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REPORT IC VIRTUAL MEETING NO. 17 NOVEMBER 2022

1. Opening of the meeting

- [1] The IPPC Secretariat (hereafter referred to as the “Secretariat”) opened the seventeenth virtual meeting of the Implementation and Capacity Development Committee (IC), introduced some new staff members, and confirmed that this would be the last meeting of the Implementation and Facilitation Unit (IFU) lead before his retirement. The Secretariat summarized some of the outcomes of the October meeting of the Strategic Planning Group (SPG) that were of relevance to the IC,¹ and gave advanced notice of papers that were likely to be submitted from the IC to the Sixteenth Session of the Commission on Phytosanitary Measures (CPM-16) in 2022.
- [2] The IC Chairperson welcomed all participants and encouraged IC members, when taking decisions at this meeting, to bear in mind the importance of prioritization.

2. Meeting arrangements

2.1 Election of the Rapporteur

- [3] Nilesh CHAND (Fiji) was elected as the Rapporteur to the meeting.

2.2 Adoption of the agenda

- [4] The IC agreed to consider the following items under agenda item 14 (Any other business): the selection of IC leads; communication and workload during times of pandemic; a concept note on pest outbreak alert and response systems (POARS); the introduction of a new IC action list; and the naming of training materials developed by working groups. The agenda, as modified, was adopted and is attached to this report (Appendix 1).

3. Administrative matters

3.1 Review of meeting documents

- [5] The meeting documents had been posted on the IC MS-Team channel in advance of the meeting. The list of meeting documents is attached to this report as Appendix 2.

• 3.2 Review of participants

- [6] The participants list for the four days of the meeting is attached to this report as Appendix 3.

4. Call for topics

4.1 Task Force for Topics recommendations on 2021 Call for Topics: Standards and Implementation

- [7] The Secretariat presented the paper.² Sixteen complete proposals had been submitted during the 2021 Call for Topics: Standards and Implementation, of which two were implementation and capacity development topics, seven were standard setting topics and seven were diagnostic protocols.³ The Secretariat highlighted the implementation and capacity development (ICD) topic submissions and the standard setting (SS) topic submissions of direct relevance to the IC:

- Guide on performing audits in the phytosanitary context (2021-009) (ICD topic);

1 SPG reports: <https://www.ippc.int/en/core-activities/governance/strategic-planning-group/>

2 VM17_02_IC_2021_Nov.

3 Task Force on Topics report, October 2021: <https://www.ippc.int/en/publications/90360/>

- Development of authorization programme for use of fumigation (2021-016) (ICD topic);
- Safe provision of food and other humanitarian aid (2021-020) (SS topic);
- ISPM 15 – Methodologies for sampling of consignments (2021-015) (SS topic);
- Requirements for the use of diagnostic testing laboratories (2021-012) (SS topic).

[8] **Guide on performing audits in the phytosanitary context (2021-009).** The Secretariat explained that the Task Force on Topics (TFT) had recommended that this topic be added to the work programme and had made some recommendations about the development of the guide. The IC welcomed this proposal and agreed to the TFT's recommendation. The IC representative on the SC informed the IC that the SC had recommended the draft ISPM on *Audit in the phytosanitary context* (2015-014) to CPM-16 (2022) for adoption and had agreed to forward the potential implementation issues raised during the second consultation to the IC for consideration.

[9] The IC recognized that if this topic were to be added to the IC's work programme, care would need to be taken to ensure that it was aligned with the guide to *Authorization of entities to perform phytosanitary actions* (2018-040) and to avoid duplication between the two guides. The Secretariat suggested that perhaps the guidance on audit could be provided as an annex to the authorization guide, and the IC noted that this sort of question could be considered when developing the specification.

[10] **Development of authorization programme for use of fumigation (2021-016).** The Secretariat explained that the submitted proposal was to develop guidance for applying fumigation treatments to bulk grain shipments. The TFT had not recommended this topic but had suggested that the IC consider whether the guide to *Authorization of entities to perform phytosanitary actions* (2018-040) might provide guidance authorizing entities to carry out fumigation, so there may not be a need to develop a new guide. The IC agreed to consider this suggestion when developing the draft specification for the authorization guide.

[11] **Safe provision of food and other humanitarian aid (2021-020).** The Secretariat explained that the TFT had recognized that there was broad support from contracting parties for this topic, but the TFT had not reached consensus on how to address the issue. The TFT had suggested that representatives from the SC and IC discuss it further and had identified three possible options: reduce the scope of the topic to make it feasible as a standard; change it to an implementation resource; or amend the existing CPM Recommendation on *Safe provision of food and other humanitarian aid to prevent the introduction of plant pests during an emergency situation* (R-09). The SC had discussed the matter at their focused meeting on 3–4 November and had agreed that a small group would develop a CPM paper, including terms of reference for a CPM focus group, and that the draft paper would be presented to the SC and IC for comment in a joint e-forum.

[12] The IC members on the TFT clarified that the TFT had considered the scope of the proposal to be too broad for a standard because it could include anything that was potentially consumable and included not only food but also humanitarian aid. This was why the TFT had suggested that the SC and IC nominate representatives to consider how the scope could be narrowed: for example, could it be narrowed to just food, or just non-processed food?

[13] The IC Vice-Chairperson asked whether, if the scope were to be reduced so that the topic could be developed as a standard, it would need re-submitting in the next call for topics. He commented that if this were the case, this would mean waiting another two years, followed by perhaps four years to develop the standard, which would mean that it would be six years before there would be a tangible benefit and yet there were major issues that needed more immediate support. He speculated that perhaps a guide would be an interim solution, aimed at those countries that provide food and humanitarian aid. The IC Chairperson commented that the countries that receive the aid might prefer something with more legal standing than merely guidance.

[14] With regard to the SC's suggestion of establishing a CPM focus group, the IC observed that there was already an unprecedented number of focus groups, some of which were very broad in scope, and so there was a danger that either the focus group would get lost in the midst of these or the CPM would

have no appetite to establish another focus group. There was also the question of whether IC members had the time to participate in yet another group. One IC member added that having too many focus groups may give the impression that the IPPC bodies charged with making decisions are not capable of doing so. The Secretariat expressed concern about how a focus group would succeed where other groups have not – especially as the TFT is, in effect, a focus group – and suggested, as an alternative, that if the TFT needed to draw on more expertise to take the matter forward, the IC could perhaps suggest that the TFT invite a few experts to give the necessary additional background information. The Secretariat confirmed that the idea of having a CPM focus group had been suggested by the SC, not the TFT.

[15] In the light of these discussions, the IC concluded that forming another group to consider the options would not resolve the issue but agreed that there may be merit in inviting experts from the SC, IC and potentially the CPM Bureau to the December meeting of the TFT. The Secretariat confirmed that they would check with the FAO Legal Office about how such participation may be brought about within the rules of procedure for the TFT. The IC nominated Chris DALE (Australia) and Thorwald GEUZE (The Netherlands) to represent the IC at this TFT meeting, pending the legal advice.

[16] At a later session of the meeting, the IC Chairperson confirmed that the rules of the TFT precluded observers. He therefore suggested that perhaps the only way forward was for the two nominated IC members to participate in the work of the small group of SC members and the subsequent joint SC–IC e-forum planned by the SC. Later still, during the IC’s discussion on possible new draft specifications (agenda item 9.1), the IC Vice-Chairperson suggested that the development of a guide could be a suitable compromise approach between establishing a focus group and developing a standard, but that this would depend on the outcome of the SC–IC discussions and subsequent TFT and CPM decisions, and the IC Chairperson agreed that this was a good summary of the IC’s position on the topic.

[17] **Methodologies for sampling of consignments (2021-015).** The Secretariat explained that the TFT had not recommended this topic but had felt that the guide on *Risk based inspection of imported consignments* (2018-022) may be sufficient. The TFT had therefore suggested that the IC take this submission into consideration when developing the draft specification for the latter topic. The IC agreed with this suggestion.

[18] **Requirements for the use of diagnostic testing laboratories (2021-012).** The Secretariat explained that the TFT had not recommended this topic but had suggested that the SC consider the topic further. The IC did not discuss it.

[19] The IC:

- (1) supported the Task Force on Topics (TFT) recommendation to the CPM to add the Guide on performing audits in the phytosanitary context (2021-009) to the List of topics for implementation and capacity development (ICD LOT);
- (2) assigned a priority of 1 to the Guide on performing audits in the phytosanitary context (2021-009), pending its inclusion in the ICD LOT, and invited the TFT to request that the CPM note this priority;
- (3) nominated Chris DALE (Australia) and Thorwald GEUZE (The Netherlands) to represent the IC in discussions with the SC about the Safe provision of food and other humanitarian aid (2021-020), and agreed to participate in the joint IC–SC e-forum on this topic planned by the SC;
- (4) agreed to add a task to the draft specification on Authorization of entities to perform phytosanitary actions (2018-040), requesting the working group to provide guidance on authorizing entities to carry out phytosanitary fumigation treatments;
- (5) agreed to consider the concerns identified in the submission Methodologies for sampling of consignments (2021-015) when reviewing the draft specification on Risk based inspection of imported consignments (2018-022).

5. Plant Health Surveillance Portal

5.1 Plant Health Surveillance Portal, e-learning course on surveillance developed by Australia as possible contributed resources

[20] The IC lead presented a summary of the progress made on the six surveillance activities of the Global Plant Health Surveillance Initiative:⁴

- IPPC surveillance guide, Review (2017-049) – This had been reviewed by the original working group, following the revision of ISPM 6 (*Surveillance*) in 2018, and was published in October 2021 by the Secretariat.
- International Phytosanitary Portal (IPP) phytosanitary system page (component page) on surveillance – This had been officially launched in 2020 by the Secretariat, hosting contributed surveillance resources as well as IPPC surveillance resources.
- International Pest Free Area and Surveillance Symposium – This Symposium organized by the IPPC Secretariat had been held in Japan in 2019.
- Plant health surveillance information portal/website (2015-015) – This had not been progressed as a stand-alone IPPC resource, as the SPG's view had been that this was not necessary given the existence of the IPP component page on surveillance. It had therefore been developed and submitted by Australia as a contributed resource and was awaiting approval by the IC Team on Contributed Resources.
- e-Learning course on surveillance training package – This had been submitted by Australia as a contributed resource and was awaiting approval by the IC Team on Contributed Resources.
- Global surveillance experts register – This was in progress, pending IC discussion, and to be developed by Australia.

[21] **Surveillance guide.** The IC considered how it could facilitate the translation of the surveillance guide. The Secretariat confirmed that if a publication is translated by an organization other than FAO, there has to be a co-publishing agreement in place with the organization before the translation can go ahead. The IC Chairperson encouraged IC members to reach out to their own national plant protection organization (NPPO) for funding for translations, and one IC member suggested also approaching RPPOs, because they are used to arranging for the translation of materials. The TC-RPPOs representative endorsed this idea and confirmed that RPPOs do already provide some funding for translation of materials. One IC member suggested that it may be easier to secure funding if there were an official letter from the Secretariat that IC members could send. The Secretariat confirmed that the subject of translations would be discussed again later in this meeting (agenda item 9.1), and that the need for funding for translations would be included in the agenda for the IPPC regional workshops in 2022.

[22] **Plant health surveillance information portal/website.** The IC lead demonstrated the Plant Surveillance Network Australasia-Pacific (PSNAP) website,⁵ introducing each of the main tabs: About the Network, Resources, News and insights, Training and events, and Contact. He explained that it originally been developed as a national resource and then widened to have a regional scope, but it already contained information of international relevance and the intention was to develop it further to be global in scope. He added that most of the key information on the website, including surveillance protocols, is open access; other parts of the website are restricted to members, with the website acting as a resource depository for a range of groups.

[23] One IC member raised the question of how resources such as this website, of global phytosanitary relevance, can be brought more under the IPPC “umbrella”, so that they are not perceived as being just for one country or one region (while recognizing that donors will need to be displayed on such websites). The IC lead commented on the need to avoid duplicating effort just to brand a resource as

⁴ VM17_03_IC_2021_Nov.

⁵ Plant Surveillance Network Australasia-Pacific website: <https://plantsurveillancenetwork.net.au/>

“IPPC” and pointed out that the contributed resources are available on the IPP for contracting parties to use. The Secretariat reminded IC members that the contributed resources on surveillance can be accessed from the surveillance component page of the IPP and that the Secretariat is also developing an e-learning course on surveillance, to be completed by the end of May 2022. Another IC member commented that surveillance protocols are not the same all around the world and so it is not easy to produce material that is truly globally applicable, especially as surveillance is such a huge issue. The member did, however, congratulate Australia on the PSNAP website and on the surveillance e-learning course (see later in this agenda item), both for their usefulness and user-friendliness. The Secretariat confirmed that to develop material that is globally applicable requires considerable effort.

[24] One IC member confirmed that the PSNAP website, although developed for Australasia and the Pacific, does have information of relevance to other regions. The member also commented that all those IC members who are regional representatives have a role to play in raising awareness of the PSNAP website and the Plant Health Australia Biosecurity Online Training e-learning website (see later in this agenda item). The IC noted that the web resources could be promoted at workshops and that the resources may be of interest to the CPM Focus Group on POARS.

[25] **e-Learning surveillance training package.** The IC lead demonstrated the Plant Surveillance course on the Plant Health Australia Biosecurity Online Training e-learning website.⁶ The training is open access, although requires the user to register. Although it does not accredit course participants, it does provide some recognition by including an assessment at the end of each component and at the end of the course, resulting in a certificate if the participant passes all the assessments. The IC lead confirmed that the course is aligned with ISPM 6 and will be provided to the Working Group for the IC e-Learning Course on Surveillance and reporting obligations (2020-012).

[26] **Global surveillance experts register.** The IC lead explained that the idea was to put together a register of experts on surveillance, hosted on the IPP surveillance component page or an appropriate external surveillance portal that contracting parties may access. This register should be developed by Australia. At the moment, however, it had not been decided whether the register should be of individuals or, to make it easier to keep it current, of organizations. The IC lead commented that one option could be for users to have to register and log-on, as on the PSNAP website, so that the users’ details are always kept up to date.

[27] The IC noted that it might be better for the registry to be of organizations rather than individuals, given the difficulties in keeping the details of individuals up to date and because there might be sensitivities about making the contact details of individuals available. It might also be difficult to decide who is deemed to be an expert.

[28] The IC:

- (6) *noted* the update and progress on the six Global Plant Health Surveillance Initiative activities;
- (7) *agreed* to seek funding for the translation of the revised guide on surveillance into additional FAO languages, for instance by approaching their respective NPPOs and RPPOs, and *requested* that the Secretariat provide an official letter to be used for this purpose;
- (8) *requested* that the IC Team on Contributed Resources prioritize the review of the contributed resources recently submitted by Australia (Plant Health Surveillance Portal/Website and Plant Health Surveillance e-learning Package) and *encouraged* IC members to promote these resources to their own regions and NPPOs.

6. Revised draft specifications

[29] The IC reviewed the comments on draft specifications that had been received during the consultation from 1 July to 31 August 2021, and the corresponding responses of the IC leads.

⁶ Biosecurity Australia Biosecurity Online Training: <https://www.planthealthaustralia.com.au/resources/training/biosecurity-online-training/>

6.1 Plant health officer training curricula (2017-O54)

[30] The IC lead presented the draft specification and supporting documentation.⁷ A total of 33 comments had been received, with the major comments being as follows:

- The scope is too broad.
- The target audience should not only be NPPOs but also RPPOs.
- Roles and functions should be referred to, rather than positions, as positions will vary between countries.
- Plant protection officers should be included, not just plant health officers.

[31] The IC lead introduced the draft specification, which he had revised to take account of the comments submitted. He proposed a new title to make it clear that the scope was limited to the IPPC and its implementation and to incorporate plant protection officers: “Knowing and understanding the IPPC – plant health or plant protection officer training curricula”.

[32] The IC Chairperson thanked the IC lead for introducing the specification and invited the IC to comment.

[33] In response to a query, the IC lead confirmed that “plant health or plant protection officer” in the title does include inspectors. The Secretariat recalled that the IPPC itself only refers to “public officers” and commented that “plant protection” may mean different things in different languages. The IC lead responded that this is why the revised specification concentrated on roles and functions, but the change of title was in recognition of the different titles for positions. The IC agreed to the new title and made some minor amendments to the text to ensure that “plant protection officer” was included at each instance of the title.

[34] The IC:

- (9) *approved* the IC responses to the comments submitted during the consultation on the draft specification *Plant health officer training curricula with regards to the IPPC* (2017-054) and *requested* that the Secretariat post these on the IPP;
- (10) *approved* the specification on *Knowing and understanding the IPPC – plant health or protection officer training curricula* (2017-054) as modified in this meeting (Appendix 4).

6.2 Guide for developing phytosanitary security procedures to maintain the phytosanitary integrity of consignments for export (2018-028)

[35] The IC lead presented the draft specification and supporting documentation.⁸ A total of 73 comments had been received, with the main issues being as follows:

- the use of “phytosanitary procedures” versus “phytosanitary measures”, and “phytosanitary integrity” versus “phytosanitary security” in the title of the specification;
- the question of whether the scope should cover just plants and plant products or general consignments (regulated articles other than plants and plant products) as well;
- some suggested text regarding the diversity of the working group.

[36] **Title of the specification.** The IC lead introduced the draft specification, which she had revised to take account of the comments submitted. Having consulted the terms and definitions in ISPM 5 (*Glossary of phytosanitary terms*), she proposed that the title be changed to *Guide for developing phytosanitary procedures to maintain the phytosanitary security of consignments for export*. She added that, for clarification, the definition of “phytosanitary security” was included in the main body of the specification, given that this ISPM 5 term was currently under review and so the definition may change. The IC agreed to the new title.

⁷ 2017-054_PHO_SPEC_2021; 2017-054_PHO_C-CM_2021; 2017-054_PHO_O-CM_2021.

⁸ 2018-028_PSP_SPEC_2021; 2018-028_PSP_C-CM_2021; 2018-028_PSP_O-CM_2021.

[37] **Scope of the guide.** The IC recognized the huge variety of regulated articles other than plants and plant products but agreed that, because of their role in the movement of pests as contaminating pests, such articles should be included in the scope. The IC discussed whether to allow some discretion by adding “as appropriate” after “other regulated articles”, but noted that even large regulated articles such as sea containers may be managed in a way to ensure the phytosanitary security of consignments (e.g. by locking and sealing them). The IC also recognized that it would be difficult not to include sea containers within the scope, as they represent such a large proportion of regulated articles. The IC therefore agreed not to include “as appropriate”, but suggested that perhaps a case study could be included in the guide about how phytosanitary procedures can be applied to maintain the phytosanitary security of a sea container.

[38] **Composition of the working group.** The IC considered the suggested text amendment, which required the working group to be “unbiased in terms of gender and other discriminatory factors”, not just taking into account the geographical representation from both developing and developed countries. The IC welcomed the principle that working groups should have a diversity of members in terms of gender, other potentially discriminatory factors and geographical representation, but discussed whether it was better to have this as a higher level, IPPC-wide policy rather than including it in each specification. They concluded, however, that it should be included in all new specifications and in the text used when a call is opened for members of a working group, but that it should not be included in existing specifications. The Secretariat commented that, in terms of the actual wording to use, there may be some agreed United Nations or FAO wording on diversity that could be used and offered to investigate. The IC accepted this offer and at a later session of the meeting agreed a standard statement to use (see agenda item 9). The Secretariat confirmed that they would update the template specification (in the *IPPC procedure manual for implementation and capacity development*) accordingly.

[39] The IC:

- (11) approved the IC responses to the comments submitted during the consultation on the draft specification Guide for developing phytosanitary procedures to maintain the phytosanitary security of consignments for export (2018-028) and requested that the Secretariat post these on the IPP;
- (12) agreed that the scope of the guide should include general consignments as well as plants and plant products and that the title of the specification should be changed to Guide for developing phytosanitary procedures to maintain the phytosanitary security of consignments for export;
- (13) approved the specification on Guide for developing phytosanitary procedures to maintain the phytosanitary security of consignments for export (2018-028), subject to the addition of a statement about the diversity of the working group (as modified and presented in Appendix 5).

6.3 Guide on development and implementation of regulations and legislation to manage phytosanitary risks (2018-008)

[40] The IC lead presented the draft specification and supporting documentation.⁹ A total of 115 comments had been received, including comments not only from NPPOs and RPPOs but also from the Sea Containers Task Force. Many of the comments had concerned terminology. The IC lead had amended the draft specification in response to the comments and confirmed that the terminology was now aligned with ISPM 5. He thanked the Secretariat lead for her help in revising the draft.

[41] The IC observed that in some places in the draft specification the text referred to “regulated articles”, which the IC noted includes plants and plant products, whereas in other places the text referred to “regulated articles other than plants and plant products”. The IC agreed that the latter should be used throughout the specification and that the Secretariat would make the necessary amendments in liaison with the IC lead.

⁹ 2018-008_MPR_SPEC_2021; 2018-008_MPR_C-CM_2021; 2018-008_MPR_O-CM_2021.

[42] One IC member queried why the title of the specification referred only to international movement of regulated articles by sea or air, when the norm in ISPMs and other IPPC documents is simply to refer to international movement (thereby including movement by land). The IC noted that this was probably a legacy of the original topic proposal, but that as it was inconsistent with other IPPC documents and that the reference to “sea or air” should be deleted. The IC agreed to make this change, both in the title and elsewhere in the specification.

[43] The IC:

- (14) approved the IC responses to the comments submitted during the consultation on the draft specification Development and implementation of legislation and regulations for National Plant Protection Organizations to manage the pest risks from the international movement of regulated articles other than plants and plant products (2018-008) and requested that the Secretariat post these on the IPP;
- (15) approved the specification on Development and implementation of legislation and regulations for National Plant Protection Organizations to manage the pest risks from the international movement of regulated articles other than plants and plant products (2018-008), subject to the modifications agreed at this meeting (as modified and presented in Appendix 6).

7. Phytosanitary capacity evaluation

[44] The IC lead presented the paper on behalf of the IC Team on Phytosanitary Capacity Evaluation (PCE).¹⁰ She explained the purpose of PCE, gave recent examples of countries conducting a PCE, and confirmed that PCE had been implemented in more than 80 countries over the last 20 years. She then introduced the work of the IC Team on PCE, referring to the *ex-post* evaluation of the STDF project “Developing a Network of PCE Facilitators” published by the Standards and Trade Development Facility (STDF) and to the decision of the CPM Bureau to allocate some funding from travel savings in 2020 to improve the PCE process. The evaluation report had made some recommendations to improve the PCE process, and the PCE Team had incorporated these into a draft update of the PCE Strategy 2020–2030 for consideration by the IC.

[45] The IC were invited to consider the following issues and draft outputs arising from the work of the IC Team:

- *Procedure for PCE facilitator certification* – The IC lead explained that the IC Team had prepared a draft procedure for the certification of PCE facilitators, which included information on the purpose of the procedure, definitions of the various terms used, a PCE facilitator evaluation form, and terms of reference for an International Phytosanitary Consultant to act as a PCE Facilitator Trainee.
- *Confidentiality agreement for PCE* – The IC lead explained the importance of maintaining confidentiality with regards to the PCE tool and to the results of a PCE. A confidentiality agreement for all trainees attending a PCE facilitator training course had been prepared by the FAO Legal Office and had now been revised to incorporate international observers attending PCEs, including representatives from international organizations and donors.
- *Updated phytosanitary capacity evaluation strategy for 2020–2030* – The IC lead explained that the strategy had been agreed by the IC in May 2019 and had now been updated by the IC team. The IC was invited to note the recommendations contained within the updated strategy.
- *Considerations for undertaking desk studies to improve the PCE process, modernize the PCE modules and platform, and develop a future training course* – The IC lead explained that funding saved from travel budgets had been allocated to improve the PCE process, modules, and platform. At its last meeting, in October 2021, the IC team had agreed to enlarge the scope of the STDF *ex-post* evaluation and gather additional feedback from contracting parties on what they need from the PCE and its application. The IC team had also made some other

¹⁰ VM17_04_IC_2021_Nov.

recommendations on how to improve the PCE modules and process, including the possibility of adding other topics such as e-Phyto and e-Commerce and setting a PCE facilitators' training course to be taught in coordination with the *Plant health officer training curricula* (2017-054).

