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| **SUBMITTED BY COUNTRY or ORGANIZATION:** | IPPC Secretariat on behalf of CPM Bureau and IC |
| **SUBMISSION NUMBER** | **2017-039** |

**Submission form for topics for Standards and Implementation**

1. General information

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| Title of Proposal | IPPC e-Commerce Guide for plants, plant products and other regulated articles |
| Proposed Material | Standard /  Implementation resource |
| Submission supported by:  (Country or Organization) | **CPM Bureau and Implementation and Capacity Development Committee (IC)** |
| Contact Person:  (Contact information of an individual able to clarify issues relating to this submission): | Name: Barbara Peterson  Position and organization: IPPC Secretariat  Mailing address: 4321 Still Creek Drive #400, Burnaby, B.C. V5C 6S7 CANADA  Phone: +1 604 292 5665  E-mail: barbara.peterson@fao.org; E-mail: ippc@fao.org |

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| **Important information for filling out and submitting the form:**  When considering submitting topics, please read through the Call for Topics webpage, whereadditional information and an electronic version of the form is available: <https://www.ippc.int/en/core-activities/standards-and-implementation/call-for-topics-standards-and-implementation/>.  Diagnostic protocols are submitted using a different form available at: <https://www.ippc.int/en/publications/87500/>  **Submissions must address the** [**Criteria for Justification**](#Criteria) **(see 5) and must include a** [**Draft Specification**](#specification) **(see 3.1) for proposed standards or a** [**Draft Outline**](#outline) **(see 3.2) for proposed implementation resources. These are required for evaluation and subsequent development of the material. Including a literature review providing technical information is recommended.**  The completed submission form **AND** draft specification/draft outline should be submitted as Word document by the IPPC official contact point, via e-mail, to the IPPC Secretariat ([ippc@fao.org](mailto:ippc@fao.org)). |

2. Summary of proposal

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| **Summary of justification for the proposal** (provide an outline of the problem needing resolution in sufficient detail, **250 words max**)  The findings of an Implementation Review and Support System desk study, *Internet trade (e-Commerce) in Plants: Potential Phytosanitary Risks*, were presented to CPM-7 (2012). The paper explored the range of products offered for sale over the Internet and highlighted a number of potential phytosanitary risks that might be overlooked by NPPOs.   1. CPM-9 (2014) adopted R-05: *Recommendation on* *Internet trade (e-Commerce) in plants and other regulated articles[[1]](#footnote-1)*. CPM Bureau, the Implementation and Capacity Development Committee (IC) and the World Customs Organization (WCO) Working group on e-Commerce all identified the need for IPPC implementation resources that offer guidance to NPPOs and RPPOs on managing the phytosanitary risk associated with cross-border e-commerce. An e-Commerce Guide was added to the *List of Implementation and Capacity Development Topics[[2]](#footnote-2)* in 2017. 2. Analysis by the CPM and a number of its subsidiary bodies determined that the increasing trade of plants, plants products and regulated articles through internet trade, or e-Commerce, poses a significant risk of spreading pests. E-Commerce poses significant and shared challenges to border regulators, including Customs Administrations, around the communication of legal requirements to customers and industry organisations involved in e-Commerce, as well as in the detection and management of phytosanitary and other risks in traded goods through traditional border regulatory operations, which are struggling to cope with the increased volume of courier and postal packages. |
| **Expected outcome of standard/implementation resource** (value of development of proposed material, 2 lines max)  The *IPPC Guide on e-Commerce* will increase awareness about the phytosanitary risks associated with cross-border e-Commerce trade along the e-Commerce supply chain/pathway and will lower the incidence of pests on e-Commerce traded goods. |
| **Contribution to filling gaps in the Framework for Standards and Implementation:** (2 lines max)  This proposal addresses gaps identified in the Framework for Standards and Implementation (items 51 and 54) and supports implementation of ISPM 7 and 20. |

3. Type of proposed material:

For **Standards**, go to [**section 3.1**](#Standard)

For **Implementation resources**, go to [**section 3.2**](#Implementation)

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| **3.1 Standard** (check only one option) | |
| **New** ISPM or component to an existing ISPM:  ISPM  Supplement to ISPM: Choose an item.  Annex to ISPM: Choose an item.  Appendix to ISPM: Choose an item.  Glossary term (subject) | **Revision/Amendment** of standard:  ISPM Choose an item.  Supplement to ISPM Choose an item.  Annex to ISPM Choose an item.  Appendix to ISPM Choose an item.  Glossary term (subject) |
| NOTICE:Draft specification:Any proposal for a Standard must include a draft specification. An annotated template for the draft specification for Standards is available on the IPP in English, French and Spanish: <https://www.ippc.int/en/publications/81324/> | |

