile of the wood, including its core, although the concentration is measured in the ambient atmosphere. Small increases in the treatment time (not more than two hours) may be permitted to achieve the required CT if the minimum final concentration is not reached. The minimum temperature of the wood must not be lower than 20 °C and the minimum exposure time must not be less than the time stated for each temperature in Table 3. Monitoring of gas concentration must be carried out at a minimum of 2, 4, 24 and, when appropriate, 48 hours from the beginning of the treatment. In the case of longer exposure times and weaker concentrations, additional measurements of the gas concentrations should be recorded at the end of fumigation.

[147] If the CT is not achieved within a single 24 or 48 hour period (even if the minimum final concentration is achieved), corrective action should be taken. The treatment time may be extended for a maximum of two hours without adding more sulphuryl fluoride, or it may be restarted.

**[148] Table 3.** Minimum required CT over 24 or 48 hours for wood packaging material fumigated with sulphuryl fluoride

[149] Temperature (°C)	[150] Minimum required CT (g·h/m <sup>3</sup> )	[151] Minimum final concentration (g/m <sup>3</sup> ) <sup>†</sup>
[152] 30 or above for 24 h	[153] 1 400	[154] 41
[155] 20 or above for 48 h	[156] 3 000	[157] 29

[158]

[159]<sup>†</sup> If the minimum final concentration is not achieved after 24 or 48 hours by the end of the treatment, a deviation in the concentration of ~5% is permitted, provided additional treatment time is added at the end of the treatment to achieve the prescribed CT.

[160] One example of a schedule that may be used for achieving the specified requirements is shown in Table 4.

**[161] Table 4.** Example of a treatment schedule that achieves the minimum required CT for wood packaging material treated with sulphuryl fluoride (initial dosage may need to be higher in conditions of high sorption or leakage)

[162]Temperature (°C)	[163]Minimum required CT (g·h/m <sup>3</sup> )	[164]Dosage (g/m <sup>3</sup> )	[165]Minimum concentration (g/m <sup>3</sup> ) at:						
			[169]0.5 h	[170]2 h	[171]4 h	[172]12 h	[173]24 h	[174]36 h	[175]48 h
[176]30 or above	[177]1 400	[178]82	[179]87	[180]78	[181]73	[182]58	[183]41	[184]n/a <sup>†</sup>	[185]n/a <sup>†</sup>
[186]20 or above	[187]3 000	[188]120	[189]124	[190]112	[191]104	[192]82	[193]58	[194]41	[195]29

[196]<sup>†</sup> n/a, Not applicable.

[197]Treatment providers should be approved by the NPPO. NPPOs should consider the following factors that may be required for sulphuryl fluoride fumigation to meet the treatment requirements.

- [198]Fans are used as appropriate during the gas distribution phase of fumigation to ensure equilibrium is reached, and they are positioned to make certain that the fumigant is rapidly and effectively distributed throughout the fumigation enclosure (preferably within the first hour of application).
- [199]The fumigation enclosure is not loaded beyond 80% of its volume.
- [200]The fumigation enclosure is well sealed and as gas tight as possible. If fumigation is to be carried out under sheets, these must be made of gas-proof material and sealed appropriately at the seams and at floor level.
- [201]The fumigation site floor is either impermeable to the fumigant or gas-proof sheets are laid on the floor.
- [202]Wood stacks need separators at least every 20 cm to ensure adequate sulphuryl fluoride circulation and penetration.
- [203]When calculating sulphuryl fluoride dosage, compensation is made for any gas mixtures (e.g. carbon dioxide) to ensure that the total amount of pure fumigant applied meets the requirements prescribed in the standard.
- [204]The concentration of sulphuryl fluoride in the air space is always measured at a location furthest from the insertion point of the gas as well as at other locations throughout the enclosure (e.g. at front bottom, centre middle and back top) to confirm that uniform distribution of the gas is reached. Treatment time is not calculated until uniform distribution has been reached.
- [205]Initial dosage and post-treatment product handling procedures take into account likely sulphuryl fluoride sorption by the treated wood packaging material or associated product.
- [206]The measured temperature of the product or the ambient air (whichever is lower) is used to calculate the sulphuryl fluoride dosage, and the temperature of the product must be at least 20 °C (including at the wood core) throughout the duration of the treatment.
- [207]Wood packaging material to be fumigated is not wrapped or coated in materials impervious to the fumigant.
- [208]Temperature and gas concentration sensors and data recording equipment are calibrated in accordance with the manufacturer's instructions at a frequency specified by the NPPO. Instruments used for measuring the concentration of sulphuryl fluoride may be affected by altitude, water vapour, carbon dioxide or temperature. These instruments need to be calibrated specifically for sulphuryl fluoride.

- [\[209\]](#) For the purpose of auditing, the treatment provider keeps records of sulphuryl fluoride treatments and calibrations for a period of time specified by the NPPO.
- [\[210\]](#) Personnel applying fumigation treatment should follow the label requirements for use of sulphuryl fluoride.

[\[211\]](#) **Adoption of alternative treatments and revisions of approved treatment schedules**

[\[212\]](#) As new technical information becomes available, existing treatments may be reviewed and modified, and alternative treatments or a new treatment schedule for wood packaging material may be adopted by the CPM. If a new treatment or a revised treatment schedule is adopted for wood packaging material and incorporated into this ISPM, material treated under the previous treatment and/or schedule does not need to be re-treated or re-marked.

This revised Annex 2 was adopted by the XXth Session of the Commission on Phytosanitary Measures in [month] [year].

### [213] ANNEX 2: The mark and its application

#### The annex is a prescriptive part of the standard.

[214] A mark indicating that wood packaging material has been subjected to approved phytosanitary treatment in accordance with this standard<sup>35</sup> comprises the following required components:

[215] the symbol

[216] a country code

[217] a producer/treatment provider code

[218] a treatment code using the appropriate abbreviation according to Annex 1 (HT, DH, MB or SF).