- *Considerations for a more adequate governance for the PCE* – The IC lead explained that the IC team had discussed how to achieve a sustainable framework for PCE activities and was considering the pros and cons of promoting the status of the IC Team on PCE from an IC team to an IC Sub-group.

[46] The IC lead also explained that she would soon be retiring and proposed Ringolds ARNITIS (Latvia) to take over as the IC lead for PCE.

[47] The IC Chairperson thanked the IC lead and invited the IC to comment.

[48] **Benefits and challenges of PCE.** Much support for the PCE tool was expressed by IC members, with the IC noting the benefits that countries can gain by conducting a PCE and the successes of the PCE programme to date. The IC observed that the PCE is generally recognized as being an effective tool, but that it also has some challenges. These include the need for greater flexibility in PCEs, the perception that the process is rather opaque (in that a country cannot find out what a PCE truly entails until they have paid for it), the accessibility of the PCE to developing countries, and the need for confidentiality of the PCE results. The IC recognized that the latter is particularly pertinent in those situations where a donor country funds a PCE in a country from which it receives imports, as one of the outcomes of a PCE is the identification of gaps in the regulatory framework or the phytosanitary system of a country and knowledge of such gaps could be used by the donor country to its advantage. Yet the funding is needed to ensure accessibility, as the main problem with accessibility is finding donors. The Secretariat emphasized the need to protect the interests of all the countries involved and warned that another potential danger is of a country, in effect, forcing a PCE on an exporting country. One IC member commented that countries should not be telling other countries how to change their legislation or system and this was why supervision of PCEs and international harmonization was needed under the auspices of the IPPC Secretariat.

[49] The IC Chairperson and Vice-Chairperson referred to interventions made by two contracting parties at the 2021 SPG meeting, which had highlighted some of these challenges and had sought to explore how PCE can be used in a more effective way. The IC noted the recommendation from the IC Team on PCE for the creation of an *ad hoc* working group to revise the existing PCE modules and processes and to explore the possibility of developing a guide and creating a freely available “short” PCE. The IC noted that the latter should help address the perception of the PCE tool as being opaque and could help countries decide whether to proceed to a full PCE.

[50] One IC member suggested that one way to maintain confidentiality while ensuring accessibility through funding would be to establish a dedicated PCE Fund to which donor countries could contribute without any expectation of being privy to the information gained through the PCE. Another suggestion, if it was not deemed appropriate for donor countries to fund PCEs in other countries, was to approach suitable international organizations (e.g. FAO, World Bank) to seek alternative funding sources and then to promote these.

[51] The TC-RPPOs representative suggested that another way of exhorting contracting parties to improve their phytosanitary capacity might be for developed countries to share with interested developing countries how they organize their phytosanitary framework (surveillance, export, etc.). She referred to a course run within the United States of America for many years – the Plant Health Systems Analysis Course – in which such information was shared with participants, but without dictating how it should be done. Each country that participated could then decide whether or not to use the same approach.

[52] **PCE Facilitator certification procedure.** One IC member pointed out that Appendix 3 of the procedure specified that one of the tasks for the first mission was to agree the number of modules to be completed (at least four), but it was not clear whether this included the first module, concerning the country profile, which every NPPO must complete. The member also highlighted the lack of information on conducting PCEs remotely (i.e. in virtual mode). The Secretariat confirmed that the

country conducting the PCE chooses the number of modules, as PCE is a self-evaluation exercise. The Secretariat also reported that the experience of conducting PCEs remotely during the COVID-19 pandemic had been varied, but in general the Secretariat had found the level of commitment and follow-up to be lower when the PCE was virtual than when it was in person.

- [53] The Secretariat confirmed that the PCE Board would be a global governing body for PCE as a whole, but the IC asked that the procedure be amended to give clarity about this and about the formation and composition of the Board. The Secretariat clarified that a PCE Trainer is the same as a PCE Mentor, so the document should use only one of these terms. They also confirmed that they were still in the process of clarifying some of the detail and the IC team needed to discuss these issues.
- [54] The IC agreed to approve the PCE Facilitator certification procedure, subject to modification to take account of the comments made at this IC meeting. They also agreed that no PCE Facilitator Trainees should be appointed until the governance system (PCE Board, etc.) is in place.
- [55] In the final session of the meeting, the Secretariat presented a revised version of the PCE Facilitator certification procedure, which incorporated the comments made by the IC. The IC made some further minor modifications to it. The revised version used “PCE Mentor” throughout (rather than “PCE Trainer”), confirmed the PCE Board composition (one IC, one SC and one Bureau member, plus the PCE Mentor for the PCE Facilitator Trainee), and clarified that decisions of the Board would be made by consensus. The IC agreed to the revised procedure.
- [56] **Confidentiality agreement.** The IC agreed to the draft confidentiality agreement for international observers (representatives from international organizations and donors).
- [57] **Desk study.** One IC member pointed out that it was perhaps too early for another desk study and it might be better to postpone it until the results of the significant work that had already been done was apparent. The member acknowledged, however, that the timing might be dependent on the funding.
- [58] The IC Chairperson suggested that, in addition to the aspects identified in the paper for this agenda item, the desk study should also consider the challenges outlined in the discussions at this meeting (e.g. confidentiality, being less opaque, processes for virtual delivery, considering a “short” PCE, considering a PCE Fund). The Secretariat added that the questions to address in the desk study were clear from the STDF report and the interventions at the SPG meeting, but that there was also a need to ask developing countries what they need from a PCE, as the users of PCEs are developing countries, not developed countries.
- [59] The Secretariat confirmed that the proposal for this desk study could easily have been submitted as an Implementation Review and Support System (IRSS) study, but it had not been done. The Secretariat suggested, however, that in the same way that consultants had been hired previously to conduct IRSS studies, some of the funding from the CPM Bureau for PCE could be used to undertake this desk study.
- [60] The IC therefore agreed to use some of the funding from the CPM Bureau to fund this desk study, taking into account the discussions at the 2021 SPG meeting and the STDF report and discussions at this IC meeting.
- [61] **Updated PCE strategy.** The IC Chairperson commented that one of the recommendations in the STDF report – that the materials developed during the STDF project should be used more widely to train personnel in the Secretariat and the wider IPPC community – did not appear to have been captured in the updated PCE strategy and suggested that it should be made more explicit in the strategy. The Secretariat clarified that this had not been embedded in the PCE strategy because it was a more generic issue of relevance to more than PCE.
- [62] The IC considered whether to approve the strategy, pending incorporation of the comments made at this meeting and the desk study. They noted, however, that there would be further updates to the strategy needed in the coming months, and so agreed it would be better to do the desk study first and then approve the strategy once the results of the study have been considered.

[63] **PCE governance.** The IC Chairperson expressed support for the proposal to have an IC Sub-group on PCE rather than an IC Team on PCE, as this would extend participation beyond the IC and PCE facilitators, which would result in a broader perspective and help counter the perceptions about the process being opaque.

[64] The IC:

- (16) *approved* the Procedure for a Phytosanitary Capacity Evaluation Facilitator Certification, including the PCE Facilitator Trainee Evaluation Form and terms of reference for an International Phytosanitary Consultant to act as a PCE Facilitator Trainee, as modified at this meeting (Appendix 7);
- (17) *agreed* that no PCE Facilitator Trainees should be appointed until the governance system for PCE Facilitator Trainees (including the PCE Board) is in place;
- (18) *agreed* to the Confidentiality Agreement, developed by the FAO Legal Office, regarding the participation of observers (representatives from international organizations and donors) in the phytosanitary capacity evaluation process (Appendix 8);
- (19) *noted* the recommendations of the *ex-post* evaluation of the Standards and Trade Facility (STDF) project 401 “Developing a Network of PCE Facilitators”;¹¹
- (20) *noted* the discussions on PCE by the Strategic planning Group (SPG) in October 2021 and the response from the IPPC Secretariat included in the SPG report;¹²
- (21) *noted* the next steps planned by the IC Team on PCE (the creation of an *ad hoc* group to improve the PCE and the PCE platform and the setting of a PCE facilitators training course);
- (22) *agreed* to use some of the money allocated by the CPM Bureau for PCE improvement to fund a desk study on how to improve the effectiveness of PCE, taking into account the discussions at the 2021 SPG meeting, the STDF report and the discussions at this IC meeting;
- (23) *agreed* to review the draft updated *Phytosanitary capacity evaluation strategy for 2020–2030* once the desk study has been completed and the results considered;
- (24) *requested* that the IPPC Secretariat include in the *IPPC procedure manual for implementation and capacity development* the following documents:
 - Procedure for a phytosanitary capacity evaluation facilitator certification (modified as agreed),
 - Confidentiality agreement for observers from international organizations participating in the IPPC phytosanitary capacity evaluation process,
 - Phytosanitary capacity evaluation strategy for 2020–2030 (but only once completed and agreed by the IC).
- (25) *noted* that the IC Team on PCE is considering the relative merits of changing the current IC Team into an IC Sub-group, and *encouraged* the IC Team to consider the merits of soliciting members who are not PCE facilitators, develop terms of reference for the Sub-group, and present a proposal to the IC at its meeting in May 2022;
- (26) *assigned* Ringolds ARNITIS (Latvia) as the IC lead for PCE and *thanked* Magda GONZALEZ ARROYO (Costa Rica) for her work in this role.

¹¹ Ransom, L. 2021. *Training of phytosanitary capacity evaluation (PCE) facilitators: Evaluation report March 2021*. Ex-post evaluation of the STDF project STDF PG/401 [online]. 85 pp. [Cited 18 November 2021]. https://www.standardsfacility.org/sites/default/files/STDF_PG_401_Evaluation_Report.pdf

¹² SPG reports: <https://www.ippc.int/en/core-activities/governance/strategic-planning-group/>

8. National reporting obligations

8.1 Revised draft terms of reference for NROs Sub-group

- [65] The IC lead presented the draft Terms of Reference for the IC Sub-group on National Reporting Obligations (NROs) and supporting documentation.¹³ She explained that the terms of reference had been submitted for consultation from 1 July to 31 August 2021, after which she had revised them to take account of the consultation comments and the terms of reference had then been reviewed by the IC Team on NROs. Many countries had expressed support for the proposal that the IC team be replaced by an IC Sub-group. Text amendments to the draft terms of reference had also been suggested. Many of these were just to improve clarity, but others included changes to the purpose of the Sub-group (with the Sub-group providing guidance rather than supporting the Secretariat to do this) and changes to its membership (with a greater emphasis on ensuring representation from developing countries, but a restriction to contracting parties and RPPOs). The Secretariat confirmed that an extra task had also been added to review and update the IPPC *Guide to national reporting obligations*, following the IC team's decision to recommend that this guide be updated (see agenda item 8.3).
- [66] The IC Chairperson thanked the IC lead and Secretariat and invited the IC to comment. There were no comments on the draft terms of reference or the IC lead's responses to the consultation comments.
- [67] Making a general observation, the IC Chairperson encouraged all IC leads, when presenting an overview of changes made following consultation, to summarize the nature of the comments in their overview.
- [68] The IC:
- (27) *approved* the revised draft Terms of the Reference for the IC Sub-group on National Reporting Obligations (Appendix 9) and the respective IC responses to consultation comments.

8.2 IC Team on National Reporting Obligations

- [69] The IC lead presented the paper, which summarized the activities of the IC Team on NROs during 2021 and presented a work plan for 2022.¹⁴
- [70] The IC lead highlighted the main activities. These had included six meetings of the IC team, the review and revision of the draft terms of reference for the proposed IC Sub-group on NROs (see agenda item 8.1), continued assistance by the Secretariat to IPPC contact points, and a policy discussion about how to respond to requests from contracting parties to delete NROs documents from the IPP. There had been no NROs newsletter, as this was to be subsumed into the new IPPC newsletter but that had been delayed. The NROs virtual workshops had been cancelled as the regional organizing committees felt they were not needed, but a presentation on NROs had been included in the IPPC regional workshops instead. The Secretariat had maintained and updated the online pest report bulletin and NROs statistics and had sent out emails to IPPC contact points at various times to remind them to fulfil their reporting obligations. The IC team had also agreed to recommend that the IPPC *Guide to national reporting obligations* be updated (see agenda item 8.3).
- [71] The IC lead and Secretariat then presented the work plan for NROs activities in 2022.
- [72] The IC Chairperson thanked the IC lead and Secretariat and invited the IC to comment.
- [73] **Deletion of NROs data by IPPC contact points.** The IC lead explained that the Secretariat had received a request from an IPPC contact point, requesting deletion of NROs documents that the contracting party had posted on the IPP. The Secretariat had sought advice from the FAO Legal Office, who had advised that there was no legal impediment to the IPPC contact point deleting their data from the IPP. The IC team had discussed the possible ways forward and had drawn up four options for

¹³ NRO-SG_01_TOR_2021; NRO-SG_02_TOR_2021; NRO-SG_03_TOR_2021.

¹⁴ VM17_05_IC_2021_Nov.

consideration by the IC: the first allowed IPPC contact points to hide (and “unhide”) their documents; the second allowed them to delete their documents on their country page of the IPP, but the records would still be retained in the IPPC database (not publicly visible); the third allowed IPPC contact points to completely delete documents; and the fourth allowed IPPC contact points to choose whether to hide or delete documents, with deleted documents remaining in the IPPC database but not publicly visible.

- [74] The IC discussed the relative merits of the four options. The Secretariat confirmed that the FAO legal advice was very clear in terms of data ownership: the NROs data submitted to the IPP by a contracting party remained in the ownership of that contracting party and so they had the right to delete it. The IC therefore accepted this. What was unclear, however, was what would happen if records were deleted and then an issue arises in future related to the deleted records. Some IC members voiced concern about the Secretariat becoming involved in such disputes, with the IC Chairperson noting that the third option – allowing complete deletion – would avoid this and would be the simplest approach. Other IC members, however, expressed a preference for the options that included retention of the hidden or “deleted” data, in case of future dispute. The Secretariat suggested that perhaps the data could be archived and released only with the consent of the contracting party. The Secretariat also confirmed that, at present, only the Secretariat can delete information from the IPP, but this would change under the options proposed, with all four options allowing contracting parties to hide or delete (depending on the option) their own data.
- [75] Taking into account all the various considerations, the IC agreed to a modified version of the second option, whereby IPPC contact points would be allowed to delete reports and publications on their country page on the IPP, so that the reports and publications were no longer visible on the country page, but the records would still be archived in the database and would be available only to the original contracting party who owned the data upon request to the Secretariat. The IC recognized that this represented a “middle ground” in the range of possible options, allowing for mistakes to be rectified (e.g. if a report is based on information that is subsequently found to be incorrect) and for IPPC contact points to update their own contact details, while at the same time archiving deleted data so it may be retrieved later, if required.
- [76] The IC noted that contracting parties in dispute should be invited to follow the IPPC Dispute Settlement Procedure but acknowledged.
- [77] The IC agreed that, although oversight of NROs had been delegated to the IC and so the IC had the authority to make the decision about the policy on deletion of NROs data, they would report the decision to CPM-16 (2022) for noting, given its significance.
- [78] In a related matter, one IC member asked whether contracting parties are under an obligation to provide NROs information in one of the six FAO languages. The Secretariat clarified that contracting parties are encouraged to submit NROs information in one of the FAO languages, and the IPP is now available in all six languages. However, where files are attached or a hyperlink is given to another web page, the file or web page can be in any language. The IC noted that contracting parties are bound by the obligations of the IPPC with regard to the types of documents that have to be in at least one of the FAO languages.¹⁵
- [79] **Lists of regulated pests.** The IC noted that although contracting parties are obliged to make available lists of regulated pests, there is no guidance on how these should be presented and the format varies among contracting parties. Some, for example, may list the pests in alphabetical order, whereas other may list in different categories, and the categories may vary between contracting parties. The IC considered whether to recommend to CPM-16 (2022) that a topic be added to the IC’s work programme to develop a guide on this, but agreed that a full guide was not necessary and that such guidance could be incorporated into the revision of the IPPC *Guide to national reporting obligations* (agenda item 8.3) instead. The Secretariat confirmed that the distinction between a list of regulated pests and a list of pests

¹⁵ Article XIX of the International Plant Protection Convention.

present in a country – which is a distinction not always understood by countries – is explained in the IPPC *Pest status guide*, but that this did not include guidance on how to present such lists.

[80] **Work plan.** The Secretariat explained that, as much of their work on NROs activities was funded through projects, their NROs activities would need to be placed on hold until financial resources were available. In the meantime, only the bare essentials – maintaining and updating details of IPPC contact pest reports – would be possible.

[81] One of the IC team members highlighted the team's recommendation that priority 1 be assigned to the revision of the IPPC *Guide to national reporting obligations* (agenda item 8.3).

[82] With regard to the call for members for the new IC Sub-group on NROs (see agenda item 8.1), the Secretariat suggested that the call be deferred until the outcome of CPM-16 (2022) discussions on POARS is known, given the close linkages between POARS and NROs. Until such time that the call is made, the IC noted that the IC team will act as members of the IC Sub-group.

[83] The IC amended the work plan to correct the end date for notifying nominees for the IC Sub-group on NROs who are not selected (June 2022 rather than June 2021).

[84] The IC:

- (28) noted the summary of activities related to NROs;
- (29) agreed that IPPC contact points shall be allowed to delete reports and publications on their country page of the IPP, but that although these reports and publications will no longer be visible on that country page, the records will be archived in the IPPC database and available only to the original contracting party that owns the data upon request to the Secretariat;
- (30) requested that the Secretariat forward the IC's decision on IPPC contact points deleting their own NROs data on the IPP to CPM-16 (2022) for noting;
- (31) approved the IC Team on NROs work plan for 2022 as modified at this meeting (Appendix 10);
- (32) noted that upon approval of the Terms of Reference for the IC Sub-group on NROs (see agenda item 8.1), the members of the IC Team on NROs will act as members of the IC Sub-group on NROs until a call can be made;
- (33) noted that the Secretariat's NROs activities will be on hold until financial resources are made available, and that only contact point information will be maintained;
- (34) agreed to add a task to the draft specification for revision of the IPPC *Guide to national reporting obligations* (agenda item 8.3) to develop guidance on the format of lists of regulated pests.

8.3 Proposed topic for revision of national reporting obligations guide

[85] The Secretariat presented the papers for this agenda item,¹⁶ explaining that the IC Team on NROs had agreed that the existing IPPC *Guide to national reporting obligations* needed updating, including the relevant updates in accordance with the revised ISPM 8 (*Determination of pest status in an area*). The Secretariat had drafted a specification and completed a submission form for this revision to be added to the ICD LOT, but the IC Team had not been able to find an NPPO or RPPO to submit it. The IC team had therefore decided to recommend to the IC that the IC itself recommends the proposed revision to the CPM as a topic to be added to the ICD LOT.

[86] The IC Chairperson thanked the Secretariat for the introduction and invited comments from the IC.

[87] The IC amended the draft specification to add a task for the revised guide to include guidance on the presentation of lists of regulated pests (see agenda item 8.2).

[88] The IC:

¹⁶ 2021-026_NRO-G_OVE_2021; 2021-026_NRO-G_SPEC_2021; 2021-026_NRO-G_FOR_2021.

- (35) recommended the addition of the National reporting obligations guide (revision) (2021-026) to CPM-16 (2022) for inclusion in the List of implementation and capacity development topics with a priority of 1;
- (36) requested the Secretariat to prepare the draft specification on National reporting obligations guide (revision) (2021-026) in consultation with the IC Team / IC Sub-group and present it to the IC for approval for consultation in 2022 (pending CPM decision);
- (37) assigned Magda GONZALEZ ARROYO (Costa Rica) as the IC lead for the topic National reporting obligations guide (revision) (2021-026) until her retirement, and Ahmed ABDELMOTTALEB (Egypt) as IC lead after that.

9. Guides and training materials

9.1 IC Team on Guides and Training Materials 2021 activities

- [89] The Secretariat presented the paper, which summarized the activities of the IC Team on Guides and Training Materials in 2021.¹⁷ The IC team had met three times during the year. The process for development of guides and training materials had been approved by the IC in June 2021 and appendices had been added subsequently. A new database for the ICD LOT had been developed on the IPP. The Secretariat demonstrated the database to the IC and explained that by CPM-16 (2022) most of the information in it should be available in all six FAO languages. The Secretariat went on to highlight the e-learning courses being developed with funding from the Common Market for Southern and Eastern Africa, the process for securing in-kind translations of IPPC guides and training materials, and changes to the mechanism for gathering feedback on IPPC guides. The Secretariat also presented an overview of feedback from the recent webinars on IPPC guides and training materials. The webinars had reached the target audience, with participants identifying the surveillance guide as the guide they thought they would be most likely to use, and systems approaches as the most interesting webinar topic. Analysis of the webinar page on the IPP had shown that visits to the page peaked following social media, mass emails and other promotions, as well as immediately following the webinar.
- [90] The IC Chairperson thanked the Secretariat and invited the IC to comment.
- [91] **Webinar feedback.** The IC expressed its appreciation for the analysis of webinar feedback and supported the suggestion that such post-webinar presentations be held in future. The Secretariat informed the IC that, to supplement the feedback already obtained, a questionnaire would be sent in early 2022 to everyone who had attended the webinars to ask about their use of the guides since the webinar and requesting feedback on these newly launched products.
- [92] The IC noted that the feedback from the webinars demonstrated the need for the Phytosanitary systems page on the IPP, and its component pages to be more highly visible on the IPP, so users can easily find all the resources related to a particular part of a phytosanitary system.
- [93] Regarding systems approaches, the TC-RPPOs representative informed the IC that some recorded presentations from a seminar on this subject held by the North American Plant Protection Organization (NAPPO) would be available soon on the NAPPO website and she would liaise with the Secretariat to arrange for these presentations to be considered for inclusion on the IPP as a contributed resource.
- [94] **New draft specifications.** The IC was invited to consider whether any additional draft specifications should be prepared for consultation in 2022, in addition to the draft specification for the revision of the guide on *National reporting obligations guide* (2021-026) (agenda item 8.3) and those identified during IC_VM_15. The Secretariat explained that it was important to think ahead, as the IC would need to have draft specifications ready for consultation in 2022 for any materials to be developed in 2023, however, the topics for such specifications still needed to be agreed by the CPM.

¹⁷ VM17_06_IC_2021_Nov.