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| **3.2 Implementation resource** (check only one option) | |
| **New** implementation resource:  Guide (e.g. Manual)  Training material (e.g. e-Learning. Please specify: Click or tap here to enter text.)  Awareness material (e.g. short videos. Please specify: Click or tap here to enter text.)  Other (Please specify: Click or tap here to enter text.) | **Revision** of existing implementation resource:  Please specify: Click or tap here to enter text. |
| Convention articles, ISPMs or CPM recommendations to be addressed by the proposed implementation resource  Convention articles (Please specify: ARTICLE VII, among others)  ISPM (Please specify: ISPM 7: *Phytosanitary certification system*, ISPM 20: *Guidelines for a phytosanitary import regulatory system*)  CPM Recommendation (Please specify: *R-05: Internet trade (e-commerce) in plants and other regulated articles*) | |
| **NOTICE**  **Draft outline:**  Submissions for topics on implementation **must include** a draft outline of the proposed implementation resource.  A form and instructions for the draft outline for implementation resources are available on the IPP (<https://www.ippc.int/en/publications/87499/>) | |

# Literature review[[3]](#footnote-3)

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| Australian Department of Agricuture. Buying goods online from outside Australia. https://www.agriculture.gov.au/travelling/bringing-mailing-goods/internet   Canadian Food Inspection Agency. Buying, selling and trading of plants and other organisms. https://www.inspection.gc.ca/plant-health/plant-pests-invasive-species/buying-selling-and-trading/eng/1537451230024/1537451230445  CPM Recommendation. 2014. R-05: Internet trade (e-Commerce) in plants and other regulated articles https://www.ippc.int/en/publications/88061/   CPM-12 (2017) Special Topics Session: e-Commerce https://www.ippc.int/en/publications/88062/   CPM-12 (2017) Special Topics Session: e-Commerce, Presentations https://www.ippc.int/en/publications/88080/  Derraik, J.G.B. and S. Phillips. 2010. Online trade poses a threat to biosecurity in New Zealand, Biological Invasions (12) DOI 10.1007/s10530-009-9595-0.  Humair, F., L. Humair, F. Kuhn, C. Kueffer. 2015. E‐commerce trade in invasive plants. Conservation Biology 29(6):1658-1665. https://doi.org/10.1111/cobi.12579  Kay, S.H. and S.T. Hoyle. 2001. Mail order, the Internet and invasive aquatic weeds. Journal of Aquatic Plant Management (39): 88-91.  IPPC Secretariat. IRRS desk study. 2012. Internet Trade (e-Commerce) in Plants: Potential Phytosanitary Risks https://www.ippc.int/en/publications/83627/  Invasive Species Advisory Committee (ISAC). 2011. Special session on invasive species and e-commerce (December 8, 2011, Washington, D.C.)  Invasive Species Advisory Committee (ISAC). 2012. White Paper: Invasive Species and E-commerce. 2012.0510   World Trade Organization Agreement on Trade Facilitation (2017) https://www.wto.org/english/tratop\_e/tradfa\_e/tradfa\_e.htm |

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# Criteria for justification and prioritization of proposed topics[[4]](#footnote-4):

5.1 Core criteria (information must be provided by submitter. It is expected that all submissions meet the following core criteria)