#### [219] Symbol

[220] The design of the symbol (which may have been registered under national, regional or international procedures, as either a trademark or a certification/collective/guarantee mark) must resemble closely that shown in the examples illustrated below and must be presented to the left of the other components.

#### [221] Country code

[222] The country code must be the International Organization for Standards (ISO) two-letter country code (shown in the examples as “XX”). It must be separated by a hyphen from the producer/treatment provider code.

#### [223] Producer/treatment provider code

[224] The producer/treatment provider code is a unique code assigned by the NPPO to the producer of the wood packaging material or treatment provider who applies the marks or the entity otherwise responsible to the NPPO for ensuring that appropriately treated wood is used and properly marked (shown in the examples as “000”). The number and order of digits and/or letters are assigned by the NPPO.

#### [225] Treatment code

[226] The treatment code is an IPPC abbreviation as provided in Annex 1 for the approved measure used and shown in the examples as “YY”. The treatment code must appear after the combined country and producer/treatment provider codes. It must appear on a separate line from the country code and producer/treatment provider code, or be separated by a hyphen if presented on the same line as the other codes.

[227] Treatment code	[228] Treatment type
[229] HT	[230] Heat treatment
[231] DH	[232] Dielectric heating
[233] MB	[234] Methyl bromide
[235] <u>SF</u>	[236] <u>Sulphuryl fluoride</u>

<sup>35</sup> At import, countries should accept previously produced wood packaging material carrying a mark consistent with earlier versions of this standard.

### [237]Application of the mark

[238]The size, font types used, and position of the mark may vary, but its size must be sufficient to be both visible and legible to inspectors without the use of a visual aid. The mark must be rectangular or square in shape and contained within a border line with a vertical line separating the symbol from the code components. To facilitate the use of stencilling, small gaps in the border, the vertical line, and elsewhere among the components of the mark, may be present.

[239]No other information shall be contained within the border of the mark. If additional marks (e.g. trademarks of the producer, logo of the authorizing body) are considered useful to protect the use of the mark on a national level, such information may be provided adjacent to but outside of the border of the mark.

[240]The mark must be:

[241]- legible

[242]- durable and not transferable

[243]- placed in a location that is visible when the wood packaging is in use, preferably on at least two opposite sides of the wood packaging unit.

[244]The mark must not be hand drawn.

[245]The use of red or orange should be avoided because these colours are used in the labelling of dangerous goods.

[246]Where various components are integrated into a unit of wood packaging material, the resultant composite unit should be considered as a single unit for marking purposes. On a composite unit of wood packaging material made of both treated wood and processed wood material (where the processed component does not require treatment), it may be appropriate for the mark to appear on the processed wood material components to ensure that the mark is in a visible location and is of a sufficient size. This approach to the application of the mark applies only to composite single units, not to temporary assemblies of wood packaging material.

[247]Special consideration of legible application of the mark to dunnage may be necessary because treated wood for use as dunnage may not be cut to final length until loading of a conveyance takes place. It is important that shippers ensure that all dunnage used to secure or support commodities is treated and displays the mark described in this annex, and that the marks are clear and legible. Small pieces of wood that do not include all the required elements of the mark should not be used for dunnage. Options for marking dunnage appropriately include:

[248]- application of the mark to pieces of wood intended for use as dunnage along their entire length at very short intervals (NB: where very small pieces are subsequently cut for use as dunnage, the cuts should be made so that an entire mark is present on the dunnage used.)

[249]- additional application of the mark to treated dunnage in a visible location after cutting, provided that the shipper is authorized in accordance with section 4.

[250]The examples below illustrate some acceptable variants of the required components of the mark that is used to certify that the wood packaging material that bears such a mark has been subjected to an approved treatment. No variations in the symbol should be accepted. Variations in the layout of the mark should be accepted provided that they meet the requirements set out in this annex.

**APPENDIX 10: Specification 66 Audit in the phytosanitary context (2014-001)****Title**

Audit in the phytosanitary context (2015-014).

**Reason for the standard**

National plant protection organizations (NPPOs) are increasingly using audits in the phytosanitary context to identify weaknesses and nonconformities and to establish or recommend corrective mechanisms.

Audits are referenced in many adopted ISPMs, and proposed as an element of several standards currently in the IPPC work plan (e.g. Specification 65 (*Authorization of entities to perform phytosanitary actions* (2014-002))). However, there is no standard that provides guidance to NPPOs specifically on conducting audits in the phytosanitary context. This proposed standard aims to secure a common approach to audits in the phytosanitary context, which will increase trust and understanding among contracting parties.

**Scope**

The standard will describe the essential elements of uses of audit that focus on the implementation of phytosanitary measures, including audits of entities in the exporting country conducted by the NPPO of the exporting country, audits of the phytosanitary certification system carried out by the NPPO of the importing country in the exporting country, and audits of entities other than NPPOs who are authorized to perform phytosanitary actions. The standard will describe separately the elements needed for the different type of audits.

**Purpose**

The standard will provide guidance to NPPOs on the conduct of audits in the phytosanitary context. It will enable a common understanding of the term “audit” and the responsibilities of NPPOs, auditors and those audited, and it will provide procedures for planning and conducting audits.