- [95] The IC discussed whether to start pre-emptive work on a draft specification for a guide on the safe provision of food and other humanitarian aid, in case the CPM decided that the proposed topic on *Safe provision of food and other humanitarian aid* (2021-020) should be developed as a guide rather than a standard (see agenda item 4.1). The IC noted that although the situation would be clearer after the TFT's meeting in December, when the TFT would consider the outcome of the discussions by the SC and IC, the IC could not start work on a specification until a decision had been reached by the CPM. The Secretariat explained that there was little precedence for the TFT changing a topic from a standard to a guide but suggested that if the decision were to change this topic to a guide, the most appropriate course of action would be to invite the submitter to redraft the proposal accordingly. The IC Vice-Chairperson supported this approach. Recalling the IC's earlier discussion on this topic in agenda item 4.1, the Secretariat pointed out that another element to bear in mind was the work currently underway by the small group of SC members to prepare a draft CPM paper, suggesting the establishment of a focus group, and the joint SC–IC e-forum that was planned to discuss this draft paper. The two IC members selected to represent the IC (agenda item 4.1) were due to participate in the virtual meeting of the small SC group shortly after this IC meeting. The IC Vice-Chairperson suggested that, given the concerns expressed by the TFT about the scope being too wide for a standard and the concerns of the IC about establishing a focus group, the development of a guide may be a suitable compromise approach and, pending CPM decision, the IC could start working with the submitter to draft the specification. He acknowledged, however, that there were still many decisions to be made by IPPC bodies before reaching that stage.
- [96] Given the uncertainty about the outcome of the topic proposal on *Safe provision of food and other humanitarian aid* (2021-020), the IC therefore agreed that it would not start work on any additional draft specifications, except the one already agreed for the revision to the *National reporting obligations guide* (2021-026) and the three identified during IC_VM15.
- [97] **Diversity.** Further to agenda item 6.2, the Secretariat presented a draft standard statement on diversity for inclusion in all future draft specifications, specifications and calls for experts. The IC approved the text.
- [98] The IC:
- (38) *noted* the update on activities related to the development of IPPC guides and training materials;
 - (39) *assigned* Kyu-Ock YIM (Republic of Korea) as the IC lead for the guide on *Risk-based inspection of imported consignments* (2018-022), supported by Stephanie BLOEM (RPPOs representative);
 - (40) *noted* that if there are sufficient resources then work could potentially also begin on the following topics in 2022:
 - *Risk-based inspection of imported consignments, Guide* (2018-022) (IC lead, Kyu-Ock YIM supported by Stephanie BLOEM),
 - *Plant health officers training* (2017-054) (IC lead, Lalith KUMARASINGHE),
 - *Pest free areas e-learning course* (2017-044) (IC lead, Dominique PELLETIER);
 - (41) *raised* the priority of the *Pest free areas e-learning course* (2017-044) from 2 to 1;
 - (42) *agreed* that consultation on a draft specification for the *Pest free areas e-learning course* (2017-044) would not be necessary because it will be based on the *IPPC Guide for establishing and maintaining pest free areas* that was published in 2019;
 - (43) *requested* that guidance to inform potential collaborators and donors about the process for working with the Secretariat and FAO to translate IPPC Guides and training materials be made available by the Secretariat on the IPP;
 - (44) *agreed* that the following statement be added to the criteria for selection of experts in all future draft specifications, specifications and calls for experts, and *requested* that the Secretariat update the *IPPC procedure manual for implementation and capacity development* accordingly at its next revision:

“The IPPC Secretariat and the Implementation and Capacity Development Committee support equity, diversity and inclusiveness, and encourage all

interested experts to submit their candidature to participate in the working group that will be tasked with developing this IPPC guide or training material. The members of the working group will be selected based on their technical and practical expertise in the subject matter. Geographical representation from both developing and developed countries will also be considered to ensure that the material developed is globally applicable and reflects best practices from all over the world. The following criteria should be used for selecting working group members:

- practical expertise in ...”

10. Implementation Review and Support System

10.1 2021 activities and three-year work plan

[99] The IC lead presented an update of the activities of the IC Sub-group on IRSS and the proposed work plan for 2022–2024.¹⁸ The Sub-group had met three times during 2021. They had discussed the implementation of the 2021 IRSS work plan, reviewed the status of the IRSS priority 1 topics (ranking them in order of priority), reviewed the progress of IRSS publications, discussed options for a transition to a sustainable IRSS model (see agenda item 10.2), and provided guidance to the Secretariat on the design of the IRSS three-year work plan (2022–2024) and a future communication plan. A call for IRSS topics had been issued, but only one topic had been proposed – for a study on e-Commerce. Regarding publications, the IC lead highlighted the important contribution made by the IRSS desk study on *Authorizing entities to perform phytosanitary actions* to the progress towards the adoption of ISPM 45 (*Requirements for national plant protection organizations if authorizing entities to perform phytosanitary actions*) by CPM-15 (2021) and commented that this was a good example of how IRSS can help move issues forward. Regarding the work plan, the IC lead explained that the current IRSS activities had funding until the end of May 2022, but thereafter the work plan had been drawn up considering the ongoing process of transition to a sustainable IRSS and was in line with the revised mission and objectives of the IRSS.

[100] The Secretariat added that, in addition to the initiatives already undertaken to promote the key messages, activities and achievements of the IRSS, a webinar on IRSS would be held on 10 December 2022.

[101] The IC Chairperson invited the IC to comment.

[102] **Surveys.** The IC noted that when people are asked to take part in a survey, they need to understand what the survey is for and why it matters that they respond. The TC-RPPOs representative recalled one regional survey to which there had been a typically low response, but where the body conducting the survey had been able to elicit an increased response rate by sharing an analysis of the partial responses with NPPOs and asking them whether their input would change the outcome.

[103] **Role of IRSS in implementation of IPPC Strategic Framework.** One of the IC Sub-group members highlighted the work of the CPM Focus Group on Implementation of the IPPC Strategic Framework’s 2020–2030 Development Agenda Items and commented that there would be a greater role for the IRSS for some of the Strategic Framework development agenda items than for others, because some required a greater level of understanding to progress them. The IC noted the value of ensuring that a good implementation plan is established before baseline measures of implementation success are developed.

[104] **Work plan and budget.** The IC was invited to comment on the IRSS work plan and budget but had no comments. The IC agreed the work plan and the budget as presented.

[105] **e-Commerce study.** The Secretariat invited the IC to consider expanding the scope of the proposed IRSS topic on e-commerce to include non-commercial (i.e. person-to-person) e-Commerce transactions, explaining that these transactions present a far higher pest risk than business-to-business or business-to-consumer e-commerce because they follow different distribution pathways and are

¹⁸ VM17_07_IC_2021_Nov.

difficult to regulate. The Secretariat confirmed that expanding the scope in this way would align with the e-Commerce guide currently under development (2017-039). The IC agreed to include the topic and to include non-commercial transactions in the scope.

[106] The IC:

- (45) *noted* the update from the IC Sub-group on IRSS;
- (46) *approved* the IRSS three-year work plan (Appendix 11) and budget (Appendix 12);
- (47) *agreed* to add the *e-Commerce study* (Appendix 13) to the IRSS list of topics and that the scope of the study should include non-commercial e-commerce transactions.

10.2 Preferred options for the transition to a sustainable IRSS

[107] The IC lead presented a paper summarizing the preferred options for transitioning to a sustainable IRSS.¹⁹ Thirteen options were recommended, including a change in the name of the system (from “Implementation Review and Support System” to “IPPC Observatory”), a change in its scope (focusing on monitoring implementation and making recommendations on the basis of this, but not developing capacity development material), and having a full-time, dedicated member of the Secretariat staff to lead it. Other options concerned the contribution of the Observatory to the IPPC Strategic Framework 2020–2030, the guiding principles of the Observatory, its overall objectives, its outcomes, work plan development, the funding model, communications, the relationship with monitoring and evaluation, and survey design and delivery.

[108] The Secretariat highlighted that the proposed model for sustainable funding was that baseline funding should be allocated from the Secretariat’s regular programme to cover fixed costs, and that additional funding to cover studies and surveys should be mobilized from other sources such as the Multi-Donor Trust Fund.

[109] The IC supported the proposals and made no further comments.

[110] The IC:

- (48) *agreed* on the proposed options for a sustainable IRSS (Appendix 14) and *recommended* them for adoption by CPM-16 (2022).

11. e-Commerce

11.1 IC Team on e-Commerce

[111] The Secretariat presented an update on activities related to e-Commerce, together with the proposed 2022 work plan for the IC Team on e-Commerce.²⁰ As e-Commerce is a development agenda item of the IPPC Strategic Framework 2020–2030, one of the current activities of the IC team was to provide input to the CPM Focus Group on Implementation of the IPPC Strategic Framework’s 2020–2030 Development Agenda Items, in response to a request for information from the focus group. The Secretariat explained that it would be useful if the IC would assign additional IC members to the IC Team on e-Commerce to help with this and other tasks, as the team currently consisted only of the IC lead and the e-Commerce lead from the IFU. The Secretariat then gave an overview of ongoing activities, including progress on the draft *e-Commerce guide for plants, plant products and other regulated articles* (2017-039), which was almost ready for peer review, the launch of a phytosanitary system component page on e-Commerce systems on the IPP, and continued collaboration and liaison with key external organizations and e-Commerce experts. Proposed new activities for 2022 included the IRSS desk study on e-Commerce (see agenda item 10.1) and communication and advocacy work using a range of media and materials (webinars, posters, infographics, etc.) to raise awareness of phytosanitary import requirements. The Secretariat explained that the e-Commerce budget established

¹⁹ VM17_08_IC_2021_Nov.

²⁰ VM17_09_IC_2021_Nov.

by CPM-14 (2019) had not considered the in-kind and financial contributions made by Canada nor the impact that COVID-19 had had on travel, but that the Secretariat would reallocate resources according to priorities.

[112] The IC Chairperson thanked the Secretariat and the IC lead and invited the IC to comment.

[113] The RPPOs representative commented on the possibility of a capacity development event on e-Commerce organized by NAPPO and suggested that, if this were to go ahead, it would potentially be a good opportunity for collaboration between the Secretariat, NAPPO and potentially other RPPOs. The IC lead welcomed this news and encouraged the RPPOs representative to keep in touch about it. The Secretariat recalled a suggestion made in previous years that an NPPO or RPPO could act as a “champion” to promote a particular implementation guide or training material.

[114] The IC:

- (49) *noted* the activities of the IC Team on e-Commerce completed in 2021;
- (50) *approved* the 2022 annual work plan for the IC Team on e-Commerce (Appendix 15);
- (51) *agreed* that Stephanie BLOEM (RPPOs representative) would join the IC Team on e-Commerce.
- (52) *requested* that the IC Team on e-Commerce contribute to developing a detailed plan for the e-Commerce development agenda, with clear goals, deliverables and budgets for the next five, seven or ten years, and other information requested by the Focus Group for the IPPC Strategic Framework.

12. Summary of IC e-decisions

[115] The Secretariat presented a summary of the IC e-decisions (fora) opened from January to October 2021, highlighting the greater number of such decisions than usual.²¹ One of the key achievements was that the response level had increased: the average response level was close to 50 percent, and 60 percent of e-decisions had a response of 50 percent or more.

[116] The IC Chairperson encouraged IC members to participate in the e-fora, with the aim of achieving a 100 percent response rate.

[117] One IC member commented that the response rate depended, in part, on how easy it was to access the necessary material via hyperlinks but noted that this had now improved.

[118] The IC:

- (53) *agreed to* the summary of IC e-decisions (fora) for 2021 (Appendix 16).

13. IPPC Secretariat update

13.1 IFU work plan for 2022

[119] The Secretariat presented the 2022 work plan for the IFU and clarified that although the IC provides guidance to the IFU, it is the IFU that prepares its own work plan, guided by advice from the IC. The Secretariat had made some amendments to the work plan posted before the meeting,²² and presented this amended version to the IC. The Secretariat confirmed that the amended version would be attached to the report of this meeting as an Appendix.

[120] The Secretariat outlined the personnel resources available, noting that the work done depends on the number of personnel and that some personnel were due to finish their terms of appointment during 2022 as the associated projects came to an end. The Secretariat then presented the work plan, outlining the strategies applied by the IFU to deliver their objectives and the main activities and outputs. These

²¹ VM17_10_IC_2021_Nov.

²² VM17_11_IC_2021_Nov.

included providing support for meetings of the IC and its subsidiary bodies, maintaining the ICD LOT, communication activities, updating web-based information, developing guides and training material, managing projects, managing the IRSS, managing and conducting PCEs, participating in the fall armyworm activities managed by FAO, reviewing project proposal grants and project grants for STDF, updating (annually) the *IPPC procedure manual for implementation and capacity development*, providing assistance on dispute settlement, contributing to the organization and delivery of IPPC regional workshops, delivering training, and liaising with various external international bodies. The Secretariat emphasized that the IFU gives greatest priority to activities that have global impact but will work on regional projects if the outputs have global relevance. Involvement with national projects is generally avoided, with the exception of PCEs. The Secretariat noted that the planned PCEs listed in the work plan may be subject to change.

[121] The Secretariat invited questions from the IC.

[122] The IC expressed frustration that most of the personnel in the IFU were project-based and hence their terms of appointment were linked to the duration of projects, resulting in a high turnover of personnel. The IC thus called for greater stability in the staffing of the IFU. In response to a query, the Secretariat confirmed that a list of IFU personnel could be circulated to the IC.

[123] The IC Vice-Chairperson asked whether there would be an opportunity to tap into funding associated with the proposed establishment of a new subsidiary body for POARS. The Secretariat expressed a hope that some funding support for NROs could be secured this way, given the close linkages between POARS and NROs, but noted that it would all depend on the outcome of the CPM-16 (2022) discussions on POARS.

[124] The IC noted that the phytosanitary system component pages on the IPP were “buried” and not easy to find, and they agreed that these pages should be more prominent. The Secretariat confirmed that although they had advocated for such prominence, they had had no success to date but would continue to try. The Secretariat added that communication specialists had suggested that the component pages be visually improved, and so it was hoped that this could be done once funding became available. The IC Chairperson, however, expressed the view that the pages were sufficiently ready to be promoted and shared right now, and suggested that further refinement could be done as a second stage. The Secretariat suggested that the SC could perhaps be engaged in the efforts to make the component pages more prominent, and the IC agreed that it was an excellent suggestion to have a scheduled conversation with the SC about this.

[125] The IC noted the continued delays in recruiting a replacement for the IPPC Secretary and agreed that the IC Chairperson would write to the IPPC Secretary to ask what the time frame was for recruiting a replacement for the IFU lead following his retirement.

[126] The IC:

- (54) *noted* the 2022 work plan of the IFU as modified by the Secretariat (Appendix 17);
- (55) *agreed* that the IC Chairperson would write to the IPPC Secretary, copied to the IPPC Officer-in-Charge for daily matters, to ask about the time frame for recruiting a replacement lead for the IFU following the retirement of the current lead;
- (56) *invited* the SC to engage in a joint effort to promote the phytosanitary system component pages to a more prominent position on the IPP, and *requested* that the IC representative on the SC and the SC representative on the IC relay this message to the SC.

14. Any other business

14.1 Selection of IC leads

[127] The Secretariat confirmed the IC Sub-groups, guides and component pages for which IC leads were sought. The Secretariat confirmed that although the TC-RPPOs representative currently only held the status of an observer on the IC, she was most welcome to put her name forward to be an IC lead. A

recommendation from the SPG that the status of the TC-RPPOs representative be changed from observer to IC member (but without the possibility of being Chairperson or Vice-Chairperson) would be presented to CPM-16 (2022).²³

[128] The IC:

(57) *assigned* IC leads as follows:

- IC Sub-group on Dispute Avoidance and Settlement – Dominique PELLETIER (Canada),
- Risk-based inspection of imported consignments, Guide (2018-022) – Kyu-Ock YIM (Republic of Korea) (lead) and Stephanie BLOEM (RPPOs),
- Assessing the risk of introduction of pests with seeds, Guide (2018-036) – Thorwald GEUZE (The Netherlands) (lead) and Magda GONZALEZ ARROYO (Costa Rica),
- IPP component page on Phytosanitary legislation – Faith NDUNGE (Kenya),
- IPP component page on Dispute avoidance and settlement – Dominique PELLETIER (Canada),
- IPP component page on Sea containers – Dominique PELLETIER (Canada).

14.2 Communication and workload during times of pandemic

[129] One IC member raised a concern about the increased workload associated with working in virtual mode and the challenges of meetings that take place outside of normal waking hours. The member also noted that the frequency of emails from the Secretariat had increased. As meetings were likely to continue to operate in virtual mode for some time, the member suggested that the IC consider how best to organize communication with IC members, recognizing that IC members do not just work on IC matters but also have other duties.

[130] The IC acknowledged the issues raised and agreed to consider this matter at their next meeting.

[131] The Secretariat clarified that the increase in workload was a response to the IC's call for greater transparency, and this was acknowledged by the IC Chairperson.

[132] The IC:

(58) *requested* that, in the agenda for the next IC meeting, the Secretariat include an item on workload during times of pandemic.

14.3 Concept note on pest outbreak alert and response systems

[133] The Secretariat presented a concept note that had been submitted to the United States Agency for International Development Bureau of Humanitarian Assistance by FAO, seeking funding for an activity in 2022 entitled "Strengthening Plant Health Emergency Management Capacities". The concept note had been developed by the FAO Emergency Management Centre for Animal Health and revised by staff in the FAO Plant Production and Protection Division who are in charge of the management of locusts and by the IPPC Secretariat. The concept note had also been shared with experts of the CPM Focus Group on POARS and with the IC lead on POARS. All were supportive of the concept note.

[134] The IC lead on POARS highlighted the three interventions given in the concept note, one of which was to analyse the current situation, one to develop tools to manage emerging pests, and the third to strengthen the plant health emergency management capacities of FAO Members. The IC lead commented that, from an IC perspective, there was a clear benefit of this project, as the Secretariat was one of the project partners.

[135] The Secretariat clarified that the IC was being asked to ensure that the new project was aligned with the IPPC strategic objectives, has strategic value and a competitive advantage. However, as not all IC

²³ SPG 2021, agenda item 7.1.

members had seen the concept note, which had been made available during the meeting, the IC decided to review the concept note via e-decision.

[136] The IC:

- (59) *requested* that the Secretariat open an e-decision on the FAO concept note on “Strengthening Plant Health Emergency Management Capacities”.

14.4 New IC action list

[137] The Secretariat proposed the introduction of a new, smart IC action list to add as an appendix to each IC meeting report. This would comprise a short table summarizing the status of actions agreed at the previous meeting and would be followed-up at each IC meeting as a regular agenda item. The IC welcomed this new initiative.

[138] The IC:

- (60) *agreed* to add an IC action list as an appendix to each IC meeting report, giving the status of actions agreed at the previous IC meeting, and to include an agenda item on this at each IC meeting.

[139] The updated IC action list is attached to the report as Appendix 18.

15. Date and arrangement of the next meeting

[140] The IC agreed to change the date of the next IC meeting (VM18) from 19 January 2022 to 3 February 2022 at 08:00 Rome time.

[141] The Secretariat informed the IC that the meeting documents may only be available one week before the IC meeting.

16. Evaluation of the meeting process

[142] There was no evaluation at the end of the meeting.

17. Close of the meeting

[143] During the final session, current and former IC members congratulated the IFU lead, Mr. Brent Larson, on his impending retirement, wished him well, and shared memories of his long service with the Secretariat, both for standard setting and latterly for implementation and capacity development.

[144] At the end of the final session, the IC Chairperson thanked everyone for their participation.

[145] The IPPC Secretariat also thanked the participants and closed the meeting.

APPENDIX 1**VIRTUAL MEETING N° 17 AGENDA**

(Updated 2021-10-22)

**COMMISSION ON PHYTOSANITARY MEASURES
IMPLEMENTATION AND CAPACITY DEVELOPMENT COMMITTEE (IC)****November Meetings****Dates:** Thursday 18 November 21:00- 23:30 Rome Time

Tuesday 23 November 12:00- 14:30 Rome Time

Friday 26 November 12:00- 14:30 Rome Time

Tuesday 30 November 21:00- 23:30 Rome Time

	Agenda Item	Document No.	Presenter
1.	Opening of the Meeting		
1.1	Opening by the IFU Team lead and welcome by the IC Chairperson		LARSON PELLETIER
2.	Meeting Arrangements		
2.1	Election of the Rapporteur		PELLETIER
2.2	Adoption of the Agenda	VM17_01_IC_2021_Nov	PELLETIER
3.	Administrative Matters		
3.1	Review of meeting documents		KOUMBA
3.2	Review of participants		KOUMBA
4.	Call for topics		
4.1	TFT recommendations on 2021 Call for topics: Standards and Implementation	VM17_02_IC_2021_Nov	PETERSON / PELLETIER
5.	Plant Health Surveillance Portal		
5.1	Plant Health Surveillance Portal, e-Learning on surveillance developed by Australia as possible contributed resources	VM17_03_IC_2021_Nov	DALE / YAMADA
6.	Draft specifications revised considering comments		
6.1	Plant health officer training curricula (2017-054).	2017-054_PHO_SPEC_2021 2017-054_PHO_C-CM_2021 2017-054_PHO_O-CM_2021	RANSOM / KUMARASINGHE
6.2	Guide for developing phytosanitary security procedures to maintain the phytosanitary integrity of consignments for export (2018-028)	2018-028_PSP_SPEC_2021 2018-028_PSP_C-CM_2021 2018-028_PSP_O-CM_2021	YIM / KOUMBA
6.3	Guide on Development and implementation of regulations and legislation to manage phytosanitary risks (2018-008)	2018-008_MPR_SPEC_2021 2018-008_MPR_C-CM_2021 2018-008_MPR_O-CM_2021	DALE / YAMADA
7.	Phytosanitary Capacity Evaluation (PCE)		
7.1	IC Team on PCE 2021 activities <ul style="list-style-type: none"> Phytosanitary Capacity Evaluation Strategy for 2020-2030 – updated Procedure for a PCE facilitator certification Confidentiality agreement regarding the IPPC PCE 	VM17_04_IC_2021_Nov	BRUNEL / WHITE / GONZALEZ
8.	National Reporting Obligations (NRO)		

	Agenda Item	Document No.	Presenter
8.1	Draft ToRs for NRO Sub-group revised considering comments	NRO-SG_01_TOR_2021 NRO-SG_02_C-CM_2021 NRO-SG_03_O-CM_2021	YANG / GONZALEZ
8.2	IC Team on NROs <ul style="list-style-type: none"> 2021 activities 2022 work plan 	VM17_05_IC_2021_Nov	YANG / GONZALEZ
8.3	Proposed topic for the revision of NRO guide <ul style="list-style-type: none"> Draft Specification Completed submission form 	2021-026_NRO-G_OVE_2021 2021-026_NRO-G_SPEC_2021 2021-026_NRO-G_FOR_2021	YANG / GONZALEZ
9.	Guide and training materials		
9.1	IC Team on Guide and training materials 2021 activities (new publications, webinars, monitoring, and experiences with eLearning)	VM17_06_IC_2021_Nov	PETERSON / GUTIERREZ
10.	Implementation Review and Support System (IRSS)		
10.1	IRSS <ul style="list-style-type: none"> 2021 activities of the IC Sub-group and IPPC Secretariat 3-year work plan for IRSS (including Sub-group work plan) 	VM17_07_IC_2021_Nov	PELLETIER / KOU MBA
10.2	Preferred options for the transition to a sustainable IRSS	VM17_08_IC_2021_Nov	PELLETIER / KOU MBA
11.	e-Commerce		
11.1	IC Team on e-Commerce <ul style="list-style-type: none"> 2021 activities 2022 work plan 	VM17_09_IC_2021_Nov	PETERSON / GEUZE
12.	IC e-decisions		
12.1	Annual summary	VM17_10_IC_2021_Nov	KOU MBA
13.	IPPC Secretariat		
13.1	IFU work plan for 2022	VM17_11_IC_2021_Nov	LARSON / BRUNEL
14.	Any Other Business		
14.1	Selection of IC leads		PELLETIER / KOU MBA
14.2	Communication and workload during times of pandemic		GONZALES / BRUNEL
14.3	Concept note on pest outbreak alert and response systems		BRUNEL / ARNITIS
14.4	New IC action list		KOU MBA
15.	Date and arrangement of the Next Meeting		KOU MBA
16.	Evaluation of the meeting process		CZERWIEN
17.	Close of the Meeting		PELLETIER / LARSON