|  | **Core Criteria** | **Information provided by Submitter** |
| --- | --- | --- |
| 1 | Contribution to the purpose of the IPPC as described in article I.1. | A Guide on e-Commerce will contribute to securing common and effective action to prevent the spread and introduction of pests with goods moving internationally in the e-commerce supply chain. This may include plants and plant products, soil and any organism, object or material capable of harbouring or spreading plant pests. |
| 2 | Linkage to IPPC Strategic Objectives (SOs) and Organizational results demonstrated. | An e-Commerce action plan was noted by CPM-14 (2019) within the five year investment plan of the IPPC Secretariat – in relation to the IPPC Strategic Framework 2020-2030. Activities to be carried out during 2020-2030 include: (1) An international communications effort targeting companies trading through e-Commerce channels and consumers, to ensure they understand that the importing country may have phytosanitary requirements, why those requirements exist, and how to comply with importing country phytosanitary requirements. (2) Establishing an inter-agency network (CITES/WCO/IPPC/and other interested agencies) to create synergy in developing a joint policy and recommendations with regard to e-Commerce and courier/postal pathways. (3) Establishing a joint inter-agency toolkit for the regulation and screening of e-Commerce and courier/postal pathways. |
| 3 | Feasibility of implementation at the global level (consider ease of implementation, technical complexity, capacity of NPPO(s) to implement, relevance for more than one region). | CPM-14 (2019) endorsed the e-Commerce proposed project work plan and considered the extra-budgetary resources required to implement the project work plan. Additional resources are needed to fund the Guide on E-commerce. |
| 4 | Clear identification of the problems that need to be resolved through the development of the standard or implementation resource. | Refer to Section 6 of the Draft Outline Proposal |
| 5 | Availability of, or possibility to collect, information in support of the proposed standard or implementation resource (e.g. scientific, historical, technical information, experience). | A number of NPPOs have a strong interest in e-Commerce and are actively working with industry and other partners as part of their normal business. Many of these activities could be explored as potential models for addressing the risks posed by e-commerce on a global scale. |

* 1. Supporting criteria (information may be provided by submitter, as appropriate):

| **Supporting criteria:** | **Information provided by submitter** |
| --- | --- |
| **Supporting criteria (Practical)**   1. Is there a regional standard and/or implementation resource on the same topic already available and used by NPPOs, RPPOs or international organizations. 2. Availability of expertise needed to develop the proposed standard and/or implementation resource. | There are currently no regional phytosanitary standards on e-Commerce. However, there is a considerable amount of expertise both within and outside the IPPC community. A number of NPPOs have a strong interest in e-Commerce and are actively working on this topic in collaboration with industry and other border agencies. |
| **Supporting criteria (Economic)**   1. Estimated value of the plants protected. 2. Estimated value of trade including new trade opportunities affected by the proposed standard and/or implementation resource (e.g. volume of trade, value of trade, the percentage of Gross Domestic Product of this trade) if appropriate. | The pace of digital transformation of economies and businesses has accelerated and become a key driver of global trade. The increased role of consumers in individual transactions has led to a phenomenal growth in the number of smaller consignments crossing borders. Worldwide parcel volumes rose by 17% to 74.4 billion parcels in 2017, up from 63.6 billion in 2016, and are expected to surpass the 100 billion mark in 2020. |
| **Supporting criteria (Environmental)**   1. Utility to reduce the potential negative environmental consequences of certain phytosanitary measures, for example reduction in global emissions for the protection of the ozone layer. 2. Utility in the management of non-indigenous species which are pests of plants (such as some invasive alien species). 3. Contribution to the protection of the environment, through the protection of wild flora, and their habitats and ecosystems, and of agricultural biodiversity. | A Guide on e-Commerce is expected to contribute to the protection of the environment by reducing the risk of introducing plant pests and other invasive alien species with goods moving in cross-border e-Commerce trade. |
| **Supporting criteria (Strategic)**   1. Extent of support for the proposed standard and/or implementation resource (e.g. one or more NPPOs or RPPOs have requested it, or one or more RPPOs have adopted a standard on the same topic). 2. Frequency with which the issue to be addressed, as identified in the submission emerges as a source of trade disruption (e.g. disputes or need for repeated bilateral discussions, number of times per year trade is disrupted). 3. Relevance and utility to developing countries. 4. Coverage (application to a wide range of countries/pests/commodities). 5. Complements other standards and/or implementation resources (e.g. potential for the standard to be used as part of a systems approach for one pest, complement treatments for other pests). 6. Conceptual standard and/or implementation resource to address fundamental concepts (e.g. treatment efficacy, inspection methodology). 7. Urgent need for the standard and/or implementation resource. | There is considerable support for the proposed Guide on e-Commerce from RPPOs (TC-RPPO), NPPOs, IC, and CPM Bureau. It has global application and is relevant to all contracting parties – importers and exporters. It will be applicable to all regulated goods moving through e-Commerce channels. The Guide will complement several ISPMs, including: ISPM 7 and 20. There is an urgent need for a Guide due to the pace of growth and increase in the volume of small parcels moving in international trade. |