**Tasks**

The expert drafting group (EDG) should undertake the following tasks:

- (45) Consider the use of “audit” and similar terms used in ISPMs, and suggest a definition for “audit” in the phytosanitary context, if appropriate.
- (46) Consider existing standards and guidelines for audits developed by NPPOs, regional plant protection organizations and other international organizations (e.g. International Organization for Standardization) that address the concept of audit and specify the understanding of that concept in the phytosanitary context.
- (47) Describe, in the phytosanitary context, the various purposes, scopes and potential triggers for performing audits, differentiating between audits of entities by an NPPO in its own territory and systems audits carried out by an NPPO with, and in the territory of, another NPPO.
- (48) Develop guidance on how an NPPO, auditee and the auditors authorized by the NPPO should fulfil their responsibilities.
- (49) Describe criteria and procedures, as appropriate, for audit activities in the phytosanitary context, including criteria and procedures for planning audits, developing audit guidance tools (e.g. checklists), selecting auditors, carrying out audits, establishing audit frequencies, dealing with appeals and disputes to audit findings, and financing audits by an NPPO not in its own territory.
- (50) Consider the potential for recognition of equivalent audit systems (e.g. audits conducted by other NPPOs, or systems based on Hazard Analysis and Critical Control Points (HACCP)), and develop guidance as appropriate.

- (51) Consider how NPPOs may best manage conflicts of interest and confidentiality in order to maintain the integrity of an audit system, and develop guidance as appropriate.
- (52) Describe the requirements for approving and selecting auditors that would enable NPPOs (or entities authorized by them) to conduct audits.
- (53) Consider whether the ISPM could affect in a specific way (positively or negatively) the protection of biodiversity and the environment. If this is the case, the impact should be identified, addressed and clarified in the draft ISPM.
- (54) Consider implementation of the ISPM by contracting parties and identify potential operational and technical implementation issues. Provide information and possible recommendations on these issues to the Standards Committee.

### Provision of resources

Funding for the meeting may be provided from sources other than the regular programme of the IPPC (FAO). As recommended by ICPM-2 (1999), whenever possible, those participating in standard setting 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. Please refer to *Criteria used for prioritizing participants to receive travel assistance to attend meetings organized by the IPPC Secretariat* posted on the International Phytosanitary Portal (IPP) (see <https://www.ippc.int/en/core-activities/>).

### Collaborator

To be determined.

### Steward

Please refer to the *List of topics for IPPC standards* posted on the IPP (see <https://www.ippc.int/core-activities/standards-setting/list-topics-ippc-standards>).

### Expertise

Five to seven experts with a combined knowledge of and experience in audits in the phytosanitary context, including audits of entities in the exporting country conducted by the NPPO of the exporting country, audits of the phytosanitary certification system carried out by the NPPO of the importing country in the exporting country, and audits of entities other than NPPOs who are authorized to perform phytosanitary actions.

An expert with general audit experience may be invited to participate, as an invited expert, in the expert working group meeting or meetings, or relevant parts of the meeting or meetings.

### Participants

To be determined.

### References

The IPPC, relevant ISPMs and other national, regional and international standards and agreements as may be applicable to the tasks, and discussion papers submitted in relation to this work.

**ISO** (International Organization for Standardization). 2009–2015. *ISO 9000: International standards for quality management*. Geneva, Switzerland, ISO.

**ISPM 20**. 2017. *Guidelines for a phytosanitary import regulatory system*. Rome, IPPC, FAO.

**ISPM 36**. 2016. *Integrated measures for plants for planting*. Rome, IPPC, FAO.

**NAPPO** (North American Plant Protection Organization). 2014. *Authorization of entities to perform phytosanitary services*. Regional Standard for Phytosanitary Measures (RSPM) 28. Ottawa, NAPPO. (The section on audit may be particularly helpful.)

## Discussion papers

Participants and interested parties are encouraged to submit discussion papers to the IPPC Secretariat ([ippc@fao.org](mailto:ippc@fao.org)) for consideration by the EDG.

## Publication history

*This is not an official part of the specification*

2015-11 SC recommended topic *Audit in the phytosanitary context* (2015-003) be added to the work programme.

2016 CPM-11 added topic *Audit in the phytosanitary context* (2015-003), Priority 2.

2016-05 SC deferred draft specification to an SC e-decision.

2016-09 SC reviewed draft specification via online commenting system and Steward finalized draft.

2017-02 SC approved draft specification for consultation (e-decision 2017\_eSC\_May\_06).

2017-03 Topic number changed from 2015-003 to 2015-014 to avoid overlap with another topic.

2017-07 First consultation.

2017-10 Steward revised draft specification based on consultation comments.

2017-11 SC approved specification.

**Specification 66.** 2017. *Audit in the phytosanitary context*. Rome, IPPC, FAO.

Publication history last updated: 2017-11



## **APPENDIX 11: Revised Terms of Reference for the SC to align with those for the Implementation and Capacity Development Committee**

### **TERMS OF REFERENCE AND RULES OF PROCEDURE FOR THE STANDARDS COMMITTEE**

#### **Terms of Reference for the Standards Committee**

(1) **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.

(2) **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.

(3) **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.

A representative of the IC participates.

(4) **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

- 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
- Work in close collaboration with the CPM Subsidiary Body “Implementation and Capacity Development Committee” (IC) to help make standard setting and implementation complementary and effective.
- 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.

(5) **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.

## 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 CPM 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 CPM 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 CPM for an exemption to allow a member from within its region to serve an additional term. In that case, the member may serve an additional term. Regions may submit requests for additional exemptions for the same member on a term-by-term basis. Partial terms served by replacements shall not be counted as a term under these Rules.

### **Rule 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. The Chairperson, or in the absence of the Chairperson, the Vice-Chairperson, shall preside at meetings of the SC and shall exercise such other functions as may be required to facilitate the work of the SC. A Vice-Chairperson acting as a Chairperson shall have the same powers and duties as the Chairperson.

The Chairperson shall direct the discussions in SC 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 SC the limitation of the time to

be allowed to speakers, the number of times each member may speak on any question, the closure of the list of speakers, the suspension or adjournment of the meeting, or the adjournment or closure of the debate on the item under discussion. The Chairperson, in the exercise of his/her functions, remains under the authority of the SC.