APPENDIX 2**IC VIRTUAL MEETING N° 17 – DOCUMENT LIST**

Reference	Description
VM17_01_IC_2021_Nov	Agenda
VM17_02_IC_2021_Nov	Review of Task Force for Topics recommendations on 2021 Call for Topics: Standards and Implementation
VM17_03_IC_2021_Nov	IC Team on National Reporting Obligations: report of activities in 2021 and work plan for 2022
VM17_06_IC_2021_Nov	Update on IPPC guides and training materials
VM17_07_IC_2021_Nov	IC Subgroup on Implementation Review and Support System: update and proposed work plan
VM17_08_IC_2021_Nov	Executive summary of preferred options for transitioning to a sustainable Implementation Review and Support System
VM17_09_IC_2021_Nov	IC Team on e-Commerce: update and proposed work plan
VM17_10_IC_2021_Nov	Annual summary of IC e-decisions, January–October 2021
VM17_11_IC_2021_Nov	IFU work plan for 2022
2017-054_PHO_SPEC_2021	Draft specification on <i>Plant health officer training curricula with regards to the IPPC</i> (2017-054)
2017-054_PHO_C-CM_2021	Compiled comments on draft specification on <i>Plant health officer training curricula with regards to the IPPC</i> (2017-054)
2017-054_PHO_O-CM_2021	Overview of progress on draft specification on <i>Plant health officer training curricula with regards to the IPPC</i> (2017-054)
2018-008_MPR_SPEC_2021	Draft specification on <i>Development and implementation of legislation and regulations for NPPOs to manage the pest risks from the international movement of sea or air of regulated articles other than plants and plant products, Guide</i> (2018-008)
2018-008_MPR_C-CM_2021	Compiled comments on draft specification on <i>Development and implementation of regulations and legislation to manage phytosanitary risks on regulated articles for NPPOs, Guide</i> (2018-008)
2018-008_MPR_O-CM_2021	Overview of progress on draft specification on <i>Development and implementation of regulations and legislation to manage phytosanitary risks on regulated articles for NPPOs, Guide</i> (2018-008)
2018-028_PSP_SPEC_2021	Draft specification on <i>Guide for developing phytosanitary procedures to maintain the phytosanitary security of consignments for export</i> (2018-028)
2018-028_PSP_C-CM_2021	Compiled comments on draft specification on <i>Guide for developing phytosanitary security procedures to maintain the phytosanitary integrity of consignments for export</i> (2018-028)
2018-028_PSP_O-CM_2021	Overview of progress on draft specification on <i>Guide for developing phytosanitary procedures to maintain the phytosanitary security of consignments for export</i> (2018-028)
2021-026_NRO-G_SPEC_2021	Draft specification on <i>National reporting obligations guide (revision)</i> (2021-026)
2021-026_NRO-G_FOR_2021	Submission form for proposed revision to <i>Guide to national reporting obligations</i> (2021-026)
2021-026_NRO-G_OVE_2021	Overview of draft specification on <i>National reporting obligations guide (revision)</i> (2021-026)
NRO-SG_01_TOR_2021	Draft terms of reference for the IC Subgroup on National Reporting Obligations
NRO-SG_02_C-CM_2021	Compiled comments on the draft terms of reference for the IC Subgroup on National Reporting Obligations
NRO-SG_03_O-CM_2021	Overview of draft terms of reference for the IC Subgroup on National Reporting Obligations and responses to comments
VM17-AOB_BHA	Concept note “Strengthening Plant Health Emergency Management Capacities”

APPENDIX 3**IC VIRTUAL MEETING N° 17 - PARTICIPANTS LIST**

Role Organization	Name	Email address
Chair	Mr Dominique PELLETIER	dominique.pelletier2@canada.ca dominique.pelletier@inspection.gc.ca
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Member	Mr Thorwald GEUZE	t.geuze@nvwa.nl
Member	Mr Lalith Bandula KUMARASINGHE	Lalith.kumarasinghe@mpi.govt.nz
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Member	Ms Kyu-Ock YIM	koyim@korea.kr
Member	Mr Ahmed M. Abdellah ABDELMOTTALEB	bidoeng@yahoo.com bidoeng@gmail.com
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SC Representative	Mr Álvaro SEPÚLVEDA LUQUE	alvaro.sepulveda@sag.gob.cl
Rapporteur	Ms Karen ROUEN	karen@karenrouen.com

Others

Role/Organization	Name	Email address
IPPC Secretariat	Mr Brent LARSON	Brent.Larson@fao.org ;
IPPC Secretariat	Ms Sarah BRUNEL	Sarah.Brunel@fao.org
IPPC Secretariat	Ms Natsumi YAMADA	Natsumi.Yamada@fao.org
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IPPC Secretariat	Mr Edgar MUSHEGIAN	Edgar.mushegian@fao.org

APPENDIX 4**Specification: Knowing and understanding the IPPC - plant health or protection officer training curricula (2017-054)****Status box**

This status box is not an official part of the Guide and will be modified by the IPPC Secretariat	
Topic number	2017-054
Title	Knowing and understanding the IPPC - plant health or protection officer training curricula (2017-054)
Type of implementation resource	Curricula
Date of this document	2022-02-11
Current document stage	Approved specification
Major completed stages	<p>2019-04: Added this topic to List of Implementation and Capacity Development Topics; priority 2 (CPM-14)</p> <p>2020-11: Implementation and Capacity Development Committee (IC) lead identified (Lalith KUMARASINGHE (NZ))</p> <p>2021-01: IC changed the priority from 2 to 1</p> <p>2021-06: draft Specification approved for consultation by IC (2021_eIC_14)</p> <p>2021-07: 2021 IPPC Consultation</p> <p>2021-11: Specification approved by the IC (IC_VM17)</p>
Implementation and Capacity Development Committee (IC) lead	2020-11: IC Lalith KUMARASINGHE (NZ)
IPPC Secretariat lead	<p>2021-02: IFU Brent LARSON</p> <p>2021-09: IFU Lois RANSOM</p>
Working Group experts	
Notes	<p>2021-11: IC agreed to change the title from <i>Plant health or protection officer training curricula with regards to the IPPC</i> to <i>Knowing and understanding the IPPC - plant health or protection officer training curricula</i></p> <p>2021-12: Edited</p>

1. Title

Knowing and understanding the IPPC - plant health or protection officer training curricula (2017-054)

2. Type of implementation resource

Curricula

3. Convention articles, ISPMs and CPM recommendations to be addressed by the proposed implementation resource

International Plant Protection Convention, all Articles

ISPMs: All

CPM Recommendations: All

4. Purpose and scope

The purpose of the training curricula is to assist national plant protection organizations (NPPOs), regional plant protection organizations (RPPOs) and the IPPC Secretariat to identify and develop appropriate training programmes that establish a baseline knowledge and common understanding of the International Plant Protection Convention and the systems and processes for its implementation by officers who are involved in plant health or protection roles or functions. Some of these roles and functions are described in the IPPC guide “Establishing a National Plant Protection Organization”. These curricula may be used as the basis for training plant health or protection officers working in NPPOs, RPPOs, in the IPPC Secretariat or as facilitators accredited by the IPPC Secretariat (e.g. PCE facilitators), as well as members of the Commission on Phytosanitary Measures (CPM) subsidiary bodies and related groups.

Developed by phytosanitary experts under the guidance of pedagogical experts, the curricula will provide the lessons, assessment and reference materials that help ensure plant health and protection officers have the essential knowledge of the IPPC and its implementation as a foundation for carrying out their work.

In summary, the curricula:

- are education programmes that provide an outline of the common baseline knowledge needed to have an understanding of the IPPC and how to implement its ISPMs and CPM Recommendations;
- are designed as a training element for anyone who contributes to achieving the IPPC Mission, including NPPO, RPPO and IPPC Secretariat staff and members of the IPPC community;
- provide a standard syllabus and assessment outcomes against agreed competency criteria so that students achieve “proof of learning” that is globally recognized;
- identify a suite of teaching approaches and standard content that is available to training organizations to use;
- can be integrated with function-specific training of plant health or protection roles;
- are reviewed and, as necessary, revised to ensure their relevance and currency.

5. Background

Over the years, several educational institutions have requested input from the IPPC Secretariat to participate and deliver components of phytosanitary training courses. Phytosanitary experts from around the world have participated in these training courses, including those offered at degree-granting institutions (both bachelor’s and master’s level) and shorter, one to two-week courses offered by colleagues or training institutes. Several years ago, the IPPC Secretariat also developed and delivered a course to train PCE Facilitators. These courses have targeted all levels of plant health and protection officers working in a wide range of phytosanitary roles and functions.

In a recent “design-thinking study” conducted by the Secretariat, both of the NPPOs interviewed identified the need to have an “onboarding” course for their plant health officers, especially new employees.

Also, with the high turnover of staff in the IPPC Secretariat and the large number of “in-kind” contributions of NPPO staff that are loaned to the Secretariat as plant health officers, there is a basic need to bring new staff up to speed on the activities of the IPPC Secretariat, the CPM and related subsidiary bodies and groups. These types of training curricula might also be helpful for new members of the CPM’s subsidiary bodies.

6. Content for the proposed implementation resource

a. Identification of essential roles and functions requiring IPPC training (target audience):

- a. Working with NPPOs;
- b. Working with RPPOs;
- c. Working with the IPPC Secretariat, CPM subsidiary bodies and related groups;
- d. [IPPC Secretariat-accredited facilitators including](#) Phytosanitary Capacity Evaluation (PCE) and Beyond Compliance facilitators;
- e. [Capacity development organizations including donors, providers – including the Standards and Trade Development Facility and other World Trade Organization \(WTO\) bodies; AID and other organizations; the Centre for Agriculture and Biosciences International \(CABI\), the Europe–Africa–Caribbean–Pacific Liaison Committee \(COLEACP\), etc.](#)

b. Develop the IPPC knowledge requirements with reference to the roles and functions identified in 6.a.

- a. Define the knowledge needs relevant to the roles and functions outlined above. This should consider the IPPC rights and obligations, action and resources relevant to activities carried out by plant health or protection officers occupying different positions. This might be assisted by analysing work situations, etc., through analysis, discussions, consultations, literature searches for existing job descriptions, interviews, etc. For NPPOs, this process also needs to consider the functions identified in the IPPC guide on “Establishing a National Plant Protection Organization” and any additional roles and functions identified through discussions, consultations and interviews with NPPOs.
- b. Develop descriptions of roles and functions identified by the target audience. These could include but are not limited to:
 - purpose of the role;
 - principal responsibilities/key results areas
 - education, skills and experience:
 - **Education:** identify essential education (e.g. in agriculture or related field)
 - **Experience and knowledge:** (e.g. at least two years’ experience in a relevant specialist area such as entomology, taxonomy, pathology, agronomy)
 - **Skills:** identify essential and desired skills (e.g. good written and verbal communication skills, presentation skills)
 - **Common capabilities:** identify essential and desired soft skills (e.g. result-focused, self-directed learner, judgement and decision-making capability, communication with impact).

- c. Determine/develop the process of linking role and function descriptions developed in 6.b with a particular training curriculum. The process could include, but is not limited to:**
- assessing the context and identifying the target audience – could consider grouping similar positions/skill requirements;
 - defining the purpose of the training and learning objectives;
 - collating/identifying, adjusting and reviewing existing training material.
- d. Develop the training curricula for the roles and functions identified in 6.a using the process developed in 6.c. In this process, consider the standard structure of a curriculum including:**
- a purpose statement that defines the need that is fulfilled;
 - outcome statement with the official list of goals;
 - essential resources;
 - strategy framework outlining the teaching approach;
 - verification method;
 - Standards alignment around competency criteria;
 - course syllabus;
 - proof of learning.

The following should be considered as relevant:

- Developing induction and training plans, including monitoring and evaluation processes, formative and summative assessment components, and prioritizing the elements of the training curricula.
- Developing staff up-skilling framework (i.e. develop training curricula for new and experienced staff) of a particular role. For example, develop a training curriculum for those who are aspiring to become a plant health or protection officer; foundational training curricula for those who are new to their role; and more advanced training curricula for experienced staff who perform complex tasks.
- How best to use “off-the-job training” including lectures, e-learning, special study, films, television conferences or discussions, case studies, role playing, simulation, programmed instruction, laboratory training related publications, social media and “on-the-job training”, which can be delivered to employees while they perform their regular jobs, including considerations for mentoring/coaching, internships, job rotation, apprenticeships, etc.
- Developing a process or criteria for evaluating the ongoing quality of the training material.
- Developing a system of recognition or certification for an individual’s successful completion of learning.

7. Financial and in-kind contributions

This e-learning course will be supported through a contribution to the IPPC Multi-donor Trust Fund by the Republic of Korea.

8. Selection criteria for working group experts

The IPPC Secretariat and the Implementation and Capacity Development Committee support equity, diversity, and inclusiveness and encourage all interested experts to submit their candidature to participate in the working group that will be tasked with developing this IPPC Guide or training material.

The members of the working group will be selected based on their technical and practical expertise in the subject matter. Geographical representation from both developing and developed countries will also be considered to ensure that the material developed is globally applicable and reflects best practices from all over the world.

The following criteria should be used for selecting working group members:

- practical expertise and deep knowledge related to a phytosanitary system;
- pedagogical expertise in developing curricula and in course design and assessment;
- practical expertise developing, implementing and supervising phytosanitary training programmes;

4. practical expertise managing phytosanitary training programmes;
5. good understanding of the IPPC, International Standards for Phytosanitary Measures and CPM Recommendations;
6. practical expertise in the use of IPPC Guides and training materials, including e-learning materials;
7. experience in conducting PCEs and participating in the PCE Facilitator training;
8. experience in the development, preparation and delivery of distance-learning content and programmes (distance tutoring, self-study courses, online collective training);
9. experience in blended learning (e.g. combining e-learning and traditional face-to-face teaching);
10. [experience in monitoring and integrating post-certification achievement into the curriculum](#);
11. a deep understanding of national phytosanitary systems;
12. strong working knowledge of English and ability to formulate ideas and write clearly in English.

9. References and supporting materials

InforMEA (United Nations Information Portal on Multilateral Environmental Agreements). 2018. *Introductory Course to the International Plant Protection Convention: Course Syllabus*. https://www.ippc.int/static/media/uploads/syllabus_-_ippc.pdf

IPPC Secretariat. 1997. International Plant Protection Convention. Rome, IPPC Secretariat, FAO. www.ippc.int/en/publications/131

IPPC Secretariat. 2020. Design thinking study “How to leverage digital methods to efficiently deliver implementation and capacity development (ICD) phytosanitary activities at global, regional and national levels”. IPPC internal document. Rome.

IPPC Secretariat. 2020. Training material on the Phytosanitary Capacity Evaluation (PCE). In: *IPPC Core Activities*. Rome. <https://www.ippc.int/en/core-activities/capacity-development/phytosanitary-capacity-evaluation/training-material-on-the-phytosanitary-capacity-evaluation-pce/>

APPENDIX 5

Specification: Developing phytosanitary procedures to maintain the phytosanitary security of consignments for export, Guide (2018-028)

Status box

This status box is not an official part of the guide and will be modified by the IPPC Secretariat	
Submission number:	2018-028
Date of this document	2022-02-11
Document category	IPPC guide
Title	Developing phytosanitary procedures to maintain the phytosanitary security of consignments for export
Current document stage	Approved specification
Major stages	<p>2019-03: CPM-14 (2019) added this topic to <i>List of implementation and capacity development topics</i>, priority 1</p> <p>2020-11: Implementation and Capacity Development Committee (IC) lead identified (Kyu-Ock YIM (KR))</p> <p>2021-04: Draft specification reviewed by the IC</p> <p>2021-05: Comments reviewed by IC lead</p> <p>2021-05: IC approved draft specification for consultation</p> <p>2021-07: 2021 IPPC Consultation</p> <p>2021-11: IC revised and approved the specification</p>
Implementation Committee lead	2020-11: Kyu-Ock YIM
IPPC Secretariat lead	2021-02: Descartes KOUMBA
Working Group experts	
Notes	<p>2021-11: IC agreed to change the title from <i>Guide for developing phytosanitary security procedures to maintain the phytosanitary integrity of consignments for export</i> to <i>Guide for developing phytosanitary procedures to maintain the phytosanitary security of consignments for export</i></p> <p>2022-02: Edited</p>

1. Title

Developing phytosanitary procedures to maintain the phytosanitary security of consignments for export, Guide (2018-028)

2. Type of implementation resource

IPPC guide

3. Convention articles, ISPMs and CPM recommendations to be addressed by the proposed implementation resource

International Plant Protection Convention (IPPC) (Articles IV.2(g) and VII.2(e), in particular)

ISPM 7: *Phytosanitary certification system*

ISPM 12: *Phytosanitary certificates*

ISPM 23: *Guidelines for inspection*

ISPM 31: *Methodologies for sampling of consignments*

ISPM 32: *Categorization of commodities according to their pest risk*

4. Scope

This IPPC guide is designed to provide guidance on the development of phytosanitary procedures that can be applied to all consignments subject to phytosanitary export certification to maintain their phytosanitary security.

5. Purpose

This guide will provide guidance for national plant protection organization (NPPO) decision-makers on phytosanitary procedures, including facilities and equipment if appropriate, to maintain the phytosanitary security of consignments for export of plants, plant products and other regulated articles. Maintaining the phytosanitary security of consignments after phytosanitary certification but before export is the operational responsibility of the NPPO of the exporting country (ISPM 7).

ISPM 5 (*Glossary of phytosanitary terms*) defines “phytosanitary security” (of a consignment) as:

Maintenance of the integrity of a consignment and prevention of its infestation and contamination by regulated pests, through the application of appropriate phytosanitary measures.

The guide will contribute to the prevention of the introduction and spread of pests by providing guidance for decision-making about the effective application of phytosanitary measures to maintain the phytosanitary security of consignments and will strengthen the phytosanitary assurance attested to in phytosanitary certificates.

6. Content for the proposed implementation resource

The working group should include content based on the outcomes of the following tasks:

- 1) List the responsibilities and obligations of the NPPOs of exporting countries, as outlined in the IPPC and relevant ISPMs, regarding the maintenance of the phytosanitary security of consignments certified for export.
- 2) Describe the importance of implementing phytosanitary procedures to maintain the phytosanitary security of consignments.
- 3) Describe critical control points in the export chain where a phytosanitary procedure or procedures should, if applicable, be applied to maintain the phytosanitary security of a consignment throughout the export process, such as:
 - during transportation from the production site to, or between, receiving facilities;

- at packing houses or processing facilities;
 - at treatment facilities;
 - at storage facilities;
 - at freight-forwarding facilities; and
 - during loading and transportation for export.
- 4) Provide examples of phytosanitary measures that may be applied to maintain the phytosanitary security of consignments or lots (e.g. prevention or exclusion measures, reduction or control measures, monitoring and verification procedures).
 - 5) Describe actions that may be applied when phytosanitary security has been compromised.
 - 6) Suggest case studies that show how phytosanitary procedures have been applied to maintain the phytosanitary security of consignments for export after phytosanitary certification.

7. Financial and in-kind contributions

Contracting parties are encouraged to identify any financial or in-kind contributions that will be provided to support the development of this guide or to facilitate the translation of the final product.

8. Selection criteria for working group experts

The IPPC Secretariat and the Implementation and Capacity Development Committee support equity, diversity, and inclusiveness and encourage all interested experts to submit their candidature to participate in the working group that will be tasked with developing this IPPC guide or training material.

The members of the working group will be selected based on their technical and practical expertise in the subject matter. Geographical representation from both developing and developed countries will also be considered to ensure that the material developed is globally applicable and reflects best practices from all over the world.

The following criteria should be used for selecting working group members:

- (61) practical expertise and knowledge in one or more of the following areas:
 - establishment of phytosanitary procedures,
 - inspection of plants and plant products,
 - export certification,
 - development or management of phytosanitary export systems,
 - development of training materials or manuals for NPPO inspection staff; and
- (62) a strong working knowledge of English and ability to formulate ideas and write clearly in English.

9. References and supporting materials

Australian Government Department of Agriculture. 2013. *Exporting plants and plant products: A step-by-step guide for Australian exporters*. Canberra, Department of Agriculture Biosecurity. 10 pp. www.ippc.int/en/core-activities/capacity-development/guides-and-training-materials/contributed-resource-detail/exporting-australia-includes-quarantine-information-export-plants-and-plant-products

IPPC Secretariat. 1997. *International Plant Protection Convention*. Rome, IPPC Secretariat, FAO. www.ippc.int/en/publications/131

IPPC Secretariat. 2015. *Export certification: A guide to export certification for national plant protection organizations*. Rome, IPPC Secretariat, FAO. 38 pp. www.ippc.int/en/publications/90636/

IPPC Secretariat. 2015. *Operation of a national plant protection organization: A guide to understanding the principal requirements for operating an organization to protect national*

- plant resources from pests*. Rome, IPPC Secretariat, FAO. 35 pp.
www.ippc.int/en/publications/86039
- IPPC Secretariat**. (forthcoming). Phytosanitary export certification system. IPPC e-learning course. In: *International Plant Protection Convention e-learning courses*. Cited 9 February 2022.
www.ippc.int/en/e-learning
- IPPC Secretariat**. (forthcoming). Inspection. IPPC e-learning course. In: *International Plant Protection Convention e-learning courses*. Cited 9 February 2022. www.ippc.int/en/e-learning
- ISPM 5. *Glossary of phytosanitary terms*. Rome, IPPC Secretariat, FAO.
<https://www.ippc.int/en/publications/622>
- ISPM 7. 2016. *Phytosanitary certification system*. Rome, IPPC Secretariat, FAO.
www.ippc.int/en/publications/613
- ISPM 12. 2017. *Phytosanitary certificates*. Rome, IPPC Secretariat, FAO.
www.ippc.int/en/publications/609
- ISPM 23. 2019. *Guidelines for inspection*. Rome, IPPC Secretariat, FAO.
www.ippc.int/en/publications/598
- ISPM 31. 2016. *Methodologies for sampling of consignments*. Rome, IPPC Secretariat, FAO.
www.ippc.int/en/publications/588
- ISPM 32. 2016. *Categorization of commodities according to their pest risk*. Rome, IPPC Secretariat, FAO. www.ippc.int/en/publications/587
- New Zealand Ministry for Primary Industries**. 2015. *Plant export requirement. MPI technical standard: Phytosanitary inspection*. Wellington, Ministry for Primary Industries. 19 pp.
www.mpi.govt.nz/dmsdocument/7968-mpi-technical-standard-phytosanitary-inspection
- New Zealand Ministry for Primary Industries**. 2017. *Guidance document. Developing phytosanitary security procedures*. Wellington, Ministry for Primary Industries. 8 pp.
- United States Department of Agriculture**. 2010. *Export program manual*, 2nd edn. Riverdale, USA, United States Department of Agriculture, Animal and Plant Health Inspection Service, Plant Protection and Quarantine. 288 pp. www.ippc.int/en/core-activities/capacity-development/guides-and-training-materials/contributed-resource-detail/export-manual-program

APPENDIX 6

Specification: Development and implementation of legislation and regulations for NPPOs to manage the pest risks from the international movement of regulated articles other than plants and plant products, Guide (2018-008)

Status box

This status box is not an official part of the Guide and will be modified by the IPPC Secretariat	
Topic number	2018-008
Title	Development and implementation of legislation and regulations for NPPOs to manage the pest risks from the international movement of regulated articles other than plants and plant products, Guide (2018-008)
Type of implementation resource	IPPC Guide
Date of this document	2022-02-11
Current document stage	Approved specification
Major stages completed	<p>2019-04: CPM-14 (2019) added this topic to List of Implementation and Capacity Development Topics; priority 1</p> <p>2019-05: Implementation and Capacity Development Committee (IC) lead identified (Chris DALE (AU))</p> <p>2021-04: draft Specification was updated by the Implementation and Facilitation Unit (IFU) with input from IC lead</p> <p>2021-04: Commented by IC through OCS</p> <p>2021-05: Comments reviewed of by IC lead</p> <p>2021-05: IC approved draft specification for consultation (e-decision 2021_eIC_09)</p> <p>2021-07: 2021 IPPC Consultation</p> <p>2021-11: Specification approved by IC (IC_VM17)</p>
Implementation and Capacity Development Committee (IC) lead	2020-07: IC Chris DALE (AU)
IPPC Secretariat lead	2021-03: IFU Natsumi YAMADA
Working Group experts	
Notes	2022-01 Edited

1. Title

Development and implementation of legislation and regulations for national plant protection organizations to manage the pest risks from the international movement of regulated articles other than plants and plant products (2018-008)

2. Type of implementation resource

New Guide

3. Convention articles, ISPMs and CPM recommendations to be addressed by the proposed implementation resource

International Plant Protection Convention (Articles I, II, IV and VII: provisions to manage pest risks on regulated articles)

ISPM 1: *Phytosanitary principles for the protection of plants and the application of phytosanitary measures in international trade*

ISPM 41: *International movement of used vehicles, machinery and equipment*

CPM Recommendation (R-06): *Sea containers*

CPM Recommendation (R-09): *Safe provision of food and other humanitarian aid to prevent the introduction of plant pests during an emergency situation*

4. Scope

This guide will describe the framework for national plant protection organizations (NPPOs) to develop and implement legislation to manage pest risks on regulated articles other than plants and plant products. The regulated articles included are storage facilities, packaging, conveyances (aircraft, vessels, etc.), shipping containers, soil and any other organism, object or material capable of harbouring or spreading plant pests. The scope of this guide does not include plants and plant products. The guide will provide model legislation and guidance to assist NPPOs to work with border agencies and provide recommendations to harmonize the use of phytosanitary measures applied to regulated articles.