**Draft Outline for IPPC Implementation Resources**

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|  | **Submitted by:** | IPPC Secretariat on behalf of CPM Bureau and IC |
|  | **Submission number:** | 2017-039 |
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| **1. Title** | | |
| IPPC e-Commerce Guide for plants, plant products and other regulated articles | | |
| **2. Type of implementation resource** | | |
| |  |  | | --- | --- | | **New** implementation resource:  **✓** Guide (e.g. Manual) |  | | | |
| **3. Convention articles, ISPMs and CPM recommendations to be addressed by the proposed implementation resource** | | |
| [ISPM 7: *Phytosanitary certification system*](https://www.ippc.int/en/publications/613/)  [ISPM 13: *Guidelines for the notification of non-compliance and emergency action*](https://www.ippc.int/en/publications/608/)  [ISPM 20: *Guidelines for a phytosanitary import regulatory system*](https://www.ippc.int/en/publications/602/)  [ISPM 32: *Categorization of commodities according to their pest risk*](https://www.ippc.int/en/publications/587/)  [R-05: *Internet trade (e-commerce) in plants and other regulated articles*](https://www.ippc.int/en/publications/84232/) | | |
| **4. Scope** | | |
| This guide provides guidance and implementation resources for NPPOs and e-commerce stakeholders to address the issue of plants, plant products and other regulated articles sold through e-commerce and distributed through mail and courier pathways. | | |
| **5. Background / Purpose** | | |
| The pace of digital transformation of economies and businesses has accelerated and become a key driver of global trade. Furthermore, mobile technology, the internet and electronic payment systems have revolutionized the way businesses and consumers are selling and buying goods. The growth in cross-border e-commerce has resulted in new trade patterns, including growth in business-to-consumer (B2C) and consumer-to-consumer (C2C) transactions.  The increased role of consumers in individual transactions has led to a phenomenal growth in the number of smaller consignments crossing borders. Worldwide, parcel volume rose by 17% to 74.4 billion parcels in 2017, up from 63.6 billion in 2016. Unfortunately, these small parcels can potentially bypass normal phytosanitary controls and thereby increase the risk of introducing plant pests into new territories.  The purpose of this Guide is to increase awareness among IPPC contracting parties, e-commerce stakeholders and different international organizations about the potential phytosanitary risks associated with e-commerce trade of plants, plant products and other regulated goods and to provide guidance to reduce the incidence of pests and other phytosanitary risks associated with cross-border e-commerce trade. | | |
| **6. Content for the proposed implementation resource** | | |
| **Proposed tasks for the working group:**   1. Describe trends in e-commerce trade and increased phytosanitary risks posed by e-commerce. 2. Discuss e-commerce in the context of the international framework (World Trade Organization Agreement on the Application of Sanitary and Phytosanitary Measures (WTO SPS Agreement), the Convention on Phytosanitary Measures (CPM) and the WTO Trade Facilitation Agreement (WTO TFA)). 3. Highlight the responsibilities of National Plant Protection Organizations (NPPO) in managing the phytosanitary risks associated with cross-border e-commerce and consider national legislative requirements to support phytosanitary security in association with cross-border e-commerce. 4. Describe the responsibilities of international organizations such as the World Trade Organization (WTO), World Customs Organization (WCO) and Universal Postal Union (UPU) relative to e-commerce trade and identify existing standards, specifications, tools, and other materials that may be useful to the IPPC community. 5. Consider how the World Customs Organization (WCO) Framework of Standards, Technical Specifications and other tools could be used by NPPOs to promote increased phytosanitary security in cross-border e-commerce trade. 6. Consider the WCO’s definitions for: (1) cross-border e-commerce; (2) e-commerce stakeholders; (3) carriers; and (4) low-value shipments and recommend whether these same terms and definitions are appropriate for use in the phytosanitary context. If needed, propose additional plant health definitions related to e-Commerce for discussion by the Technical panel for the glossary on phytosanitary terms. 7. Describe the most common e-commerce business models and identify key e-commerce stakeholder groups. 8. Develop guidance to assist NPPOs in identifying the key e-commerce stakeholders (e.g. vendors, platforms, buyers/consumers, brokers, postal services and express couriers) based within their countries and regions. 