### **Rule 5. Sessions**

Meetings of the SC are normally held at 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 Bureau of the CPM, may request additional meetings of the SC. In particular, the SC may need to meet after the CPM 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 Bureau of the CPM, 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 CPM without undue delay.

### **Rule 7. Observers**

A contracting party to the IPPC or any regional plant protection organization may request to send one observer to attend an SC meeting. This request should be communicated by the official IPPC contact point to the Standards Officer thirty days prior to the starting date of the meeting. In response to this request, the observer will be invited to attend, depending whether logistical arrangements can be made.

A representative of the IC is an observer.

Such observers may i) participate in the discussions, subject to the approval of the Chairperson and without the right to vote; ii) receive the documents other than those of a restricted nature, and, iii) submit written statements on particular items of the agenda.

### **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 CPM.

The Secretariat shall endeavour to provide to CPM 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 CPM.

Reports of SC meetings shall be adopted by the SC before they are made available to Members of the CPM 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 CPM as required.

## APPENDIX 12: Summary of Standards Committee e-decisions (Update May 2017 – October 2017)

[377] This paper provides a summary of the outcomes of the e-decision forums and polls that the Standards Committee (SC) has conducted since its last meeting in May 2017.

**Table 1: SC e-decisions presented between May 2017 and November 2017**

E-decision number	SC decision	SC members commenting in the forum	Polls (yes/no)
2017_eSC_Nov_01	SC approval of diagnostic protocol on <i>Bactrocera dorsalis</i> complex (2006-026) for consultation	19	No poll
2017_eSC_Nov_02	SC approval of diagnostic protocol on <i>Conotrachelus nenuphar</i> (2013-002) for consultation	18	7/0
2017_eSC_Nov_03	SC approval of draft Revision of the diagnostic protocol DP 2: <i>Plum pox virus</i> (2016-007) for consultation	17	6/0
2017_eSC_Nov_04	SC approval of the diagnostic protocol on <i>Ips spp.</i> (2006-020) for consultation	20	No poll
2017_eSC_Nov_05	SC approval of the invited expert to the Expert Working Group on the Revision of ISPM 8 ( <i>Pest status in an area</i> ) (2009-005)	15	No poll
2017_eSC_Nov_06	SC approval of the selection of the former Sea Container EWG member for the Sea Containers Task Force	9	No poll
2017_eSC_Nov_07	SC approval of the draft phytosanitary treatment: Vapour heat treatment for <i>Bactrocera dorsalis</i> on <i>Carica papaya</i> (2009-109) for adoption	20	9/0
2017_eSC_Nov_08	SC approval of the selection of experts for the Expert Working Group on Guidance on pest risk management (2014-001)	20	No poll

E-decision number and date	SC decision	SC members commenting in the forum	Polls (yes/no)
2017_eSC_Nov_01 30 May to 14 June 2017	SC approval of diagnostic protocol on <i>Bactrocera dorsalis</i> complex (2006-026) for consultation	19	No poll
<p><b>SC e-decision</b></p> <p>The SC approved the draft diagnostic protocol for <i>Bactrocera dorsalis</i> complex (2006-026) for consultation.</p>			

E-decision number and date	SC decision	SC members commenting in the forum	Polls (yes/no)
2017_eSC_Nov_02 30 May to 14 June 2017	SC approval of diagnostic protocol on <i>Conotrachelus nenuphar</i> (2013-002) for consultation	18	7/0
<p>One member suggested deletion of the last sentence in paragraph [4]: "For more general information on <i>C. nenuphar</i>, including a more comprehensive host list, see CABI (2017)". This SC member believed that the reference to a secondary source of information should be deleted, as the draft DP contained good information on host plants that has been derived from primary sources.</p> <p>The comment was supported by the TPDP lead for entomology. The lead also suggested that the citation of CABI, 2017 be retained but moved to the first sentence in the same paragraph.</p> <p>As the SC did not reach consensus on the approval of the draft DP for <i>Conotrachelus nenuphar</i> (2013-002) for consultation, the Secretariat opened a poll to obtain final agreement by the SC.</p> <p><b>SC e-decision</b></p> <p>The SC approved draft DP for <i>Conotrachelus nenuphar</i> (2013-002) for consultation via poll.</p>			

E-decision number and date	SC decision	SC members commenting in the forum	Polls (yes/no)
2017_eSC_Nov_03 30 May to 21 June 2017	SC approval of draft Revision of the diagnostic protocol DP 2: <i>Plum pox virus</i> (2016-007) for consultation	17	6/0
<p>One SC member was concerned about listing all the nine strains of the virus beside references that only discuss fewer of them. On the absence of the TPDP lead for virology, the TPDP steward explained that even though only one reference was given for nine strains (James <i>et al.</i>, 2013), this did not mean that the others were incorrect. The steward believed that they were still valid for the strains previously described, and the revision of the DP aimed at including both the previously known and the newly identified strains. The steward also argued that the listed references covered the changing situation from seven to nine strains and that deletion of all references apart from the most recent paper (James, 2013) would not give the context of naming of the other strains and some information might be lost about the first seven strains. The steward also suggested that if countries wanted all references apart from the James paper to be removed this could be proposed and adjusted after the consultation process.</p> <p>The SC member again proposed the deletion of three references which, in his opinion, were not relevant.</p> <p>As the SC did not reach consensus on the approval of the draft revision of the DP 2: <i>Plum pox virus</i> (2016-007) for consultation, a poll was opened.</p> <p><b>SC e-decision</b></p> <p>The SC approved draft revision of the DP 2: <i>Plum pox virus</i> (2016-007) for consultation via poll.</p>			

E-decision number and date	SC decision	SC members commenting in the forum	Polls (yes/no)
2017_eSC_Nov_04 30 May to 14 July 2017	SC approval of the diagnostic protocol on <i>Ips spp.</i> (2006-020) for consultation	20	No poll
<p><b>SC e-decision</b></p> <p>The SC approved the draft diagnostic protocol for <i>Ips spp.</i> (2006-020) for consultation.</p>			