5. Purpose

This guide will provide guidance for NPPOs to develop and apply legislation to enable them to manage pest risks in regulated articles other than plants and plant products.

In addition, this guide will provide NPPOs with the necessary guidance to implement the relevant provisions of the Convention. It will also provide guidance to NPPOs in working with other agencies within their governments by providing model legislation and frameworks for sharing biosecurity functions with organizations which may not traditionally hold them.

The development of guidance, including a generic international model on how to manage pest risk when using multiple organizations along the import pathway, will minimize pest risks and promote safe trade.

The guide will enhance and improve the understanding for contracting parties of the presence, impact and management of contaminating pests. The guide will involve the development of supporting material for identifying conveyances, potential contaminating pests and their impacts on natural and production ecosystems, risk management activities and the environment.

The guide will also provide procedures, guidance and supporting criteria for regulated articles that may not be managed by contracting parties. The implementation resource will create a framework for NPPOs to assess and make decisions on how to regulate regulated articles and conveyances such as international

vessels, shipping containers, international aircraft, airfreight containers, mail articles, and international vessel and aircraft passengers.

6. Content for proposed implementation resource

The proposed guide should include the content based on the outcomes of the following tasks:

- 1) Identify relevant ISPMs, which consider pest risks on regulated articles other than plants and plant products, and consider how these ISPMs can be reflected in national legislation;
- 2) Discuss phytosanitary measures currently applied by NPPOs to address pest risks on regulated articles other than plants and plant products, and consider pest risk management measures when multiple organizations are associated with the import pathway;
- 3) Identify types of legislation currently applied by NPPOs to address pest risk on regulated articles;
- 4) Identify challenges in regulating imports of regulated articles and discuss how to address these challenges;
- 5) Identify and define the types of regulated articles the guide will address and consider how the regulated articles pose a risk of harbouring or spreading contaminating pests;
- 6) Identify the types of quarantine contaminating pests that may be associated with regulated articles and discuss possible phytosanitary measures that may be applied to mitigate and manage these pest risks;
- 7) Develop a draft model legislation and regulations for managing regulated articles that may be adapted for use by an NPPO;
- 8) Identify regulated articles to reduce pest risks in the pathways;
- 9) Identify critical elements and requirements to be included in the above framework;
- 10) Provide guidance to assist NPPOs to implement provisions of the Convention pertaining to regulated articles;
- 11) Provide guidance to NPPOs regarding communicating phytosanitary import requirements to exporting countries, as well as best practices for communicating these best practices and posting to the country page on the International Phytosanitary Portal (IPP);
- 12) Suggest best practices with respect to working with other border agencies;
- 13) Suggest best practices for non-compliance and emergency action and reporting;
- 14) Provide case studies and examples to enhance the information in the guide;
- 15) Identify existing, relevant technical resources that could be made available on the IPP.

7. Financial and in-kind contributions

Contracting parties are encouraged to identify any financial or in-kind contributions that will be provided to support the development of this guide or to facilitate the translation of the final product.

8. Selection criteria for working group experts

The IPPC Secretariat and the Implementation and Capacity Development Committee support equity, diversity, and inclusiveness and encourage all interested experts to submit their candidature to participate in the working group that will be tasked with developing this IPPC Guide or training material.

The members of the working group will be selected based on their technical and practical expertise in the subject matter. Geographical representation from both developing and developed countries will also be considered to ensure that the material developed is globally applicable and reflects best practices from all over the world.

The following criteria should be used for selecting working group members:

(1) Practical expertise and knowledge in one or more of the following areas:

- developing legislation, regulation and policies to identify, prioritize and manage; phytosanitary risks on regulated articles, NPPO communication specialists, lawyers/jurists familiar with NPPO and border agency authorities;
- implementing risk management and risk mitigation controls on regulated articles;
- managing phytosanitary import and export systems;
- conducting investigations, coordinating pest notification, response and emergency actions in association with contaminating pests;
- carrying out risk assessment and risk management;
- experts from agencies other than NPPOs involved with plant health related regulated articles;

(2) Strong working knowledge of English and ability to formulate ideas and write clearly in English.

9. 9. References and supporting materials

CPM Recommendation (R-06). 2021. *Sea containers*. Rome, IPPC Secretariat, FAO. Rome, IPPC Secretariat, FAO. <https://www.ippc.int/en/publications/84233/>

CPM Recommendation (R-09). 2021. *Safe provision of food and other humanitarian aid to prevent the introduction of plant pests during an emergency situation*. Rome, IPPC Secretariat, FAO. <https://www.ippc.int/en/publications/89314/>

IMO (International Maritime Organization). 2014. IMO/ILO/UNECE Code of Practice for Packing of Cargo Transport Units (CTU Code). London. <https://wwwcdn.imo.org/localresources/en/OurWork/Safety/Documents/1497.pdf>

IPPC Secretariat. 1997. International Plant Protection Convention. Rome, IPPC Secretariat, FAO.

IPPC Secretariat. 2017. Background information for the IPP: Development of the draft ISPM on *Minimising Pest Movement by Sea Containers (2008-001)* Rome, IPPC Secretariat, FAO. <https://www.ippc.int/en/publications/84267/>

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IPPC Secretariat. 2018. IPPC factsheet on *Sea Container Cleanliness* [online]. Rome, IPPC Secretariat, FAO. <http://www.fao.org/documents/card/en/c/I8960EN>

IPPC Secretariat. 2019. *Sea Container Surveys - Guidelines for National Plant Protection Organizations (NPPOs)*. Rome, IPPC Secretariat, FAO. <http://www.fao.org/documents/card/en/c/ca7740en>

IPPC Secretariat. 2020. IPPC factsheet on *Reducing the spread of invasive pests by sea containers*. Rome, IPPC Secretariat, FAO. <http://www.fao.org/documents/card/en/c/ca7670en>

IPPC Secretariat. 2020. *Sea container supply chains and cleanliness: an IPPC best practice guide on measures to minimize pest contamination*. Rome, IPPC Secretariat, FAO. <http://www.fao.org/documents/card/en/c/ca7963en>

ISPM 1. 2021. *Phytosanitary principles for the protection of plants and the application of phytosanitary measures in international trade*. Rome, IPPC Secretariat, FAO. <https://www.ippc.int/en/publications/596/>

ISPM 5. *Glossary of phytosanitary terms*. Rome, IPPC Secretariat, FAO. <https://www.ippc.int/en/publications/622/>

ISPM 41. 2021. *International movement of used vehicles, machinery and equipment*. Rome, IPPC Secretariat, FAO. <https://www.ippc.int/en/publications/84343/>

Specification 55. 2012. *Safe handling and disposal of waste with potential pest risk generated during international voyages*. Rome, IPPC Secretariat, FAO. https://assets.ippc.int/static/media/files/publications/2014/03/04/spec_55_wastedisposal_2014-03-04.pdf

APPENDIX 7

PROCEDURE FOR A PCE FACILITATOR CERTIFICATION

Introduction

In the past 20 years, Phytosanitary Capacity Evaluations have been implemented in over 80 countries. The PCE has been a great way for NPPO Staff and Stakeholders to learn about various components of a phytosanitary system and to learn and understand the IPPC, ISPMs and the various technical resources available. In addition, this process has helped many countries strengthen their national phytosanitary law and systems.

Lately, many requests have come from Contracting Parties for PCEs to be undertaken. The IPPC Implementation and Capacity Development Committee (IC) developed a strategy to rely on certified facilitators to accurately meet the increasing demand of countries to implement a PCE. A procedure for a PCE facilitator certification is therefore proposed in this document.

Purpose of the procedure for a PCE Facilitator certification

A procedure for the certification of PCE Facilitators is established to ensure an accurate, repeatable and transparent process is followed.

1. **PCE Board.** A PCE Board^[1] is established to oversee the PCE Facilitator certification process as per the procedure described in this document.
2. **PCE National Coordinator.** Person assigned by the National IPPC Contact Point to complete the modules. The PCE National Coordinator needs to be free of any conflict of interest.
3. **PCE Facilitator Trainee.** Individuals, with some phytosanitary background, would take PCE training courses offered by the IPPC Secretariat and be evaluated against predetermined criteria by the PCE Mentors. Once they pass this evaluation, they become a **PCE Facilitator Trainee**. Those who do not pass this evaluation will be informed and given an explanation in writing. In exceptional circumstances, as determined by the PCE Board, experts with over 10 years of experience in delivering phytosanitary programmes and/or in participating in the PCE process, may, without taking the above training, be evaluated against the same criteria and upon satisfactory evaluation become a PCE Facilitator Trainee.
4. **Certified PCE Facilitator.** PCE Facilitator Trainees must undergo a recognition process, by participating in and leading an overall PCE composed of three PCE missions, under the oversight of a **Certified PCE Facilitator**. The PCE Facilitator Trainee will undertake a PCE pro-actively with full responsibility for its good implementation and for the delivery of outputs. The Certified PCE Facilitator will guide the trainee, as necessary, at each step of the PCE process. A form encompassing all aspects to be evaluated is provided in Appendix 1, as an attempt to systematically assess all relevant skills of a PCE Facilitator Trainee. An evaluation of the trainee through this form will take place at the end of each mission to be undertaken by the Certified PCE Facilitator and the country PCE National Coordinator will also be asked to provide an evaluation report after each mission. A final evaluation will take place after this series of PCE missions have been completed. The Certified PCE Facilitator should possibly attend at least two of the three missions of the PCE for an informed assessment. An evaluation form should be filled in after each mission by the Certified PCE Facilitator and communicated to the PCE Facilitator Trainee as a constructive way to provide feedback and improve performance. If satisfied with the work, the supervising Certified PCE Facilitator will recommend the PCE Facilitator Trainee to the IPPC Secretariat to be recognized. The submission will be reviewed by the **PCE Board** and if recommended, the PCE Facilitator Trainee will become a **Certified PCE Facilitator**.
5. **Terms of reference and key performance indicators of the PCE Facilitator Trainee.** Although the PCE Facilitator Trainee may not always be contracted by the IPPC Secretariat, a standard Terms of Reference and key performance indicators to be met when completing a PCE, are described in Appendix 2.

6. **Successful completion of a PCE.** A PCE will be deemed satisfactorily completed upon receipt from the National IPPC Contact Point of a National Phytosanitary Capacity Evaluation Strategy and Action Plan that has documented evidence of support by Stakeholders. This is to be forwarded to the Secretariat within 10 working days of completion of the PCE.
7. **PCE Mentor.** A Certified PCE Facilitators who independently complete at least one PCE, may submit their application to the PCE Board to become a PCE Mentor. The PCE Board reviews applications as needed on the basis of the filled evaluation forms and mission reports and National Phytosanitary Capacity Evaluation Strategy, Action Plan and list of participants to workshops including a wide representation from stakeholders, ensuring the applicant has both the phytosanitary knowledge and the teaching skills, and if they agree, the applicant will become a **PCE Mentor**.
8. **Lists of PCE Board members, PCE Facilitator Trainees, Certified PCE Facilitators and PCE Mentors** will be maintained on the IPP.
9. **Disputes.** In case of divergent views on the evaluation or the verified completion of a PCE, the PCE Board will be requested to arbitrate the case.

^[1] The PCE Board would be formed of one IC, one SC and one Bureau member, the PCE Mentor of the PCE facilitator trainee being assessed.

A pool of 3 IC regional representatives, 3 SC members from different regions and of 3 bureau members would be set, with an overall balance for geographical representation. The members of the pool would be solicited to form the board on an *ad hoc* basis for the review of one PCE facilitator trainee certification, according to their availability and willingness. The board formed should have members from at least two FAO regions. Decision will be reached by consensus. All members of the pool would sign the PCE confidentiality agreement.

Appendix 1 of Appendix 7 (of the Procedure for the certification of a PCE Facilitator)

PCE Facilitator or Trainee Evaluation Form

To be completed by the supervising Certified PCE Facilitator.

This evaluation form should be completed within 20 working days after each mission when the mission report would have been provided. The filled evaluation form will be shared with the PCE Facilitator Trainee.

Key outputs as detailed in Appendix 1, should be provided by the PCE Facilitator Trainee as indicators of the completion of activities.

The following are key performance indicators that will be used to assess the successful completion of a PCE, to be assessed as soon as possible after the third mission is completed:

- A draft Phytosanitary law or regulation has been developed or updated and validated by all relevant stakeholders during the consensus building workshops.
- A revised Phytosanitary law or regulation is passed.
- A National Phytosanitary Capacity Development Strategy and Action Plan has been developed and validated by all relevant stakeholders during the consensus building workshops.

Name of PCE Facilitator Trainee:

Mission (date and place):

Name of Certified PCE Facilitator (evaluator):

Name of PCE National Coordinator (evaluator):

	Behaviour during the workshops	Planning, preparation and organization of the work	Report
General Phytosanitary knowledge		n/a	n/a
IPPC / ISPMs			n/a
Practical implementation knowledge			
Strategic planning	n/a	n/a	
PCE modules knowledge			n/a
Facilitation and presentation skills		n/a	n/a
Personal skill			
Communication oral (make aim and objectives clear)		n/a	n/a
Communication written	n/a		
Organized and time management (guide to keep content relevant)			
Analysing/critical thinking/problem solving			n/a
Diplomacy/cultural sensitivity (guide to keep content relevant)			n/a
Discrete/responsible			n/a
Autonomous/neutral			n/a
Cultural fit			
Integrity/ethic		n/a	n/a
Serving humanity		n/a	n/a
Genuine/inspire trust		n/a	n/a
Other comments: Overall assessment: Area for improvement:			

Fill in the boxes with a rating: 1 (unsatisfactory), 2 (needs improvement), 3 (satisfactory), 4 (fully satisfactory) to 5 (exceptional) where appropriate.

To be adapted for each country.

Appendix 2 of Appendix 7 (of the Procedure for the certification of a PCE Facilitator)

Terms of Reference for an International Phytosanitary Consultant to act as a PCE Facilitator Trainee with key performance indicators

Under the technical supervision of a Certified PCE Facilitator, in close collaboration with the National IPPC Contact point, the NPPO and often the Ministry of Agriculture of the country where the PCE will be conducted, the national counterparts, the national PCE Manager (a national of the country that will be responsible to ensure the PCE is applied and completed in the allotted timeframe) and National Consultants, the PCE Facilitator Trainee (hereafter Consultant) will undertake the following activities during the various PCE missions, as necessary:

First PCE mission (11 working days)

Prior and during the mission, and under the supervision of the Certified PCE Facilitator, the Consultant will coordinate with the National PCE Manager and with the Ministry responsible for the National Plant Protection Organization to:

- Help identify all the relevant stakeholders from the plant protection/quarantine department, other relevant ministries and departments, external institutions and the private sector to participate in the PCE process. This may include Ministry of trade, Customs Departments, Ministry of Agriculture, Ministry of Justice, Ministry of Environment, relevant research agencies, relevant diagnostics laboratories (if any), representatives of the private sector such as associations of producers, importers or exporters.
- Agree on the number of PCE modules to be completed (at least 4 out of the 13).
- Identify and make available copies of national information sources including pertinent legislation, policy documents and technical information including national strategies, operational materials for management of pests, organizational information and project information where relevant.
- Coordinate with the PCE team (PCE National Coordinator, Certified PCE Facilitator, if relevant International Lawyer, National Lawyer and FAO lawyer) and relevant stakeholders (as detailed above) to produce an agenda, on the basis of the model agenda provided by the IPPC Secretariat and seek the Certified PCE Facilitator's review and clearance of the agenda.
- Prepare presentations for the mission which will include a situation analysis workshop or series of virtual workshops as necessary on the basis of the model presentation provided by the IPPC Secretariat, including updating and translating materials (eg. on the IPPC, ISPMs, the PCE process, etc.) and seek the Certified PCE Facilitator's review and clearance of the presentations.
- Deliver prepared presentations during the workshop or series of virtual workshops.
- Conduct a gap analysis (identify five weaknesses per PCE module selected)
- At least two PCE modules completed during the first mission or series of virtual workshops.
- At least two PCE modules should be assigned to national staff to have them completed before the second mission or next series of virtual workshops.
- Conduct individual interviews with key stakeholders (as defined above).
- Provide technical advice to the national and international legal consultants on national legislation under review, if relevant.
- Prepare a report of the mission, to be reviewed and cleared by the Certified PCE Facilitator, as per the model provided by the IPPC Secretariat.
- Prepare a news item on the main achievements of the mission.
- Follow up with the PCE National Coordinator to help ensure the assigned modules are completed on time.

Second PCE mission (11 working days)

Coordinate, under the supervision of the Certified PCE Facilitator, with the PCE team to:

- Ensure that all the relevant stakeholders have had sufficient input in the PCE process.
- Review the responses to the PCE modules that have been completed with relevant stakeholders.
- Review information sources including pertinent legislation and policy documents and technical information including national strategies, operational materials for management of pests, organizational information and project information where relevant.
- Coordinate with the PCE team and relevant stakeholders to produce an agenda, on the basis of the model agendas provided by the IPPC Secretariat and seek the Certified PCE Facilitator's review and clearance of the agenda.
- Prepare presentations for the mission which will include a PCE strategic planning workshop or series of virtual workshops as necessary on the basis of the model presentations provided by the IPPC Secretariat, including updating and translating materials (eg. on the IPPC, ISPMs, the PCE process, etc.) and seek the Certified PCE Facilitator's review and clearance of the presentations.
- Deliver prepared presentations during the mission or series of virtual workshops.
- Using one of the PCE modules as an example and selected in agreement with the PCE team:

- Conduct of a three day strategic planning exercise including the following methodological tools:
 - o Problem analysis
 - o SWOT analysis.
 - o Logical framework development.
 - o Indicative work planning.
- Conduct individual interviews with key stakeholders as relevant.
- Travel as needed to verify the findings of the PCE, when relevant.
- Establish a plan for national staff to complete strategic plans before the third PCE mission or series of workshops take place, to validate the findings with all stakeholders.
- Provide technical advice to the national and international legal consultants on national legislation under review (based on results of PCE module 2), when relevant.
- Prepare a mission report to be reviewed and cleared by the Certified PCE Facilitator, as per the model provided by the IPPC Secretariat.
- Prepare a news on the main achievements of the mission.
- Follow up with the PCE team and relevant stakeholders for the good completion of methodological tools as detailed above for selected modules.

Third PCE mission (validation mission) (11 working days)

- Under the supervision of the Certified PCE facilitator, communicate in advance with the National Counterparts on the requirements for the mission or series of virtual workshops.
- Coordinate with the PCE team and relevant stakeholders to produce an agenda, on the basis of the model agendas provided by the IPPC Secretariat and seek the Certified PCE Facilitator's review and clearance of the agenda.
- Prepare presentations for the mission which will include a PCE strategic planning workshop or series of virtual workshops as necessary on the basis of the model presentations provided by the IPPC Secretariat, including updating and translating materials (eg. on the IPPC, ISPMs, the PCE process, etc.) and seek the Certified PCE Facilitator's review and clearance of the presentations.
- Deliver prepared presentations during the mission or series of virtual workshops.
- Review and analyze the present institutional and legal framework governing plant health legislation based on the phytosanitary capacity evaluation (PCE) assessment.
- Review and analyze the draft national strategy and action plan prepared by the national counterparts.
- Discuss with the PCE team and relevant stakeholders the comments received on the draft strategy and action plans.
- Finalize the national strategy and action plan with the full support of the PCE team and relevant stakeholders.
- Assist the PCE team to prepare a presentation on the strategy.
- Submit a mission report which also contains a summary of the previous missions and contains recommendations and conclusions from the set of PCE missions and has relevant information attached (e.g. agenda of the mission, list of stakeholders, work plan and responsibilities in preparation for the next mission).
- Prepare a news on the main achievements of the mission and a case study in collaboration with the NPPO Head and staff for promotion.

Key performance indicators for each mission are the following and should be delivered no more than 10 days after the field mission or series of virtual meetings are completed and all outputs should be reviewed and cleared by the Certified PCE Facilitator:

First and Second PCE Missions

- Provide a copy of national information sources collected and consulted to the Certified PCE Facilitator and IPPC Secretariat for reference.
- Provide written comments on any national legislation submitted for technical review.

- Submit a mission report. The report should identify the gaps of the national phytosanitary system identified for the modules completed; information on discussions held with stakeholders interviewed including contact information; a (revised) work plan; a list of tasks assigned to the national stakeholders for completion before the next mission.

Third PCE Mission

- Validated Final Draft National Capacity Development Strategy and action plan.
- Detailed mission report with recommendations.

APPENDIX 8

CONFIDENTIALITY AGREEMENT FOR REPRESENTATIVES FROM INTERNATIONAL ORGANIZATIONS AND DONORS PARTICIPATING IN THE IPPC PHYTOSANITARY CAPACITY EVALUATION PROCESS AS OBSERVERS

In the framework of the International Plant Protection Convention (IPPC), the Food and Agriculture Organization of the United Nations (FAO), acting through the IPPC Secretariat, conducts Phytosanitary Capacity Evaluations (PCEs) in countries, mostly through projects.

The Undersigned has asked to participate as an observer in a Project where a PCE will be conducted. The implementation of the PCE in targeted IPPC contracting parties gives the Observers access to information on their phytosanitary status and regulatory capacity, which is considered sensitive information.

An observer is defined as any representative from an international organization, or a donor, who has interest whether directly or indirectly in the application and outcome of the PCE.

The Undersigned should seek written approval from the official IPPC Contact Point of CP to participate as an observer in the missions and/or virtual workshops needed to conduct the PCE.

The information obtained during the conduct of the PCE belongs to the CP and is recorded in the PCE platform, which is under the oversight of FAO.

The IPPC Secretariat is willing to provide the Undersigned access to the Information for the purpose of performing his/her responsibilities in connection with the Project, including the conduct of a PCE.

The Undersigned undertakes to regard the Information as confidential and agrees to take all reasonable measures to ensure that the Information is not used, disclosed or copied, in whole or in part, other than as provided in this Undertaking, except that the Undersigned shall not be bound by any such obligations if he/she is clearly able to demonstrate that the Information:

1. a) was known to his/her prior to any disclosure by FAO to the Undersigned.
2. b) was in the public domain at the time of disclosure by FAO to the Undersigned.
3. c) becomes part of the public domain through no fault of the Undersigned; or
4. d) becomes available to the Undersigned from a third party not in breach of any legal obligations of confidentiality.