9. Describe the roles and responsibilities of key e-commerce stakeholders, including: e-commerce platforms/marketplaces; vendors; buyers/consumers; financial intermediaries and e-payment service providers; logistics providers; customs brokers; freight forwarders; fulfilment centres/warehouses; express carriers; postal operators; national Customs Administrations; other government agencies; NPPOs; RPPOs; IPPC and other international organizations. Identify control points along e-commerce supply chain/pathway and recommend phytosanitary measures that could be applied. Consider opportunities for NPPOs to engage with these different stakeholder groups to seek their assistance in managing the phytosanitary risks associated with cross-border e-commerce. 10. Provide guidance to NPPOs on preparing and maintaining a list of regulated articles (e.g. seeds and other propagative plant material, aquatic plants, insects, soil, wood) for their respective countries, including how to approach general surveillance and pest risk analysis as it relates to e-commerce. 11. Recommend how to make the list of regulated articles readily available to e-commerce buyers/consumers in their own country and to vendors/platforms/market places/carriers in other countries. 12. Consider how to raise awareness of phytosanitary risks among e-commerce stakeholders and promote compliance with the phytosanitary requirements of importing countries. 13. Provide recommendations to strengthen coordination between NPPOs and their national Customs Administrations, border services and postal services and between NPPOs and other e-commerce stakeholders. 14. Provide guidance to exporting and importing NPPOs regarding how to manage phytosanitary risks associated with cross-border e-commerce, bearing in mind that large volumes of small packages are moving through the postal or courier delivery systems and there is considerable pressure for express delivery of these parcels. 15. Consider the limitations of visual inspection and recommend other possible options for effective phytosanitary risk management (e.g. advance electronic data, electronic data interchange (EDI), single window, risk based inspection/sampling, preferred carriers/brokers (Authorized Economic Operators, AEO), non-intrusive inspection (NII) technologies, web-crawlers; etc.). 16. Provide guidance to exporting and importing NPPOs with respect to implementing ISPM 7, ISPM 13, ISPM 20 and ISPM 32 in the context of cross-border e-commerce. 17. Provide guidance/best practices with respect to notification, response and emergency actions in association with cross-border e-commerce. 18. Provide case studies and examples to enhance the information in the guide. 19. Identify existing, relevant technical resources that could be made available on the IPP. | | |
| **7. List of existing photographs, figures, tables, forms, lists, infographics, case studies, etc. with copyright [name, institution, country] and captions. Please attach the list and files to email.** | | |
| *NPPOs, RPPOs and international organizations are encouraged to submit phytosanitary technical resources and case studies related to e-Commerce (e.g. manuals, standard operating procedures, advocacy materials, factsheets, infographics, training materials, risk assessments, guidelines, tools), as per the IPPC Secreatariat call (March 2020):* [*https://www.ippc.int/en/calls/call-for-phytosanitary-technical-resources-related-to-e-commerce-pra-and-pest-outbreak-alert-and-response-systems-that-may-be-shared-with-the-ippc-community/*](https://www.ippc.int/en/calls/call-for-phytosanitary-technical-resources-related-to-e-commerce-pra-and-pest-outbreak-alert-and-response-systems-that-may-be-shared-with-the-ippc-community/) | | |
| **8. List of proposed photographs, figures, tables, forms, lists, infographics, case studies, etc.** | | |
| * Infographic(s) or flowchart(s) that illustrate common e-commerce business models, key e-commerce stakeholder groups and potential control points along e-commerce supply chain/pathway * Example of an NPPO list of regulated articles * Case studies that highlight activities that have been undertaken by NPPOs to manage the phytosanitary risk associated with e-commerce trade | | |
| **9. Key references and other supporting materials** | | |
| IRSS Study on Internet Trade (e-Commerce) in Plants: Potential Phytosanitary Risks (2012)[[5]](#footnote-5)  The World Customs Organization (WCO) e-Commerce Package[[6]](#footnote-6) includes the Framework of Standards on cross-border e-Commerce as well as documents supporting the implementation of the Framework by national Customs Administrations. These tools include:   * Technical Specifications * Definitions * e-Commerce Business Models * Implementation Strategy, Action Plan and Capacity Building Mechanism | | |

1. CPM R-05: <https://www.ippc.int/en/publications/84232/> [↑](#footnote-ref-1)
2. List of Implementation and Capacity Development Topics: <https://www.ippc.int/en/publications/86844/> [↑](#footnote-ref-2)
3. As agreed by CPM-7 (2012) and CPM-11 (2016). [↑](#footnote-ref-3)
4. As agreed by CPM-13 (2018) [↑](#footnote-ref-4)
5. <https://www.ippc.int/en/irss/activities/2/> [↑](#footnote-ref-5)
6. <http://www.wcoomd.org/en/topics/facilitation/instrument-and-tools/frameworks-of-standards/ecommerce.aspx> [↑](#footnote-ref-6)