E-decision number and date	SC decision	SC members commenting in the forum	Polls (yes/no)
2017_eSC_Nov_05 03 July to the 17 July 2017	SC approval of the invited expert to the Expert Working Group on the Revision of ISPM 8 ( <i>Pest status in an area</i> ) (2009-005)	15	No poll
<p><b>SC e-decision</b></p> <p>The SC agreed to invite Ms Lucinda CHARLES (CABI) to the EWG to develop the draft ISPM on the Revision of ISPM 8: (<i>Pest status in an area</i>) (2009-005) as invited expert.</p>			



E-decision number and date	SC decision	SC members commenting in the forum	Polls (yes/no)
2017_eSC_Nov_06 03 to the 17 August 2017	SC approval of the selection of the former Sea Container EWG member for the Sea Containers Task Force	9	No poll
<p><b>SC e-decision</b></p> <p>The SC agreed that Mr Nico HORN (The Netherlands), member of the former the Expert Working Group (EWG) on <i>Minimizing pest movement by sea containers</i> (2008-001), participate in the Sea Containers Task Force as a core member.</p>			

E-decision number and date	SC decision	SC members commenting in the forum	Polls (yes/no)
2017_eSC_Nov_07 04 to 18 October 2017	SC approval of the draft phytosanitary treatment: Vapour heat treatment for <i>Bactrocera dorsalis</i> on <i>Carica papaya</i> (2009-109) for adoption	20	9/0
<p>One member requested clarifications on why the papaya variety name “var. Solo” was removed from the title and some parts of the draft PT. The Secretariat explained that the TPPT in its 2016 meeting, on discussion about differences in varietal/cultivar responses to heat treatments, did not find any evidence to support any possible varietal or cultivar differences in <i>Carica papaya</i> and the TPPT agreed to adjust the scope to species level accordingly (i.e. to “<i>C. papaya</i>” and not “<i>C. papaya</i> var. Solo”)<sup>36</sup> The SC noted the change in title and scope from <i>Bactrocera dorsalis</i> on <i>Carica papaya</i> var. Solo (2009-109) to <i>Bactrocera dorsalis</i> on <i>Carica papaya</i> (2009-109) on their 2016 November meeting<sup>37</sup> as outlined in the meeting document 19_SC_2016_Nov (see row 4.10).</p> <p>Another SC member highlighted, that in the section 'Treatment schedule', the term "certified" was introduced as a result of a consultation comment 26: "Exposure in a <u>certified</u> vapour heat chamber" and that the previously adopted PT 30 (VTH for <i>Ceratitidis capitata</i> on <i>Mangifera indica</i>) and PT 31 (VTH for <i>Bactrocera tryoni</i> on <i>Mangifera indica</i>) does not contain “certified”, however only says "Exposure in a vapour heat chamber". The SC member also pointed out that if such heat chambers have to be certified, this should rather be said in the standard on requirements for the use of temperature treatments which is under development.</p> <p>Another member suggested that paragraph 17 "Once the treatment is complete, the fruit is air-cooled using ambient air temperature but not water-cooled." is not clear enough on whether ventilation could be used to cool the fruit after the treatment.</p> <p>The Secretariat consulted the Treatment Lead, and he agreed to remove "certified" from the draft and to modify the responses to the consultation comment (26). He also proposed alternative wording to clarify that no method accelerating the cooling of the treated fruit should be applied.</p> <p>As the draft was modified based on the SC members' comments, the Secretariat opened a one week poll for the SC to approve the modified version of the draft PT for adoption.</p> <p><b>SC e-decision</b></p> <p>The SC approved modified responses to consultation comments and recommend the modified draft PT: Vapour heat treatment for <i>Bactrocera dorsalis</i> on <i>Carica papaya</i> (2009-109) for adoption by CPM via poll.</p>			

<sup>36</sup> Link to 2016-09 TPPT Report: <https://www.ippc.int/en/publications/83489/>

<sup>37</sup> Link to the 2016 November SC meeting report: <https://www.ippc.int/en/publications/83881/>

E-decision number and date	SC decision	SC members commenting in the forum	Polls (yes/no)
2017_eSC_Nov_08 04 to 18 October 2017	SC approval of the selection of experts for the Expert Working Group on Guidance on pest risk management (2014-001)	20	No poll
<p><b>SC e-decision</b></p> <p>The SC agreed that the following experts be selected as members of the EWG to develop the draft ISPM on <i>Guidance on pest risk management</i> (2014-001):</p> <ul style="list-style-type: none"> <li>- Ms María Elena GATTI (Argentina)</li> <li>- Ms Wendy ODGERS (Australia)</li> <li>- Mr Harry ARIJS (Belgium – European Commission)</li> <li>- Ms Barbara PETERSON (Canada)</li> <li>- Mr Thomas Kimeli KOSIOM (Kenya)</li> <li>- Ms Ma. Lorelie U. AGBAGALA (Philippines)</li> <li>- Mr José María GUITIAN CASTRILLON (Spain)</li> <li>- Mr Walter Antonio GUTIERREZ (USA)</li> </ul>			

## APPENDIX 13: Revision of Appendix 1 of ISPM 12 resulting from the implementation of ePhyto

### Background

[394] The IPPC Secretariat has commenced the development of the ePhyto hub and generic ePhyto national system (GeNS) as a means to facilitating the adoption of the use of electronic certificates in lieu of paper certificates.