The Undersigned also undertakes not to communicate the outcome and/or deliberations and recommendations resulting from the Project, and the PCE except as agreed by FAO and the IPPC Secretariat.

The Undersigned agrees to comply with the terms contained in the Personal Data Protection Principles set out in FAO Administrative Circular AC 2021/01 (attached).

The obligations of the Undersigned shall survive the termination of his/her participation in the Project. The Undersigned agrees to return any and all copies of the Information, within 7 working days following the completion of the Project.

This Confidentiality Undertaking is subject to the general principles of law to the exclusion of any single national system.

Any dispute relating to the interpretation or application of this Undertaking shall, unless amicably settled, be subject, at the request of either FAO or the Undersigned, to conciliation. The conciliation shall be carried out in accordance with the Conciliation Rules of the United Nations Commission on International Trade Law, as at present in force. In the event of failure of the latter, the dispute shall be settled by arbitration. The arbitration shall be conducted in accordance with the Arbitration Rules of the United Nations Commission on International Trade Law as at present in force. FAO and the Undersigned shall accept the arbitral award as final.

The Undersigned acknowledges that he/she has read and understood this Confidentiality Undertaking and voluntarily accepts the duties and obligations set forth herein.

Full Name:	Signature:
Passport number:	Date:

Government ID number:		
Country of nationality:		

APPENDIX 9

IMPLEMENTATION AND CAPACITY DEVELOPMENT COMMITTEE SUB-GROUP ON NATIONAL REPORTING OBLIGATIONS

Terms of Reference

1. Purpose

The Implementation and Capacity Development Committee (IC) Sub-group on National Reporting Obligations (NROs) will:

- Provide guidance to Contracting Parties (CPs) to help them meet their NROs, based on the IPPC and help them implement related ISPMs.
- Provide guidance to CPs, including their National Plant Protection Organizations (NPPOs), to meet and understand their NROs.
- Provide guidance to develop national or regional capacity to address NROs activities that support NROs as identified in ISPM 17.
- Provide recommendations to the IC to update the NROs Programme to cover 2014 to 2023.
- Monitor and evaluate the work undertaken under the NROs Programme and prepare reports for the IC for review and approval.
- Develop an annual work plan for the IC Sub-group on NROs.

2. Duration

The IC Sub-group on NROs will operate until May 2023 and may be extended upon agreement by the IC.

3. Membership

The members should have extensive working knowledge of the IPPC, its objectives and its reporting obligations, as well as a good knowledge of ISPMs, especially those related to NROs.

The IC Sub-group should have members from both developing and developed countries. Members may be drawn from contracting parties and NPPOs as follows:

- Up to four members from contracting parties with particular emphasis on developing countries.
- One representative from the CPM Bureau (Optional)
- One representative of the SC (Optional)
- Up to three members from NPPOs with particular emphasis on developing regions
- Tasks

The IC Sub-group on NROs will:

1. Analyse with the IPPC Secretariat of the legal obligations of CPs.
2. Review the existing IPPC NROs programme and work plan, including:
 - a. Carry out the mid-term review of the NROs Programme (2014-2023) and NROs work plan (2014-2023); identify the progress of each item and task in the NROs Programme and work plan.
 - b. Carry out analysis of the benefits and challenges of implementing the NROs Programme and work plan during the past five years.
 - c. Prepare and submit a progress report of the NROs programme (2014-2023) and work plan (2014-2023) to the IC.

3. Revise and adjust the IPPC NROs Programme and work plan including setting priorities and developing a stepwise approach with timeframes and submit them to the IC.
4. Make recommendations to the IC to assist CPs to meet their obligations by:
 - a. Reviewing and updating the IPPC guide to NROs.
 - b. Analyse current IPPC Secretariat NROs services and make recommendations to the IC for improvements.
 - c. Identify the challenges the CPs are having in meeting their NROs and find innovative ways to close these gap;
 - d. Identify ways to strengthen the role of RPPOs to build capacity for contracting parties to meet their national reporting obligations;
 - e. determining synergies with other programmes and activities (for example, collaborate with the IPPC Strengthening Pest Outbreak Alert and Response Systems, Phytosanitary Capacity Evaluations, etc.).
5. Contribute to the establishment of Pest Outbreak Alert and Response System, as appropriate.

4. Reporting

The IC Sub-group on NROs reports to the IC annually and if necessary, upon request.

5. Rules of Procedure

The IC Sub-groups Rules of Procedure will apply to the IC Sub-group on NROs.

6. Amendments

Amendments to these Terms of Reference, if required, shall be approved by the IC.

APPENDIX 10

2022 Work Plan for National Reporting Obligations activities

Activities and sub-activities	Expected outcomes	Means of verification	Lead	Other bodies/stakeholders involved	Start date	End date	Comments
1. Oversee NROs activities							
1.1 Activate the IC Sub-group on NROs	The establishment of new IC Sub-group for NROs	Members of IC IC Sub-group on NROs on board	IPPC Secretariat/IC	IPPC Secretariat/IC/SC/CPM Bureau/PPPO/IPPC Partner	January, 2022	December, 2022	
1.1.1 The IPPC Secretariat Compile and summarize the nominations form	Receive nominations from contracting parties, CPM bureau, IC, SC, RPPOs	Nomination list	IPPC Secretariat/IC Team on NROs	IPPC Secretariat/Contracting parties/CPM Bureau/SC/IC/PPPOs	January, 2022	May, 2022	
1.1.2 IC selects the sub-group members based on the selection criteria from the ToR and the nominees' expertise	Finalize the member of IC Sub-group on NROs	Final member list of IC Sub-group on NROs	IPPC Secretariat/IC/IC team on NROs	Contracting parties	May, 2022	June, 2022	
1.1.3 IC selected a lead for IC Sub-group on NROs	Sub-group lead is selected	Sub-group lead is selected	IPPC Secretariat/IC/IC team on NROs		May, 2022	June, 2022	
1.1.4 Inform nominees who are not selected		Notification letters from IPPC Secretariat	IPPC Secretariat/IC lead		June, 2022	June, 2022	

Activities and sub-activities	Expected outcomes	Means of verification	Lead	Other bodies/stakeholders involved	Start date	End date	Comments
1.1.5 Maintain lists of IC Sub-group on NROs members on the IPP	Members of the sub-group were finalized	List of IC Sub-group on NROs on IPP	IPPC Secretariat/IC Lead	IPPC Secretariat/IC/SC/CP M Bureau/RPPO/IPPC Partner	June, 2022	June, 2022	
1.1.6 The first meeting of IC Sub-group on NROs	The first meeting of IC Sub-group on NROs is successful organized	Meeting report of first IC Sub-group on NROs meeting	IPPC Secretariat/IC sub-group on NROs		July, 2022	August, 2022	
1.1.7 Series of meetings of IC Sub-group on NROs	Series meetings of IC Sub-group on NROs was successful organized	Meeting reports of series IC Sub-group on NROs meetings	IPPC Secretariat/IC sub-group on NROs		August, 2022	December, 2022	
1.2 Display pest report on new system /platform	NROs system work more efficiently	Pest report data were displayed in a more visual way	IPPC Secretariat/IC lead	IPPC Secretariat/FAO CSI//CPM Focus group on Pest Outbreak Alert and Response Systems/IC Sub-group on NROs	August, 2022	December,2022	
1.2.1 Present Pest reports in a visual way	Pest report is presented on Hand-in-Hand Initiative Geospatial Platform	Pest reports are presented in a new way	IPPC Secretariat/ IC Sub-group on NROs lead	FAO CSI	August, 2022	December, 2022	
1.2.2 Synergize pest report with POARS	The NROs and POARS are synergy with each other		IPPC Secretariat/ IC Sub-group on NROs lead/CPM Focus group on POARS		January, 2022	December, 2022	

Activities and sub-activities	Expected outcomes	Means of verification	Lead	Other bodies/stakeholders involved	Start date	End date	Comments
1.3 Prepare and present report on NROs activities of 2022 and work plan for 2023 to the IC	2022 NROs annual report and 2023 NROs work plan approved by IC	IC document for the IC meeting in November	IPPC Secretariat	IC	October, 2022	December, 2022	
1.3.1 Draft the annual NROs report of 2022 activities and discuss with the IC Team on NROs	Report prepared and presented to the IC Team on NROs and guidance received	Communication with IPPC Secretariat and IC Teams on NROs	IPPC Secretariat/IC Team on NROs	IC Team on NROs consulted through virtual meetings and emails exchanges	October, 2022	October, 2022	
1.3.2 Submit the report to IC meeting in May for review and approval	Report reviewed and endorsed by the IC meeting in May	IC Report	IPPC Secretariat/IC	IC review through virtual meetings	November, 2022	December, 2022	
2. Provide direct assistance to Contact points (Reducing IT barriers)							
2.1 Support IPPC Contact points and IPP editors	All the IPPC Contact points and IPP editors can fulfil reporting obligations	The numbers of reporting increased more than 5% compared to 2020.	IPPC Secretariat/IC	Contracting parties	January, 2022	December, 2022	
2.1.1 Provide guide for new nomination members who are	All the IPPC New person who are responsible for Contact	The new nomination for contact points submit report	IPPC Secretariat/IC Team on NROs/IC Sub-	Contracting parties	January, 2022	December, 2022	

Activities and sub-activities	Expected outcomes	Means of verification	Lead	Other bodies/stakeholders involved	Start date	End date	Comments
responsible for Contact point	points and new IPP editors can fulfil reporting obligations	promptly and successfully	group on NROs				
2.1.2 Update the contact information of Contact point on IPP; Deal with the IT problem during reporting	All the IPPC Contact points and IPP editors can fulfil reporting obligations	The new nomination for contact points submit report promptly and successfully	IPPC Secretariat/ IC Team on NROs/IC Sub-group on NROs	Contracting parties	January, 2022	December, 2022	
2.1.3 Provide daily support and guide for current members who are responsible for Contact point	All the IPPC Contact points and IPP editors can fulfil reporting obligations	The new nomination for contact points submit report promptly and successfully	IPPC Secretariat/ IC Team on NROs/IC Sub-group on NROs	Contracting parties	January, 2022	December, 2022	
2.2 Improve the IPP Function.	IPP functions in more user friendly way	IPP functioned in a better way	IPPC Secretariat	PWC experience center/FAO CSI	January, 2022	December, 2022	
2.2.1 Revised architectural infrastructure of the system to optimize performance and allow full scalability with multiple instances.	IPP functions in more user friendly way	No error occurred during submission of report	IPPC Secretariat	FAO CSI	January, 2022	February, 2022	
3. Develop Contracting Parties NROs Capacities (Raising awareness and training materials)							
3.1 Incorporate NROs section	Raising the awareness of	Contribute 2-3 times for IPPC	IPPC Secretariat/IC Sub-group on	Contacting parties	March, 2022	April, 2022	
					June, 2022	July, 2022	
					October, 2022	November, 2022	

Activities and sub-activities	Expected outcomes	Means of verification	Lead	Other bodies/stakeholders involved	Start date	End date	Comments
into IPPC Secretariat newsletter	importance of NROs	Secretariat newsletter to deliver latest development on NROs	NROs /IC Sub-group on NROs lead/ IC Team on NROs				
3.2 Organize NROs global virtual training workshop	Improve the capacity of Contract points to fulfil reporting obligation	Meeting report of NROs workshop	IPPC Secretariat/ IC Team on NROs	Contacting parties	May, 2022	September, 2022	
3.2.1 Discuss the topic and theme on the NROs virtual training workshop among IC Team on NROs	Decision on the theme of NROs virtual training workshop and for which region	Meeting report of NROs workshop	IPPC Secretariat/IC Team on NROs		May, 2022	May, 2022	
3.2.2 Preparation and organization NROs training workshops	Improve the capacity of Contract points to fulfil reporting obligation	Meeting report of NROs workshop	IPPC Secretariat/ IC team on NROs	Contacting parties	September, 2022	September, 2022	
3.3 Promote the NROs e-learning course	Improve the capacity of Contract points to fulfil reporting obligation	The numbers of subscribers for NROs e-learning course	IPPC Secretariat	Contacting parties	January, 2021	December, 2021	

Activities and sub-activities	Expected outcomes	Means of verification	Lead	Other bodies/stakeholders involved	Start date	End date	Comments
3.3.1 Remind Contracting parties to register the NROs e-learning course through reminder emails and training during workshop	Improve the capacity of Contract points to fulfil reporting obligation	The numbers of subscribers for NROs e-learning course	IPPC Secretariat	Contacting parties	January, 2022	December, 2022	
3.4 Revision of NROs guide	Improve the capacity of Contract points to fulfil reporting obligation	New version of NROs guide	IPPC Secretariat	Contacting parties	January, 2022	December, 2022	
3.4.1 Add revision of NROs guide into Implementation and capacity development List of Topics (ICD LOT) with priority 1	The proposal for revision of NROs guide is approved by IC	Revision of NROs guide is added into the new ICD LOT	IPPC Secretariat/IC Team on NROs/IC Sub-group on NROs		January, 2022	December, 2022	

APPENDIX 11

IRSS three-year work plan 2022-2024

Activities and sub-activities	Outputs	Lead/Responsible	Year			Comments
			2022	2023	2024	
Work package I: Oversee the IRSS studies and surveys						
1. Finalize and publish the study on Developing Guidance on Risk-based Border Management (2019-13, Priority 1)						
1.4. Conduct a study on Risk-based Border Management	Analysis of the use of risk based phytosanitary inspections Framework to improve risk management	Consultant Border management	January-February			This activity will be supported by funding from the EC IRSS 3rd cycle project
1.5. Review of the study on Developing Guidance on Risk-based Border Management by the IC Sub-group on IRSS	Study reviewed	Sub-group on IRSS	March			This activity will be supported by funding from the EC IRSS 3rd cycle project
1.6. Review the comments of the Sub-group	Study reviewed	Consultant Border management	April			This activity will be supported by funding from the EC IRSS 3rd cycle project
1.7. Finalize the study and submit to FAO PWS to be published	Study published	IPPC Secretariat	May			This activity will be supported by funding from the EC IRSS 3rd cycle project
2. Finalize the Study on the IPPC Diagnostic Protocols (2019-14, Priority 1)						
2.5. Review of the study on the utility of IPPC Diagnostic Protocols by the IC Sub-group on IRSS	Study reviewed	IC Sub-group on IRSS	January			This activity will be supported by funding from the EC IRSS 3rd cycle project
2.6. Review the comments of the Sub-group	Study reviewed	Consultant DP	February			This activity will be supported by funding from the EC IRSS 3rd cycle project
2.7. Finalize the study and submit to FAO PWS to be published.	Study finalized and published	IPPC Secretariat / Consultant DP	March			“”
3. Conduct studies on priority topics contributing to the review of implementation of the IPPC, ISPMs and CPM Recommendations						
3.1. Study on the Global Participation, and Resulting Involvement in the IPPC Community (2019-15, Priority 1)	Study published	IPPC Secretariat, consultants, Sub-group on IRSS	X			
3.2 Study / Survey on "e-Commerce" (2021-01, Priority 1)	Study published	IPPC Secretariat, consultants, Sub-group on IRSS	X			

Activities and sub-activities	Outputs	Lead/Responsible	Year			Comments
			2022	2023	2024	
3.3 Three to four studies on priority topics per year to provide cross-cutting support to IPPC core activities	10 or more studies published, Webinars held and other communications as appropriate	IPPC Secretariat, consultants, Sub-group on IRSS		X	X	
Work package II: Contribute to the IPPC Strategic Framework 2020-2030						
1. Develop baseline measures to monitor the impacts of and record/report benefits of the Strategic Framework 2020-2030 (2018-52, Priority 1)						
1.1. Draft the paper for the CPM Focus Group on IPPC SF (2020-2030) for Baseline and get Sub-group input	Paper drafted	Sub-group Lead	January			This activity will be supported by funding from the EC IRSS 3rd cycle project
1.2. Review the proposed indicators of the Baseline study by the IC Sub-group on IRSS	Paper reviewed	IC Sub-group on IRSS	February			" "
1.3. Hire survey / monitoring & evaluation specialist(s) to collect baseline data to monitor the impacts of and record/report benefits of the Strategic Framework (SF) 2020-2030.	Consultant hired	IPPC Secretariat / Consultant	March			
1.4. Review the proposed approach to collect baseline data to monitor the impacts of and record/report benefits of the SF 2020-2030	Questionnaire reviewed	IPPC Secretariat	April			
1.5. Review the proposed to collect baseline data to monitor the impacts of and record/report benefits of the SF 2020-2030	Questionnaire reviewed	IC Sub-group on IRSS	May			
1.6. Collect baseline data to monitor the impacts of and record/report benefits of the SF 2020-2030	Report of the survey	Survey specialist	X			
1.7. Review of the findings of the baseline data collection to monitor the impacts of and record/report benefits of the SF2020-2030 by the Sub-group	Results reviewed	IC Sub-group on IRSS	X			
1.8. Analyze the results of the survey and consult with IC, SC and Bureau	Results of studies reviewed	IC, SC and Bureau	X			
1.9 Finalize the report and submit to FAO PWS to be published	The results and recommendations of the 3 rd general survey posted	IPPC Secretariat	X			
2. Support ongoing monitoring of progress and impacts of the Strategic Framework 2020-2030						
	- Dashboard - Monitoring data	IPPC Secretariat / Consultant		X	X	This activity will be supported by new project funding
Work package III: Contribution to the IPPC monitoring, evaluation and learning (MEL)						
1. Develop third IPPC General Survey (2018-54, Priority 1)						

Activities and sub-activities	Outputs	Lead/Responsible	Year			Comments
			2022	2023	2024	
1.1. Hire a survey specialist to develop third general survey based on advice from the comparative analysis report.	Third IPPC General Survey drafted	IPPC Secretariat / Consultant S3	January			This activity will be supported by funding from the EC IRSS 3rd cycle project
1.2. Review the proposed questionnaire of the survey by the IPPC Secretariat	Questionnaire reviewed	IPPC Secretariat	February			This activity will be supported by funding from the EC IRSS 3rd cycle project
1.3. Review the proposed questionnaire of the survey by the IC Sub-group on IRSS	Questionnaire reviewed	IC Sub-group on IRSS	February			This activity will be supported by funding from the EC IRSS 3rd cycle project
1.4. Conduct the third general survey	Report of the survey	Survey specialist //	March-April			
1.5. Results of the survey by the Sub-group	Results reviewed	IC Sub-group on IRSS	May			
1.6. Analyze the results of the survey and consult with IC, SC and Bureau	Results of studies reviewed	IC, SC and Bureau	X			
1.7 Finalize the report of the Third General Survey and submit to FAO PWS to be published	The results and recommendations of the 3 rd general survey posted	IPPC Secretariat	X			
2. Develop fourth IPPC General Survey						
2.1. Hire a survey specialist to develop fourth general survey based on advice from the comparative analysis report.	Fourth IPPC General Survey drafted	IPPC Secretariat / Consultant S4			X	
2.2. Review the proposed questionnaire of the survey by the IPPC Secretariat	Questionnaire reviewed	IPPC Secretariat			X	
2.3. Review the proposed questionnaire of the survey by the IC Sub-group on IRSS	Questionnaire reviewed	Sub-group on IRSS			X	
2.4. Conduct the fourth general survey	Report of the survey	Survey specialist //			X	
2.5. Results of the survey by the Sub-group	Results reviewed	Sub-group on IRSS			X	
2.6. Analyze the results of the survey and consult with IC, SC and Bureau	Results of studies reviewed	IC, SC and Bureau			X	
2.7 Finalize the report of the Fourth General Survey and submit to FAO PWS to be published	The results and recommendations of the 4 th G. survey posted	IPPC Secretariat			X	
3. Develop a Mechanism to monitor the challenges on implementing the adopted ISPMs and CPM recommendations						
3.1 Hire a M&E expert and IT expert to develop the platform/tool	2 experts hired	IPPC Secretariat	X			
3.1 Agree on the adopted ISPMs/ CPM Recommendations to monitor based on data collected through studies and surveys	List of adopted ISPMs to monitor	IPPC Secretariat Sub-group on IRSS	X	X	X	

Activities and sub-activities	Outputs	Lead/Responsible	Year			Comments
			2022	2023	2024	
3.2 Define the indicators and the frequency of monitoring		M& E expert	X			
3.3. Build the platform/tool to monitor the challenges		IT expert and M&E expert	X			
3.4 Analyze the challenges on implementation adopted ISPMs/ CPM Recommendations		M& E expert Sub-group on IRSS	X	X	X	
3.5 Report the challenges to CPM with recommendations to fix them		IC lead on IRSS IPPC Secretariat	X	X	X	
Work package IV: Coordination of the IRRS Sub-group meetings, reporting and updating the work plan						
1. Prepare and coordinate the meetings of the Sub-group on IRSS						
1.1. Organize the First meeting of the Sub-group	Report of meeting 1	IPPC Secretariat /Sub-group on IRSS	X	X	X	
1.2. Organize the Second meeting of the Sub-group	Report of meeting 2	IPPC Secretariat /Sub-group on IRSS	X	X	X	
1.3. Organize the Third meeting of the Sub-group	Report of meeting 3	IPPC Secretariat /Sub-group on IRSS	X	X	X	
2. Annual report and Tri-annual Report						
2.1. Draft the Tri-annual report of the EC IRSS 3rd cycle project	Annual report drafted	IPPC Secretariat	March			This activity will be supported by funding from the EC IRSS 3rd cycle project
2.2. Finalize the Tri-annual review report	IRSS Final report	IPPC Secretariat	May			This activity will be supported by funding from the EC IRSS 3rd cycle project
2.3 Draft and finalize the IRSS annual report	IRSS Annual report drafted	IPPC Secretariat	X	X		
2.4 Draft and finalize the IRSS Tri-annual annual report	Tri-annual Annual report drafted	IPPC Secretariat			X	
Work package V: Update IRRS List of Topics						
1. Draft and launch the Call for new IRSS Topics	Call launched	IPPC Secretariat	X	X	X	
2. Compile the submission of IRSS topics	Submissions and list of IRRS topics updated	IPPC Secretariat	X	X	X	
3. Review the updated List of IRSS topics	List of IRRS topics reviewed	Sub-group on IRSS	X	X	X	
4. Submit the updated List of IRSS topics to the IC for Approval	List of IRRS topics approved	IPPC Secretariat	X	X	X	
5. Inform the SC, RPPOS, Bureau and RPPOs	List of IRRS topics shared	Sub-group on IRSS	X	X	X	

Activities and sub-activities	Outputs	Lead/Responsible	Year			Comments
			2022	2023	2024	
6. Post the updated list of IRSS topics in the IPP	List of IRRS topics posted	IPPC Secretariat	X	X	X	
Work package IV: Improvement of the IRSS Communication						
1. Organize IRRS seminars and webinars						
1.1 Organize the IRSS seminar for IPPC Secretariat staff	Seminar organized	IPPC Secretariat	X	X	X	
1.2 Organize the IRSS webinar for IPPC Community	Webinar organized	IPPC Secretariat / Consultant IRSS	X	X	X	
2. Development of the communication plan						
2.1. Develop communication plan to promote the IRSS	IRRS Promotion materials drafted IRSS Factsheet updated	IPPC Secretariat/ Consultant in communication	X			This activity will be supported by funding from the EC IRSS 3rd cycle project
2.2. IRSS communication materials developed to promote the IRSS	Posted on the IPP: Factsheet, Video, News items	IPPC Secretariat / Consultant in communication	X	X	X	January to May, 2022: This activity will be supported by funding from the EC IRSS 3rd cycle project
2.3 Update of IRSS Webpages on the IPP	Webpages updated	IPPC Secretariat/ Consultant in communication	X	X	X	January to May, 2022: This activity will be supported by funding from the EC IRSS 3rd cycle project
Objective V: Improvement of IRSS sustainability						
1. Develop an IRSS resource mobilization plan	IRRS resource mobilization plan drafted	IPPC Secretariat / IRSS Consultant	X			
2. Review and approval of the IRSS resource mobilization plan		Sub-group on IRSS	X		X	
3. Resource mobilization activities		IPPC Secretariat	X	X	X	