[395] Electronic certificates have significant advantages in:

- Improving the efficiency of national plant protection organization (NPPO) certification processes
- Allowing countries to better use certification information in risk-based systems
- Improving the security of the phytosanitary certificate, and
- transfer or share information with other border agencies and industry, where appropriate,

[396] ePhyto refers to electronic phytosanitary certificates. An ePhyto is the electronic data contained in the phytosanitary certificate described in International Standard for Phytosanitary Measures (ISPM) 12 (*Phytosanitary Certificates*). Appendix 1 (Electronic phytosanitary certificates, information on standard XML schemas and exchange mechanisms) of the standard describes the structure and content of electronic certificates based upon standardized codes and lists developed by various standard setting bodies engaged in electronic documentation. Many of lists linked to Appendix 1 are more extensive than the specific terms and elements used in phytosanitary certification.

[397] To facilitate harmonized messages between NPPOs exchanging electronic certificates, the ePhyto Steering Group (ESG) has reviewed the links provided in Appendix 1 and further standardized these lists and codes to those applicable to phytosanitary certification.

[398] Consequently, the ESG proposed a number of link amendments to Appendix 1 of ISPM 12 (see below), namely to:

- (6) Change the URL in [5] and [14] to link directly to lists specific to the terms and codes used in phytosanitary certificates developed by the ESG. This should help to further facilitate consistent use of terms and codes used in electronic phytosanitary certificates. Therefore the URL <http://ephyto.ippc.int> has been replaced with the new URL: <https://www.ippc.int/en/ephyto/ephyto-technical-information>. The broader lists originally published at <http://ephyto.ippc.int> are included as hypertext links within the documents now located at <https://www.ippc.int/en/ephyto/ephyto-technical-information>.
- (7) Remove reference to the website in section 2.2 in [18] as it is inconsistent with the way in which other links are described in the document.
- (8) Remove “Link 13” in [21] because UNECE Recommendation 20, which was already presented as “Link 10”, also specifies how to present codes for concentration and dosage and this additional reference is not needed.
- (9) Add “country name” after the “declared point of entry” in [20] instead of at the end of the sentence, because this is in line with UN/LOCODE, and “declared point of entry” have a “country name” associated with the data.
- (10) Renumber “Link 14” in [22], “Link 15” in [20] and “Link 16” in [20] to retain the sequential numbering system following the removal of “Link 13”.
- (11) Remove “Link 17” in [25] as the system developed includes a specific encryption across the transport layer. Further encryption of the message can be applied based upon bilateral agreement on the type of encryption to be used. Numerous systems for encryption exist.
- (12) Remove “Link 18” in [28] as not required since the UN/CEFACT recommended standard message has been incorporated into the harmonized message structure specified as Links 3, 4 and 5.

[399] The ink amendments to Appendix 1 were presented to the Bureau at their meeting in October 2017. During the meeting the Secretariat pointed out the urgent need to amend the Appendix immediately as countries that are currently implementing the schema to commence implementing the pilot of the ePhyto hub need the updated information. Should the countries use the information presented at <http://ephyto.ippc.int>, there exists a strong potential for countries having difficulty in reading the certificates exchanged since the terms codes are not fully harmonized and also contain information not relevant to phytosanitary certification. Furthermore, the Secretariat recalled that the information contained in the Appendix is not a prescriptive part of the standard, while the changes are predominantly minor text changes and facilitate uniform implementation of electronic certification.

[400] The Bureau agreed, in this exceptional circumstance, to request the Secretariat to immediately apply these ink amendments to Appendix 1 of ISPM 12, highlighting the urgency in supporting the implementation of the ePhyto pilot, and inform the Standards Committee and the CPM of these ink amendments.

[401] The SC noted the ink amendments applied to Appendix 1 of ISPM 12 as presented below..

### **Proposed changes to Appendix 1 of ISPM 12**

[402] Legend for the changes: Deletions are marked with ~~strike through~~ and insertions are marked with underline.

## **APPENDIX 1: Electronic phytosanitary certificates, information on standard XML schemas and exchange mechanisms (2014)**

### **Introduction**

[403] Electronic phytosanitary certificates are the electronic equivalents of phytosanitary certificates in paper form and may be used if they are accepted by the national plant protection organization (NPPO) of the importing country. When electronic phytosanitary certificates are issued by the NPPO of the exporting or re-exporting country, they should be made directly available to the NPPO of the importing country.

[404] All the requirements and procedures in this standard apply to electronic phytosanitary certificates.

[405] When using electronic phytosanitary certificates, NPPOs should develop a system for the issuance, transmission and receipt of electronic phytosanitary certificates that uses Extensible Markup Language (XML), standardized message structure and contents, and standardized exchange protocols.

[406] This appendix provides guidance on these elements and refers to a page on the IPPC website<sup>38</sup> (<http://ephyto.ippc.int>) that provides links to further details – both IPPC and external websites and documents – on the information contained in this appendix. These links are referred to in the text as “Link 1”, “Link 2” and so forth.

[407] The system should include the following harmonized components to generate electronic phytosanitary certificates.

#### **1. XML Message Structure**

[408] NPPOs should use the World Wide Web Consortium’s (WC3) XML (*Link 1*) for exchange of electronic phytosanitary certification data.

[409] The phytosanitary XML message structure is based on the United Nations Centre for Trade Facilitation and Electronic Business (UN/CEFACT) Sanitary and Phytosanitary (SPS) XML schema (*Link 2*) and on XML data mapping, which indicates where the phytosanitary certification data should be placed in the XML schema.

<sup>38</sup> See (<https://www.ippc.int/en/ephyto/ephyto-technical-information/>)

[410] The phytosanitary XML data mapping enables the generation of an electronic phytosanitary certificate for export (*Link 3*) and an electronic phytosanitary certificate for re-export (*Link 4*).

## 2. XML Schema Contents

[411] To facilitate automatic electronic communication and processing of phytosanitary certification data, NPPOs are encouraged to use standardized (harmonized) terms, codes and text for the data elements associated with the XML message for electronic phytosanitary certificates.

[412] The use of free (i.e. non-standardized) text should be limited when appropriate codes are available.

[413] For dates and country names, harmonized text is available and no free text is anticipated to be required.

[414] For scientific names of plants and pests, consignment description, treatments, additional declarations and points of entry, extensive lists of harmonized terms, codes and text are being developed and will be available. Free text may be inserted if the appropriate term, text or value does not appear in the lists.

[415] The process for maintaining and updating the lists of harmonized terms is being developed and will be described on the IPPC website ~~Error! Bookmark not defined. (http://ePhyto.ippc.int)~~ (<http://ePhyto.ippc.int>). NPPOs will be requested to submit proposals for new harmonized terms using this process.

[416] For data elements other than those above, no harmonization of terms and text is needed and therefore free text may be entered.

[417] Further details on the information to be entered for the data elements in the XML message are provided in the following subsections.

### 2.1 Country names

[418] For the names of countries (i.e. the country of origin, export, re-export, transit and destination) it is encouraged that the two-letter country codes of the International Organization for Standardization (ISO) (*Link 6*) be used.

### 2.2 Scientific names of plants and pests

[419] For the scientific names of the plants in the consignment, the plants from which plant products were derived, and the regulated pests, the use of the database of scientific names ~~available on the IPPC website (http://ePhyto.ippc.int)~~ (*Link 7*) is encouraged.

### 2.3 Description of consignment

[420] The type of commodity and the type of packaging should be included in the description of the consignment. It is encouraged that the commodity be described using IPPC commodity terminology (*Link 8*). It is also encouraged that the type of packaging be described using the United Nations Economic Commission for Europe (UNECE) Recommendation 21 (*Link 9*).

[421] Other elements of the description of the consignment may include, where possible:

- weight, volume and height (which is encouraged to be described using UNECE Recommendation 20 (*Link 10*))
- declared means of conveyance (which is encouraged to be described using UNECE Recommendation 19 (~~Link 16~~ *Link 15*))
- declared point of entry and country name (which is encouraged to be described using the United Nations Code for Trade and Transportation Locations (UN/LOCODE) (~~Link 15~~ *Link 14*) ~~or country name~~).

### 2.4 Treatments

[422] It is encouraged that treatment types be specified using the IPPC's harmonized terms for treatment types (*Link 11*). Active ingredients are encouraged to be specified using the pesticide index of the

Codex Alimentarius ([Link 12](#)). Other parameters (e.g. concentration, dosage, temperature, and duration of exposure) are encouraged to be described using UNECE Recommendation 20 (~~Link 13~~ [Link 10](#)).

## 2.5 Additional declarations

- [423] Recommended standardized wording for additional declarations is provided in Appendix 2 and it is encouraged to be described using IPPC codes for additional declarations (~~Link 14~~ [Link 13](#)). Free text may be used to supplement the additional declarations indicated on the IPPC website or to describe additional declarations that have not been standardized.

## 2.6 Name of authorized officer

- [424] The name of the authorized officer issuing the electronic phytosanitary certificates should be included in each type of electronic phytosanitary certificate.

## 3. Secure Data Exchange Mechanisms

- [425] NPPOs are responsible for the security of their national information technology (IT) system used for generating electronic phytosanitary certificates.
- [426] During transmission, the data should be encrypted to ensure that the electronic exchange of the electronic phytosanitary certification data between NPPOs is secure and authenticated. NPPOs should use a secure protocol with a minimum 128-bit encryption. Before transmission, the electronic phytosanitary certification data may be subjected to additional encryption (~~Link 17~~) that remains intact after transmission.
- [427] Transmission of data over the Internet from the NPPO of the exporting country to the NPPO of the importing country should be performed using secure IT mechanisms (e.g. Simple Object Access Protocol (SOAP), Secure/Multipurpose Internet Mail Extensions (S/MIME), File Transfer Protocol (FTP), Representative State Transfer (REST)) using systems that are mutually compatible.
- [428] The NPPO of the exporting country should make available to the exporter the actual electronic phytosanitary certificate number for the consignment.
- [429] Communication on the status of the message exchange between NPPOs should follow UN/CEFACT recommended standard messages (~~Link 18~~).
- [430] NPPOs are responsible for developing and maintaining their systems for exchanging electronic phytosanitary certification data. In cases where an exchange mechanism is suspended due to maintenance or unexpected system failure, the NPPO should notify other NPPOs as soon as possible.

## 4. Electronic Phytosanitary Certificate for Re-export

- [431] In paper-only systems, the original phytosanitary certificate for export or its certified copy should be available as an attachment to the phytosanitary certificate for re-export. In the situation where paper and electronic phytosanitary certificates are both in use, the following requirements should be met.

### 4.1 Electronic phytosanitary certificate for re-export with original phytosanitary certificate for export in electronic form

- [432] When both the phytosanitary certificate for export and the phytosanitary certificate for re-export are in electronic form, the electronic phytosanitary certificate for export should be attached electronically to the electronic phytosanitary certificate for re-export.

### 4.2 Electronic phytosanitary certificate for re-export with original phytosanitary certificate in paper form

- [433] When the original phytosanitary certificate for export is in paper form and the phytosanitary certificate for re-export is in electronic form, a scan of the original phytosanitary certificate for export (in PDF or other non-editable format) should be attached to the electronic phytosanitary certificate for re-export.

### **4.3 Paper phytosanitary certificate for re-export with original phytosanitary certificate in electronic form**

[434] When the original phytosanitary certificate for export is in electronic form and the phytosanitary certificate for re-export is in paper form, the electronic phytosanitary certificate for export should be printed and validated by the NPPO of the country of re-export by stamping, dating and countersigning.

[435] The printed version of the electronic phytosanitary certificate for export becomes a certified copy and should then, in paper form, be attached to the phytosanitary certificate for re-export.