APPENDIX 12**Proposed IRSS three-year budget**

	1. Direct costs	Total Budget (USD)
A	Personnel	500,000.00
B	Travel and subsistence	50,000.00
C	Durable Equipment	0.00
D	Consumables and supplies	2,000.00
E	Conferences and seminars	150,000.00
F	Publications and dissemination	40,000.00
G	Other direct costs	110,000.00
H	Total A+B+C+D+E+F+G	852,000.00
	2. Eligible Indirect costs	
I.	Overheads (max 7% of H)	59,640.00
M	Total Cost of the operation (H+L)	911,640.00

APPENDIX 13

IRSS Study on e-Commerce

Activity Title: Study/Survey on “e-Commerce”	
Name of the IPPC Body <input type="checkbox"/> Bureau <input type="checkbox"/> RPPOs <input type="checkbox"/> SC <input checked="" type="checkbox"/> IC <input type="checkbox"/> IPPC Secretariat	
Contact Information: Thorwald Geuze (t.geuze@nvwa.nl) Key project collaborators: NPPOs, RPPOs, IC, and IPPC Secretariat	
Priority	1
Scope and Purpose	<p>The pace of digital transformation of economies and businesses has accelerated and become a key driver of global trade. Furthermore, mobile technology, social media and electronic payment systems have revolutionized the way businesses and consumers are buying, selling and trading goods. Growth in use of mobile apps and digital payments has made e-Commerce transactions easy and has resulted in a huge increase in business-to-consumer (B2C) and consumer-to-consumer (C2C) transactions. The increased role of consumers in individual transactions has resulted in a phenomenal growth in the number of smaller consignments crossing borders. Due to the sheer quantity of these smaller shipments, many parcels may bypass normal phytosanitary controls border inspections, thereby dramatically increasing the risk of introducing and spreading pests into new areas.</p> <p>For the purposes of this study, e-Commerce should be considered to include:</p> <ul style="list-style-type: none"> - Electronic transactions leading to the international movement of tangible goods; - Commercial and non-commercial transactions (i.e. all goods whether they are sold, traded, or gifted); - Goods following non-traditional distribution patterns (i.e. mainly business-to-consumer (B2C) and consumer-to consumer (C2C) transactions). <p>This study should not consider goods that follow traditional distribution patterns, such as bulk commercial consignments (i.e. most business-to-business (B2B) transactions).</p>
Link to IPPC Strategic Objectives	<p>The 2012 IRSS study, <i>Internet trade in Plants Potential Phytosanitary Risks</i>²⁴, focussed on describing the range of products offered for sale over the internet and highlighted potential phytosanitary risks. (e.g. types of products consignment quantities, shipping coverage, warnings on shipping requirements)</p> <p>The results of this study contributed to the development of <i>CPM Recommendation on Internet trade in plants and other regulated articles</i>²⁵, which was adopted by CPM-9 (2014). This CPM Recommendation encourages NPPOs to identify e-Commerce stakeholders based within their countries and regions, as well as, products of concern that might be purchased via e-Commerce and to explore options for ensuring these goods comply with national phytosanitary regulations.</p> <p>The management of e-Commerce and the postal and courier pathways has been identified as one of eight development agenda items in the <i>IPPC Strategic Framework (SF) 2020–2030</i>²⁶.</p> <p>Desired 2030 Outcome: A coordinated international effort has substantially reduced the spread of pests and pest host material sold through e-commerce and distributed through mail and courier pathways. Volumes of high-risk plant material traded online in small quantities and shipped via courier pathways are sourced from authorized or accredited plant-health export</p>

²⁴ <https://www.ippc.int/en/publications/88311/>

²⁵ <https://www.ippc.int/en/publications/84232/>

²⁶ <https://www.ippc.int/en/core-activities/governance/ippc-strategic-framework/>

	programmes, and compliance is tracked and enforced in collaboration with other border agencies, the international postal services and courier services.
Objectives	<p>This IRSS desk study has 3 primary objectives:</p> <ol style="list-style-type: none"> 1. To describe how the phytosanitary risks associated with e-Commerce have changed since the 2012 IRSS study; 2. To evaluate the extent to which the <i>CPM Recommendation on: Internet trade in plants and other regulated articles</i> has been implemented by NPPOs and RPPOs; 3. To provide baseline data that could be used to monitor and evaluate whether the e-Commerce programme has achieves the desired outcomes described in the SF.
Purpose	<ol style="list-style-type: none"> 1. To characterize the current phytosanitary risks associated with e-Commerce trade 2. To gather data from each FAO region on the extent to which NPPOs and RPPOs have implemented the CPM Recommendation on: Internet trade in plants and other regulated articles. 3. To establish a baseline for measuring key e-Commerce outcomes, as specified in the SF. 4. To highlight some of the key challenges faced by NPPOs in implementing the CPM recommendations related to e-Commerce and in contributing to the key outcomes outlined in the SF. 5. To highlight successes in the risk based management of e-Commerce at a national and regional level.
Key outputs and outcomes	<ol style="list-style-type: none"> 1. Analysis showing how phytosanitary risks associated with e-Commerce have changed since the 2012 IRSS study; 2. Baseline data for evaluating whether the e-Commerce programme has achieved the desired outcomes described in the SF; 3. A set of survey questions that can be used again in the future to evaluate changes to this baseline data over time. 4. Global assessment of current status of risk based management of e-Commerce, highlighting successes, challenges and implementation and capacity development needs; 5. Description of the systems that NPPOs use to monitor e-Commerce trade, and track and enforce compliance. 6. Practical recommendations for NPPO on how to improve e-Commerce risk management and facilitate safe trade in collaboration with other border agencies, the international postal services and courier services; 7. Final study report.
Expected impact	Information on the current status of phytosanitary risk management related to e-Commerce is needed to monitor progress in achieving the Desired 2030 Outcomes for e-Commerce as described in the SF, to identify challenges and, to support capacity development initiatives.
Target groups	NPPOs and RPPOs, with the involvement of national and regional e-Commerce experts

APPENDIX 14

PREFERRED OPTIONS FOR THE TRANSITION TO A SUSTAINABLE IRSS

The conclusions of IC Sub-group on IRSS with respect to the preferred options for the transition to a sustainable IRSS are listed below and the current status and rationale for the proposed change is provided in Table 1.

1. Name:

In order to reflect better its objectives and missions, the IRSS name should be changed to “**IPPC Observatory**.”

2. Scope:

The IPPC Observatory should:

- monitor the implementation of the IPPC, ISPMs and CPM Recommendations,
- identify related challenges and best practices, and
- provide recommendations to CPM for follow-up action.

The Sub-Group felt that the Observatory would no longer be involved in developing implementation and capacity development material and resources, as it is understood that the IC and other IPPC bodies are better placed to conduct such activities. The role of the Observatory would therefore be limited to providing recommendations on way to address implementation issues.

3. Integration into the IPPC Secretariat:

The IPPC Observatory should be led by a full-time, dedicated Secretariat staff person, within a new team supported by staff from the existing units of the Secretariat, and steered by the IC Sub-group with members from the CPM Bureau, SC, IC, RPPOs as well as participation from IPPC Secretariat staff from the different units. For the transition stage, the lead would be maintained under the IFU.

4. IPPC Strategic Framework 2020-2030:

The IPPC Observatory would contribute to monitoring the achievement of the objectives outlined in the IPPC Strategic Framework 2020-2030 by providing data gathered via, *inter alia*, studies and surveys.

5. Guiding principles:

The following guiding principles have been proposed for the IPPC Observatory:

- Transparency,
- Impartiality and independence,
- Usefulness,
- Driven by a work plan and based on set terms of reference,
- Continuous improvement based on feedback.

6. Overall objectives:

The objectives should line up with those of the IPPC.

7. Outcomes:

The CPM, SC, IC, Contracting Parties and other members of the IPPC Community are made aware of gaps and successes in implementation of the IPPC, ISPMs and CPM Recommendations.

The IPPC Community responds to IPPC Observatory analysis by addressing implementation gaps.

8. Outputs:

The challenges and successes of contracting parties' implementation of the IPPC, ISPMs and CPM recommendations are identified, monitored and evaluated.

9. Work plan development:

The IPPC Observatory will have a three-year work plan, which is approved by the IC and updated annually.

10. Funding model:

Baseline funding should be allocated from the IPPC Secretariat regular programme to cover fixed costs. Additional funding to cover studies and surveys should be mobilized from other sources such as the multi-donor trust fund.

11. Communications:

The IPPC Observatory will have a common approach of communication with target audiences and the use the adapted language (i.e. use accessible language for a wider audience).

12. Monitoring, evaluation and learning (MEL):

IPPC Observatory MEL should be developed as part of the overall IPPC Community M&E Framework. MEL should be part of the IPPC Observatory.

13. Survey design and delivery:

Data will be collected using surveys designed by experts. There will be periodical monitoring (every 3-5 years) of implementation of the CPM, ISPMs and CPM Recommendations. Surveys will be short, simple and objective.

Table 1: summarizing the major factors for consideration in the transition to a sustainable IRSS

Factor	Current status	Preferred option	Rationale for the preferred option
Name	1. Implementation Review and Support System	IPPC Observatory	<ul style="list-style-type: none"> The current name does not provide clarity on purpose of the IRSS, is difficult to say, and does not stimulate interest or contribute to brand identity. The proposed new name reflects its purpose, is also used by OIE for a similar system, and is translatable.
Scope	Three components: 1. Implementation review system to monitor implementation of the IPPC and ISPMs 2. Implementation support system 3. Implementation review response to propose appropriate action plans.	<ul style="list-style-type: none"> A cross-cutting implementation review system To monitor implementation of the IPPC, ISPMs and CPM Recommendations To identify related challenges and best practices To provide recommendations for follow-up action 	<ul style="list-style-type: none"> There is confusion about the IRSS scope, particularly, the “implementation support” component is unclear. The IRSS predates the establishment of the IC and the IFU, which now provide implementation support. Information on implementation challenges and emerging issues is crucial for orienting the work of the whole IPPC Community.
Integration into the IPPC Secretariat	<ul style="list-style-type: none"> Part-time support from IPPC Secretariat contingent on project funding Placed in the IFU Steered by the IC Sub-group with members from the CPM Bureau, SC, IC, RPPOs and IPPC Secretariat Units 	<ul style="list-style-type: none"> Lead by a full-time, dedicated Secretariat staff person Supported by Staff from IPPC Secretariat Units Interim placement in the IFU Steered by the IC Sub-group with members from the CPM Bureau, SC, IC, RPPOs 	<ul style="list-style-type: none"> There is clear support for embedding the IRSS in the IPPC Secretariat. There is a need for a full-time Secretariat staff person to provide sustained support. The placement in the IPPC Secretariat is unclear as the IRSS is not purely an IC project.
IPPC Strategic Framework 2020-2030	Undefined	The IPPC Observatory should contribute to monitoring the achievement of the objectives outlined in the IPPC Strategic Framework 2020-2030 by providing data.	<ul style="list-style-type: none"> The IRSS could contribute to the delivery of the Strategic Framework 2020-2030, e.g. for selection of indicators, collecting baseline data and ongoing monitoring Studies could support the IPPC development agenda.
Guiding principles	Undefined	Main guiding principles: <ul style="list-style-type: none"> Transparent Impartial and independent Useful Driven by work plan and based on set terms of reference Improved based on feedback 	<ul style="list-style-type: none"> Guiding principles are needed to help set expectations and address lessons learned. The guiding principles can be reflected in the system design and the approach to execution.

Factor	Current status	Preferred option	Rationale for the preferred option
Overall objectives	Various iterations listed in the project documents	<ol style="list-style-type: none"> 1. Improved contracting party implementation of the Convention, ISPMs and CPM recommendations 2. Contracting party implementation contributes to the mission of the IPPC and its Strategic Framework 2020-2030. 	<ul style="list-style-type: none"> • The stated objectives of a programme such as the IRSS should reflect the longer-term changes to which it aims to contribute. • The objectives should line up with those of the IPPC.
Outcomes	Various iterations listed in the project documents	<ol style="list-style-type: none"> 1. The CPM, SC, IC, Contracting Parties and other members of the IPPC Community are aware of gaps and successes in implementation of the IPPC, ISPMs and CPM Recommendations. 2. The IPPC Community responds to IPPC Observatory analysis by addressing implementation gaps. 	<ul style="list-style-type: none"> • The outcome statements should describe the specific short to medium-term purpose for which the IPPC Observatory is being implemented. • The outcome statements should describe the changes in behaviour in the IPPC Community which the IPPC Observatory is intended to lead to.
Outputs	<ol style="list-style-type: none"> 1. Challenges and successes of contracting parties' implementation of the IPPC, ISPMs and CPM recommendations are identified, monitored and evaluated. 2. Contracting parties are helped to address gaps in implementation of the IPPC, ISPMs and CPM recommendations through specific actions or activities to improve implementation.²⁷ 	Challenges and successes of contracting parties' implementation of the IPPC, ISPMs and CPM recommendations are identified, monitored and evaluated.	<ul style="list-style-type: none"> • The outputs should reflect the tangible goods and services delivered directly by the activities of the IPPC Observatory.
Work plan development	The IRSS has had three-year work plans which have been agreed with the donor. Following the establishment of the IC Sub-group on IRSS, the Sub-group has periodically updated the work plan.	<ul style="list-style-type: none"> • Three-year work plan which is approved by the IC and updated annually. 	<ul style="list-style-type: none"> • The IRSS work plan has been driven by project cycles. • Feedback has indicated that the IRSS has lacked clear and measurable work plans. • The IPPC Community has been unclear on how to provide input into the work planning process.
Funding model	The IRSS has operated as a project with 3 three-year cycles of extra-budgetary funding, largely from the EC IRSS Project.	<ul style="list-style-type: none"> • Baseline funding should be allocated from the regular programme to cover fixed costs, for example to cover a fulltime staff person. 	<ul style="list-style-type: none"> • Issues identified with funding IRSS funding model are related to ownership, transparency, continuity, etc.

²⁷ Outputs listed in the project document for the third cycle of the IRSS

Factor	Current status	Preferred option	Rationale for the preferred option
		<ul style="list-style-type: none"> Additional funding to cover studies and surveys should be mobilized from other sources such as the multi-donor trust fund. 	
Communications	<ul style="list-style-type: none"> The IRSS deliverables are highly technical. The reach of IRSS studies has largely been limited to the internal IPPC community. 	<ul style="list-style-type: none"> A common approach to communications with audience segmenting and accessible language is needed. 	<ul style="list-style-type: none"> Communications on what the IRSS is and does need to be improved. Communications targeted at decision-makers and other audiences have been lacking.
Monitoring, evaluation and learning (MEL)	<ul style="list-style-type: none"> Annual reporting to the CPM and various other oversight bodies Triennial review reports Reporting to the donor against the indicators in the project document 	<ul style="list-style-type: none"> IPPC Observatory M&E should be developed as part of the overall IPPC Community M&E Framework. MEL should be part of the IPPC Observatory. 	<ul style="list-style-type: none"> While the IRSS is implicitly a monitoring tool, how it relates to the IPPC's overall M&E approach is unclear. The IPPC Community does not have a shared understanding of what a successful IRSS looks like.
Survey design and delivery	Studies and surveys have been designed either internally (e.g. by the IPPC Secretariat) or by consultants, often with input from groups such as the SC or the IC Sub-group on IRSS.	<ul style="list-style-type: none"> Expert-designed surveys are needed to collect relevant information Periodical monitoring (every 3-5 years) of implementation of the CPM, ISPMs and CPM Recommendations Surveys should be short, simple and objective. 	<ul style="list-style-type: none"> Issues with survey design and delivery have been identified. Survey response rates have been typically low. Data has not been cross comparable across General Surveys.

APPENDIX 15

2022 ANNUAL WORK PLAN For the IC Team on e-Commerce
(2021-11-05)

Outputs	January-March 2022	April-June 2022	July-September 2022	October-December 2022
1. e-Commerce Guide (2017-039)	- Edit, peer review draft Guide and finalize case studies	- Copy-edit and finalize draft Guide	- Publish the e-Commerce Guide	
2. Informal network of e-commerce experts	- Invite members of the network to peer review the guide	- Initiate new e-forum discussion	- Share the published guide with the network members	- Invite the network members to the webinar launch - Initiate new e-forum discussions
3. Collaboration with WCO	- Attend WCO e-Commerce WG meeting (<i>virtual</i>)	- Attend WCO Permanent Technical Committee meeting (<i>virtual</i>)	- Attend WCO e-Commerce WG meeting	
4. Communication and Advocacy	- Draft a communications plan to raise awareness about the phytosanitary risks associated with e-Commerce among national border agencies	- Finalize and implement the communications plan	- Initiate work with UPU and ISF to develop awareness-raising materials aimed at their members	- Organize a webinar to launch the guide - Update the e-Commerce webpage on the IPP once a year
5. Monitoring and evaluation	- See IRSS work plan (See agenda item 10)			
6. IC Team on e-Commerce meetings		- Organize a meeting		- Organize a meeting

APPENDIX 16

ANNUAL SUMMARY OF IMPLEMENTATION AND CAPACITY DEVELOPMENT COMMITTEE E-DECISIONS (FORUMS) JANUARY – OCTOBER 2021

Since the beginning of 2021, twenty-five (25) IC e-Decisions have been opened (compared to seventeen for last annual summary in 2020) and this paper provides a summary of the outcomes of the IC e-Decision fora opened from January to October 2021.

As the Implementation and Capacity Development Committee (IC) activities have been conducted virtually, there has been an increase in the use of e-Decisions to, among other things, make decisions, approve technical documents and even review and approve the reports of IC meetings.

These IC e-Decisions were used during the year 2021 as follows:

- Eight for the review and approval of the reports of the IC virtual meetings (32%);
- Eight for other decisions on Implementation and Capacity Development (ICD issues, process and procedure (32%);
- Five for adoption of draft specifications for Guides and training materials for 2021 consultation (20%);
- Four for selection of experts for Working Groups (16%).

Regarding the response rate, although no response is interpreted as agreement, IC members are still strongly encouraged to respond to e-Decisions. The annual average response rate of IC members to e-Decisions is 47.68%. The maximum response rate for an e-Decision was 71% (same as it was in 2020) and no e-Decision has received 100% response rate.

However, there is a significant improvement in the number of IC e-Decisions with a response rate greater than or equal to 50%: 15/25 or 60% against 5/17 or 29% last year.

For further details on IC e-Decisions, please consult the e-Decision webpage on the International Phytosanitary Portal (IPP) (<https://www.ippc.int/en/forum/category/ic-forum/>).

To review the conclusions of the IC e-Decision forums, please visit the following page to review the forum summaries: <https://www.ippc.int/en/work-area-pages/capacity-development/implementation-and-capacity-development-committee-ic/electronic-decisions-by-ic/background-documents-and-summaries-of-e-decisions-by-ic/>

The table of the IC e-Decisions from January to October 2021 is presented in Appendix 1.

Below the summaries of the 2021 IC e-Decisions in chronological order:

2021_eIC_01: Adoption of the IC VM08 (Elections of the IC Chairperson and Vice-Chairperson / Review of list of ICD topics) Report

The forum was open from 13 July to 23 January 2021.

The Secretariat reviewed IC member's comment to the meeting report. Seven comments were received and the IC adopted the report via the forum; therefore, there was no need to conduct a poll. The report was shared again with the meeting Rapporteur for her final clearance.

IC e-Decision:

- the IC adopted the IC VM08 (Elections of the IC Chairperson and Vice-Chairperson / Review of list of ICD topics) Report.

2021_eIC_02: Selection of experts for the Working Group for the e-Commerce Guide for plants, plant products and other regulated articles (2017-039)

- [1] The forum was open from 15 to 29 January 2021.
- [2] Seven IC members provided written comments in support of the IPPC Secretariat's recommendation. Three of the respondents specifically agreed to the importance of securing representation from developing countries and the WCO. The composition of the WG was further discussed during IC-VM10 on 20 January.
- [3] IC e-Decision:
- the IC agreed that the following nine experts be invited to the working group to develop the e-Commerce Guide for plants, plant products and other regulated articles (2017-039):
 - Mr Nicolas AUÑON (Argentina)
 - Mr. Alan BURNE (New Zealand)
 - Mr Bruno GALLANT (Canada)
 - Mr Cory MARKER (United States)
 - Mr. Samuel McKeon (Australia)
 - Mr. Xubin PAN (China)
 - Ms Miia PASANEN (Finland)
 - Mr. Mauricio RIBEIRO (Brazil, UPU)
 - Mr. Shane SELA (World Bank Group)
- [4] The IC further agreed that the IPPC Secretariat should invite any additional experts nominated by Jamaica, Guyana and the WCO to participate in the WG.

2021_eIC_03: Adoption of the IC VM09 (IC Sub-group: SCTF / NROs/ IPPC Secretariat work plan 2021) Report

- [5] The forum was open from 01 to 15 March 2021.
- [6] The Secretariat reviewed IC member's comment to the meeting report. Ten comments were received and the IC adopted the report via the forum; therefore, there was no need to conduct a poll. The report was shared again with the meeting Rapporteur for his final clearance.
- [7] IC e-Decision:
- the IC adopted the IC VM09 (IC Sub-group: SCTF / NROs/ IPPC Secretariat work plan 2021) Report.

2021_eIC_04: Adoption of the IC VM10 (e-Decisions annual summary/ Design Thinking report/Observers for projects) Report

- [8] The forum was open from 22 March to 05 April 2021.
- [9] The Secretariat reviewed IC member's comment to the meeting report. Eight comments were received and the IC adopted the report via the forum; therefore, there was no need to conduct a poll. The report was shared again with the meeting Rapporteur for her final clearance.
- [10] IC e-Decision:
- the IC adopted the IC VM10 (e-Decisions annual summary/ Design Thinking report/Observers for projects) Report.

2021_eIC_05: Discussion on work of the SCTF for the remaining of 2021 and prioritization of tasks

- [11] The forum was open from 07 to 16 April 2021.

[12] Seven IC members responded to the e-forum and the Secretariat reviewed IC member's responses.

[13] IC e-Decision:

- the IC suggested to devote the limited remaining time to deal with the questions raised in document INF 13 and minimize the time allocated to administrative matters (ie more work planning).

[14] In addition, considering the time remaining, the IC asked to stop making efforts to contact stakeholders in order to complete the surveys and instead work on the data obtained so far.

2021_eIC_06: Adoption of the IC VM11 (Sea Containers Task Force work plan/ Design Thinking study/ Beyond Compliance/ e- Commerce work plan) Report

[15] The forum was open from 22 April to 06 May 2021.

[16] The Secretariat reviewed IC member's comment to the meeting report. Seven comments were received and the IC adopted the report via the forum; therefore, there was no need to conduct a poll. The report was shared again with the meeting Rapporteur for his final clearance.

[17] IC e-decision:

- the IC adopted the IC VM11 (Sea Containers Task Force work plan/ Design Thinking study/ Beyond Compliance/ e- Commerce work plan) Report.

2021_eIC_07: Selection of the IC representative to the CPM Focus group on IPPC Strategic Framework (2020-2030) and an IC member for the IC team on contributes resources

[18] The IC e-forum was open from 29 April to 13 May 2021.

[19] Eight IC members provided comments and the Secretariat reviewed IC member's responses.

[20] One IC member was nominated for the Focus group and other seven IC members provided written comments in support of the nomination. There was no nomination for the IC Team on contributed resources.