## **5. Management of Electronic Phytosanitary Certificates Issued by NPPOs**

### **5.1 Retrieval issues**

[436] If the NPPO of the importing country is unable to retrieve the electronic phytosanitary certificates, the NPPO of the exporting country should resubmit the original electronic phytosanitary certificates at the request of the NPPO of the importing country.

### **5.2 Alteration and replacement**

[437] If any of the information in electronic phytosanitary certificates needs to be altered after their issuance, the original electronic phytosanitary certificates should be revoked and replacement electronic phytosanitary certificates (*Link 5*) with alterations should be issued as described in this standard.

### **5.3 Cancelled dispatch**

[438] If the NPPO of the exporting country becomes aware of a consignment that is not dispatched after the issuance of electronic phytosanitary certificates, the NPPO of the exporting country should revoke the associated electronic phytosanitary certificates.

### **5.4 Certified copy**

[439] Certified copies of electronic phytosanitary certificates are printouts of the electronic phytosanitary certification data that are validated (stamped, dated and countersigned) by an NPPO attesting the authenticity of the data.

[440] The printouts should be in the format that follows the standardized wording provided by the IPPC model phytosanitary certificates and recognized as phytosanitary certificates. However, the printouts may be XML data in XML format if accepted by the NPPO of the importing country.

## **6. Declared Name and Address of Consignee**

[441] In the case of paper phytosanitary certificates, for “Declared name and address of consignee” the term “To order” may be used in instances where the consignee is not known and the NPPO of the importing country permits use of the term.

[442] With electronic phytosanitary certificates, the consignment information may arrive in the importing country well before the consignment arrives, which will allow pre-entry verification of the electronic phytosanitary certification data.

[443] Instead of using the “To order” option, NPPOs are encouraged to require the electronic phytosanitary certificates to include the name and address of a contact person in the importing country responsible for the consignment.

**APPENDIX 14: Oversight process for data associated with Appendix 1 of ISPM 12****Process for changing IPPC terms used in ePhyto and associated with ISPM 12, Appendix 1**

The ESG reviews requests for changes, additions or deletions to IPPC terms associated with *ISPM 12 Phytosanitary certificates, Appendix 1: Electronic phytosanitary certificates, information on standard XML schemes and exchange mechanisms* and adjusts the IPPC terms immediately. The ESG presents these changes to the SC at their meetings for endorsement. The SC is invited to ask for clarification or raise any concerns which should be addressed.



**APPENDIX 15: Action points arising from the SC November 2017 meeting**

Action	Section / Paragraph / Decision point	Responsible	Deadline
1. Post on the IPP the amended template for the objection to the adoption of an ISPM and ask countries to use it should they wish to submit an objection	4.1 [19] (1)	Secretariat	Jan-2018
2. Invite the CPM Chairperson to allow sufficient time for the CPM to decide whether objections are accompanied by technical justification and suggestions for improvement of the draft ISPM	4.1 [19] (2)	Secretariat	Dec-2017
3. Review the draft IPPC Strategic Framework 2020-2030 presented to CPM-13 (2018) and provide comments via CPM representative	4.1 [21]	SC members	Once CPM paper is posted
4. Consider topics for the agenda of the 2018 IPPC regional workshops	4.2 [45]	SC members	30 Jan-2018
5. Attend the 2018 IPPC regional workshops, where possible	4.2 [46] (7)	SC members	Aug/Sep-2018
6. Forward the implementation issues identified for the draft ISPMs on <i>Surveillance</i> (2009-004) and on <i>Requirements for the use of temperature treatments as a phytosanitary measure</i> (2014-005) to the Implementation Facilitation Unit for consideration by the IC	5.2 [76] (13, 17)	Secretariat	Dec-2017
7. Incorporate the text of Appendix 1 to the draft ISPM on <i>Requirements for the use of temperature treatments as a phytosanitary measure</i> (2014-005) into the IPPC Procedure Manual for Standard Setting as a TPPT procedure	5.3 [89] (16)	Secretariat	Dec_2017
8. Draft a discussion paper on issues related to commodity standards for submission to the Bureau for the CPM agenda item on Concepts and implementation issues related to draft standards	6.1 [108] (20)	Mr Stephen BUTCHER, Ms Ana Lilia MONTEALEGRE LARA	1-Dec-2017
9. Small working group to continue intersessionally the work on the promotional paper on positive impact of ISPMs on international trade, poverty reduction and the phytosanitary situation globally (IYPH)	9.1 [137]	Mr Sam BISHOP (lead), Mr Jesulindo DE SOUZA JUNIOR, Mr Nico HORN, Ms Shaza OMAR, Mr Álvaro SEPÚLVEDA LUQUE, Ms Thanh Huong HA, Mr David KAMANGIRA, Mr	2-Apr-2018

Action	Section / Paragraph / Decision point	Responsible	Deadline
		Lupeomanu Pelenato FONOTI	
10. Post on the IPPC the process for changing IPPC terms used in ePhyto and associated Appendix 1 ( <i>Electronic phytosanitary certificates, information on standard XML schemes and exchange mechanisms</i> ) to with ISPM 12 ( <i>Phytosanitary certificates</i> )	10.2 [168] (32)	Secretariat	Dec-2017
11. Invite the CPM Bureau to inform the CPM on challenges associated with the use of the NGS technologies in phytosanitary diagnostics	13 [183] (35)	Secretariat	Dec-2017
12. Open an SC e-forum on implementation issues associated with ISPM 41 ( <i>International movement of used vehicles, machinery and equipment</i> ) (to remain opened until 2-Apr-2018)	13.1 [184]	Secretariat	Dec-2017
13. Contact the IPPC Secretariat if training on specific issues should be arranged during the next SC meeting	18 [196]	SC members	5-Mar-2018
14. Evaluation of the meeting	18 [197]	SC members	7-Dec-2017