[21] IC e-Decision:

- during IC-VM14, the IC agreed to the selection of Ms Kyu-Ock YIM (Republic of Korea) to be the IC representative to the CPM Focus group on Implementation of the IPPC Strategic Framework's 2020 -2030.
- In addition, the IC requested that the Secretariat to work on to identify an additional member for the IC Team on contributed resources.

2021_eIC_08: Discussion on the setting of an IC Team on Fusarium Wilt TR4 (Fusarium oxysprum f. sp. cubense Tropical Race 4)

[22] The forum was open from 30 April to 12 May 2021.

[23] Eight IC members provided comments and the Secretariat reviewed IC member's responses.

[24] IC e-Decision:

- The IC agreed:
 - to establish an IC Team on Fusarium oxysprum f. sp. cubense Tropical Race 4 (TR4).
 - to the Terms of Reference for this IC Team. Some members emphasised the need to use already available materials and initiatives to develop global resources and not engaging in operational activities, keeping in mind the limited resources of the IPPC Secretariat. These

aspects were already reflected in the ToR. Operational activities should be undertaken by regional, sub-regional and national FAO Offices as well as RPPOs and NPPOs and liaison should be made with these institutions. All suggestions made in the ToR were integrated and the revised ToR is available in Appendix 1 of the e-Forum summary.

- to make a call for experts to be part of this IC Team, to be launched on the IPP shortly. IC members interested in being part of this group - Chris Dale expressed his interest - are invited to answer the call and provide all relevant documentation.

2021_eIC_09: Approval of draft Specifications on Development and implementation of regulations and legislation to manage phytosanitary risks and the Surveillance and reporting obligations, e-Learning

[25] The IC e-forum was open from 10 to 28 May 2021.

[26] Nine IC members provided comments and the Secretariat reviewed IC member's responses.

[27] IC e-Decision:

- one IC member commented for editorial changes and these comments were all accepted and incorporated.
- The IC approved the two draft Specifications for consultation from 1 July to 30 August 2021, draft Specification for the Development and implementation of regulations and legislation to manage phytosanitary risks on regulated articles for NPPOs, Guide (2018-008), and draft Specification for the Surveillance and reporting obligations, e-Learning course (2020-012).

2021_eIC_10: Approval of the Process for the Development of IPPC Guides and Training Materials

[28] The forum was open from 20 May to 03 June 2021.

[29] Six IC members provided comments and the Secretariat reviewed IC member's responses.

[30] No additional revisions were proposed and all the IC members who responded expressed their approval of the update.

[31] IC e-Decision:

- the IC approved the Process for the Development of IPPC Guides and Training Materials.

2021_eIC_11: Adoption of the IC VM12 (Process for development of Guides and training materials / NROs work plan/ Actions from CMP-15 (2021)) Report

[32] The forum was open from 21 May to 04 June 2021.

[33] The Secretariat reviewed IC member's comment to the meeting report. Five comments were received and the IC adopted the report via the forum; therefore, there was no need to conduct a poll. The report was shared again with the meeting Rapporteur for his final clearance.

[34] IC e-Decision:

- the IC adopted the IC VM12 (Process for development of Guides and training materials / NROs work plan/ Actions from CMP-15 (2021)) Report.

2021_eIC_12: Approval of draft Specifications for the Inspection, e-Learning course (2020-011)

[35] The forum was open from 25 May to 04 June 2021.

[36] Six IC members provided comments and the Secretariat reviewed IC member's responses.

[37] No additional revisions were proposed.

[38] IC e-Decision:

- the IC approved the draft specification for the Inspection, e-Learning course (2020-011) for consultation from 1 July to 31 August 2021.

2021_eIC_13: Approval of draft specification for the Guide for developing phytosanitary security procedures (2018- 028)

[39] The forum was open from 29 May to 08 June 2021.

[40] Four IC members provided comments and the Secretariat reviewed IC member's responses.

[41] No additional revisions were proposed.

[42] IC e-Decision:

- the IC approved the draft specification for the Guide for developing phytosanitary security procedures (2018- 028) for consultation from 1 July to 31 August 2021.

2021_eIC_14: Approval of draft specification for the Plant health officer training curricula (2017-054)

[43] The forum was open from 03 to 11 June 2021.

[44] Nine IC members provided comments and the Secretariat reviewed IC member's responses.

[45] Minor revisions were proposed and incorporated, in a few cases IC members were reminded that comments should have been made in the OCS previously, so they agreed to submit further comments through their National IPPC Contact points during the consultation.

[46] IC e-Decision:

- the IC approved the draft specification for the Plant health officer training curricula (2017-054) for consultation from 1 July to 31 August 2021.

2021_eIC_15: Approval of Draft Specification for Guide on Contingency Planning (2019-012)

[47] The forum was open from 07 to 11 June 2021.

[48] Four IC members provided comments and the Secretariat reviewed IC member's responses.

[49] One IC member proposed to add as reference the APPPC RSPM on contingency plan for SALB which may provide scope and components of contingency planning.

[50] IC e-Decision:

- the IC approved the draft specification for the Guide on Contingency Planning (2019-012) for consultation from 1 July to 31 August 2021.

2021_eIC_16: Approval of observers to the Sea Containers Task Force

[51] The forum was open from 12 to 19 July 2021.

[52] One IC member responded to the e-forum to support the approval of these two observers, no IC members opposed.

[53] IC e-Decision:

- the IC approved Ms Wendy ASBIL (North American Sea Container Initiative) and Ms Lie QIAN (China) as observers to the IC Sub-group on Sea Container Task Force.

2021_eIC_17: Adoption of the IC VM13 (IPPC Regional workshops / IST update / ePhyto / ICD web resources) Report

[54] The forum was open from 05 to 19 July 2021.

[55] The Secretariat reviewed IC member's comment to the meeting report. Seven comments were received and the IC adopted the report via the forum; therefore, there was no need to conduct a poll. The report was shared again with the meeting Rapporteur for her final clearance.

[56] IC e-Decision:

- the IC adopted the IC VM13 (IPPC Regional workshops / IST update / ePhyto / ICD web resources) Report.

2021_eIC_18: Adoption of the IC VM14 (Projects) Report

[57] The forum was open from 05 to 19 July 2021.

[58] The Secretariat reviewed IC member's comment to the meeting report. Four comments were received and the IC adopted the report via the forum; therefore, there was no need to conduct a poll. The report was shared again with the meeting Rapporteur for his final clearance.

[59] IC e-Decision:

- The IC adopted the IC VM14 (Projects) Report.

2021_eIC_19: Approval of revised criteria and procedures for Contributed Phytosanitary Resources

[60] The forum was open from 16 to 30 July 2021.

[61] Eight IC members provided comments and the Secretariat reviewed IC member's responses.

[62] IC e-Decision:

- The IC approved the revised Criteria and procedures for reviewing and approving contributed phytosanitary resources for posting on the IPP, with comments.

[63] The Secretariat revised the criteria and procedures based on the feedback of IC members in consultation with the IC Team on Contributed Resources. The final version of the document is available on the IPP: <https://www.ippc.int/en/publications/90112/>.

2021_eIC_20: Approval of the Implementation Plan for the Pest Status Guide

[64] The forum was open from 20 July to 31 August 2021.

[65] Four IC members provided comments and the Secretariat reviewed IC member's responses.

[66] One IC member proposed some editorial revisions to the blurb (promotional text about the guide). These have been incorporated into the document and are provided in Appendix 1 of the e-Decision summary.

[67] There were no suggestions for improving the format or content of the Implementation Plan.

[68] All the IC members who responded expressed their approval of the Implementation Plan for the Pest Status Guide.

[69] IC e-Decision:

- The IC approved the the Implementation Plan for the Pest Status Guide.

2021_eIC_21: Request to adjust the tasks for the proposed CPM Focus Group on Sea Containers

[70] The forum was open from 23 July to 06 August 2021.

[71] Seven IC members responded to the e-forum in support of this request.

[72] IC e-Decision:

- The IC requested the IPPC Secretariat to request the CPM Bureau, on behalf of the CPM, to remove the task to arrange a possible 2022 workshop from the CPM Focus Group (FG) on Sea tasks Terms of Reference. Noting that the IPPC Secretariat, will establish a Steering Committee for the International Workshop on Sea Containers to begin planning and making provisional arrangements for a potential International Workshop on Sea Containers to be held in 2022.

2021_eIC_22: Selection of experts for the Implementation and Capacity Development Committee (IC) Team on *Fusarium oxysporum* f. sp. *cubense* Tropical Race 4 (TR4)

[73] The forum was open from 27 July to 10 August 2021.

[74] Six IC members provided written comments in support of the IPPC Secretariat's recommendation.

[75] IC e-Decision:

- The IC selected the following experts for the IC Team on TR4:
 - Mr. GACHAMBA Sospeter Gachuhi (Kenya) - Africa
 - Mr. WASSIM HABIB (Lebanon) -Near-East and North Africa
 - Ms. Monica GALLO LARA (Ecuador) - Latin America and the Caribbean
 - Ms. Rhiannon EVANS (Australia) - Asia and Pacific
 - Mr. Miguel Angel DITA RODRIGUEZ (Colombia) - Alliance Bioversity International and CIAT/OIRSA
 - Mr. Gert KEMA (Netherlands) -Wageningen University
 - Mr. Luis Fernando PÉREZ VICENTE (Cuba) - Research Institute of Plant Health (INISAV)
 - Ms. Morag WEBB DE GONZALES - COLEACP (International Organization)
 - Ms. Magda GONZALEZ (Costa Rica) - IC Lead
 - Mr. Chris DALE (Australia) - IC Representative

2021_eIC_23: Adoption of the IC VM15 (Contributed resources/ list of ICD topics/Framework) Report

[76] The forum was open from 29 July to 12 August 2021.

[77] The Secretariat reviewed IC member's comment to the meeting report. Three comments were received and the IC adopted the report via the forum; therefore, there was no need to conduct a poll. The report was shared again with the meeting Rapporteur for her final clearance.

[78] IC e-Decision:

- The IC adopted the IC VM15 (Contributed resources/ list of ICD topics/Framework) Report.

2021_eIC_24: Selection of experts for the Working Group to develop the e-Learning course on Inspection (2020-011)

[79] The forum was open from 19 to 29 October 2021.

[80] Seven IC members provided comments in support of the IPPC Secretariat's recommendation.

[81] IC e-Decision:

- The IC selected the following experts for the Working Group to develop the e-Learning course on Inspection (2020-011):
 - Mr. Paul BEALES (UK)
 - Mr. Isaac Ojunga NYATENG (KEN)
 - Mr. Avtar VIRK (CAN)
 - Ms. Rocio Leila FERNANDEZ (ARG)
 - Mr. Roberto PAPA (Bra)
 - Ms. Jill KAROTAM (AUS)
 - Ms. Marie Helene KESTEMONT (BEL)

2021_eIC_25: Selection of experts for the Working Group to develop an e-Learning course on Surveillance and Reporting Obligations (2020-012)

[82] The forum was open from 19 July to 29 October 2021.

[83] Ten IC members provided comments in support of the IPPC Secretariat's recommendation.

[84] IC e-Decision:

- The IC selected the following experts for the Working Group to develop an e-Learning course on Surveillance and Reporting Obligations (2020-012):
 - Mr. Pablo CORTESE (Argentina)
 - Ms. Magda GONZALEZ-ARROYO (Costa Rica)
 - Ms. Marie-Helene KESTEMONT (Belgium)
 - Mr. Leroy WHILBY (United States)
 - Mr. Hernan ZETINA (Belize)
 - Ms. Jane BARBROOK (UK)
 - Ms. Guadalupe MONTES (Argentina)
 - Ms. Julie Raimsela MOKWELE (South Africa)

[85] The IC is invited to

- (1) *Agree to* the summary of Implementation and Capacity Development Committee e-Decisions (forums) for 2021 which will be appended to the IC VM-17 report.

Appendix 1: Table of the IC e-Decisions opened from January to October 2021 in chronological order

N°	Title of e-Decision	Opening Date	Closing Date	Comments submitted (IC)	% Responses	Poll
1	2021_eIC_01: Adoption of the IC VM08 (Elections of the IC Chairperson and Vice-Chairperson / Review of list of ICD topics) Report	13-Jan	27-Jan	6	43	No
2	2021_eIC_02: Selection of experts for the Working Group for the e-Commerce Guide for plants, plant products and other regulated articles (2017-039)	15-Jan	29-Jan	7	50	
3	2021_eIC_03: Adoption of the IC VM09 (IC Sub-group: SCTF / NROs/ IPPC Secretariat work plan 2021) Report	1-Mar	15-Mar	10	71	No
4	2021_eIC_04: Adoption of the IC VM10 (e-Decisions annual summary/ Design Thinking report/Observers for projects) Report	22-Mar	5-Apr	8	57	No
5	2021_eIC_05: Discussion on work of the SCTF for the remaining of 2021 and prioritization of tasks	7-Apr	16-Apr	7	50	No
6	2021_eIC_06: Adoption of the IC VM11 (Sea Containers Task Force work plan/ Design Thinking study/ Beyond Compliance/ e- Commerce work plan) Report	22-Apr	6-May	7	50	No
7	2021_eIC_07: Selection of the IC representative to the CPM Focus group on IPPC Strategic Framework (2020-2030) and an IC member for the IC team on contributed resources	29-Apr	13-May	8	57	No
8	2021_eIC_08: Discussion on the setting of an IC Team on Fusarium Wilt TR4 (Fusarium oxysprum f. sp. cubense Tropical Race 4)	30-Apr	12-May	10	71	No
9	2021_eIC_09: Approval of draft Specifications on Development and implementation of regulations and legislation to manage phytosanitary risks and the Surveillance and reporting obligations, e-Learning	10-May	28-May	9	64	No
10	2021_eIC_10: Approval of the Process for the Development of IPPC Guides and Training Materials	20-May	3-Jun	6	43	No
11	2021_eIC_11: Adoption of the IC VM12 (Process for development of Guides and training materials / NROs work plan/ Actions from CMP-15 (2021)) Report	21-May	4-Jun	5	36	No
12	2021_eIC_12: Approval of draft Specifications for the Inspection, e-Learning course (2020-011)	25-May	4-Jun	6	43	No
13	2021_eIC_13: Approval of draft specification for the Guide for developing phytosanitary security procedures (2018- 028).	29-May	8-Jun	4	29	No
14	2021_eIC_14: Approval of draft specification for the Plant health officer training curricula (2017-054).	3-Jun	11-Jun	9	64	No
15	2021_eIC_15: Approval of Draft Specification for Guide on Contingency Planning (2019-012)	7-Jun	11-Jun	9	64	No
16	2021_eIC_17: Adoption of the IC VM13 (IPPC Regional workshops / IST update / ePhyto / ICD web resources) Report	5-Jul	19-Jul	7	50	No

N°	Title of e-Decision	Opening Date	Closing Date	Comments submitted (IC)	% Responses	Poll
17	2021_eIC_18: Adoption of the IC VM14 (Projects) Report	5-Jul	19-Jul	4	29	No
18	2021_eIC_16: Approval of observers to the Sea Containers Task Force.	12-Jul	19-Jul	1	7	
19	2021_eIC_19: Approval of revised criteria and procedures for Contributed Phytosanitary Resources	16-Jul	30-Jul	7	50	No
20	2021_eIC_20: Approval of the Implementation Plan for the Pest Status Guide	20-Jul	31-Aug	4	29	No
21	2021_eIC_21: Request to adjust the tasks for the proposed CPM Focus Group on Sea Containers	23-Jul	6-Aug	7	50	No
22	2021_eIC_22: Selection of experts for the Implementation and Capacity Development Committee (IC) Team on <i>Fusarium oxysporum</i> f. sp. <i>cubense</i> Tropical Race 4 (TR4)	27-Jul	10-Aug	6	43	No
23	2021_eIC_23: Adoption of the IC VM15 (Contributed resources/ list of ICD topics/Framework) Report	29-Jul	12-Aug	3	21	No
24	2021_eIC_24: Selection of experts for the Working Group to develop the e-Learning course on Inspection (2020-011)	19-Oct	29-Oct	7	50	
25	2021_eIC_25: Selection of experts for the Working Group to develop an e-Learning course on Surveillance and Reporting Obligations (2020-012)	19-Oct	29-Oct	10	71	

APPENDIX 17

: 2022 IFU work plan (2020-11-30 IFU and IC reviewed and noted)

Strategies: The Implementation and Capacity Development (ICD) objectives will be achieved by:

1. Focusing on global impact in order of priority: international, regional and national
2. Continuing building a strong quality-oriented team that supports and implements innovative ideas
3. Strengthening cooperation with relevant stakeholders to maximize resources to deliver ICD activities
4. Plan work according to allocated resources and mobilize resources as needed.

Main activities and outputs²⁸:

- **Governance:** CPM-16 (2022), Bureau, SPG and CPM FGs (POARS (DA) & e-Commerce (DA)) are supported. POARS study is finalized and published.
- **IPPC Secretariat initiatives** are supported: FAO-One Health, TFRM, CTM
- **IC is supported** including face to face/virtual meetings, IC Sub-groups: IRSS and NRO, IC Teams: Cont. Res, e-Com, F S&I, G&TM, PCE, Projects, TFT, TR4 and Web
- **List of ICD** topics is managed and adjustments with IC recommendations submitted to CPM
- **IFU communications** work plan is developed and implemented including webinars, announcements, calls, news and publications.
- **ICD web-based information** is updated once a year. Contribute to the redesign of the IPP. Contributed resources managed. Interface improved to published G&TM.
- **Guides and training material:** Guides published: Contingency planning, e-Commerce and ISPM 15. Four E-Learning courses launched: Contingency planning, Export, Inspection and Surveillance. All courses are supported by tutoring (including PRA). Work will be initiated on Plant Health Officer Curriculum, Risk Based Insp and PFA E-Learning. Draft specifications are developed for 4 topics (Risk Based Insp, Authorization, NRO Rev and PCE training).
- **Projects managed** (or phytosanitary input provided): China, COMESA, EU: Implementation, EU: IRSS, EU: 9 PCEs (COMESA countries), EU: SF, and Japan. Backstopping for FAO projects.
- **IRSS** is managed for the entire IPPC Secretariat, calls for topics are made, RM plan and Communications plan are implemented. Three-year work plan is implemented (2022-2024)²⁹
- **PCEs³⁰** are managed and conducted in three in COMESA countries (\$EU), Cambodia (\$China), Senegal (\$GIZ) and Sierra Leone (\$COLEACP). PCE will be completed in Nepal. Additional opportunities to conduct PCEs are explored. A study on CPs needs is conducted. RM and Communications plan are implemented. A PCE Facilitator training and renewal plan is developed. PCE tool is modernized³¹.
- **Emerging pests** participate in FAO FAW Secretariat activities: FAO/IPPC Technical Working Group.
- **STDF Project:** PPGs and PGs reviewed and supported

²⁸ Subject to the following staff resources. **Regular Programme:** ~~P4~~, P2, G3 & Intern. **In-kind:** P4 Canada, ~~P4 France~~, e-learning support COLEACP. **Projects:** P3 (\$ EU & China), P2 (\$ Japan), 1 Consultant (\$ China), ~~1 Intern (\$ China)~~, 3 x Consultants (\$ COMESA), 3 Consultants (\$ IRSS), PCE facilitators (\$ China), 2 Consultants (\$ MDTF-PCE). **Operation costs** from RP and Projects.

^{29&3} Underlined activity is not currently resourced and current funding for IRSS stops in May 2022

³⁰ Subject to change, depending on donors

- **ICD Procedures that are updated are included in the ICD Manual** annually and the 2021 version is published in January
- **Dispute settlement** Assistance is provided as requested.
- **IPPC Regional workshops:** participate in preparatory meetings to develop the agenda and presentations and at least one RW is organized and delivered by IFU
- **Training** Advanced training (One Road-face-to-face (or virtual) workshop) is organized and delivered. Field demos (Physical via LofA China) are set up in Sri Lanka (Fruit fly) and Cambodia (TR1 & 4).
- **External Cooperation** is maintained or developed with various organizations: EC, CABI, COLEACP, EFSA, IICA, IPRG, GEA, STDF, UNICC, UPU, and WCO.

APPENDIX 18

VM16 / VM17 Action list

		Topics	Description of tasks /Decisions	Status	IC Lead	Secretariat Lead
		Contingency planning (2019-012), Guide	Approved the Specification for the guide on Contingency planning (2019-012) as modified in this meeting (Appendix 2) and agreed to the IC responses to comments	Completed	Francisco GUTIERREZ	Juan RULL
		Inspection (2020-011), e-learning course	Agreed that ISPM 5 (Glossary of phytosanitary terms) should be listed under the References section of all draft specifications for IPPC guides and training materials	Completed	Thorwald GEUZE	Juan RULL
		Inspection (2020-011), e-learning course	Agreed to amend the three draft specifications considered at this IC meeting, together with the associated responses to consultation comments	Completed	Thorwald GEUZE	Juan RULL
		Inspection (2020-011), e-learning course	Approved the Specification and agreed to the IC responses to comments	Completed	Thorwald GEUZE	Juan RULL
		IC-SC collaboration	Requested that the IFU liaise with the Standard Setting Unit of the Secretariat to ensure that IC members appointed to EWGs are notified and receive all relevant communications in a timely fashion	On going	Alvaro SEPULVEDA	Descartes KOUMBA
		Surveillance and reporting obligations (2020-012), e-learning course	Approved the Specification and agreed to the IC responses to comments	Completed	Chris DALE	Juan RULL
		Authorization of entities to perform phytosanitary actions (2018-040), Guide	Agreed to add a task to the draft Specification asking the WG to consider the concerns raised in topic submission 2021-024 (regarding authorization of entities to carry out phytosanitary fumigation treatments)	Completed	Dominique PELLETIER	Descartes KOUMBA
		Risk based inspection of imported consignments (2018-022), Guide	Agreed to consider the concerns identified in the submission 2021-023_KE_ISPM 15 "Methodologies for sampling of consignments" when reviewing the draft specification on Risk	To be completed	Kyu-Ock YIM	Descartes KOUMBA

		Topics	Description of tasks /Decisions	Status	IC Lead	Secretariat Lead
			based inspection of imported consignments (2018-022)			
		Performing audits in the phytosanitary context (2021-009), Guide	Supported the Task Force on Topics (TFT) recommendation to the CPM to add the Guide on performing audits in the phytosanitary context (2021-009) to the List of topics for implementation and capacity development (ICD LOT)	Completed	Dominique PELLETIER	Barbara PETERSON
		Performing audits in the phytosanitary context (2021-009), Guide	Assigned a priority of 1 to the Guide on performing audits in the phytosanitary context (2021-009)	Ongoing	Dominique PELLETIER	Barbara PETERSON
		Safe provision of food and other humanitarian aid (2021-020)	Nominated Chris DALE (Australia) and Thorwald GEUZE (The Netherlands) to represent the IC in discussions with the SC about the Safe provision of food and other humanitarian aid (2021-020)	Completed	Chris DALE	TBD
		Surveillance Guide (2021)	Agreed to seek funding for the translation of the revised guide on surveillance into additional FAO languages, for instance by approaching their respective NPPOs and RPPOs, and requested that the Secretariat provide an official letter to be used for this purpose	To be completed	Chris DALE	Natsumi YAMADA
		Contributed resources	Requested that the IC Team on Contributed Resources prioritize the review of the contributed resources recently submitted by Australia (Plant Health Surveillance Portal/Website and Plant Health Surveillance e-learning Package), and encouraged IC members to promote these resources to their own regions and NPPOs	To be completed	Magda GONZALEZ ARROYO	Natsumi YAMADA
		Plant health officer training curricula (2017-054)	Approved the IC responses to the comments submitted during the consultation on the draft specification Plant health officer training curricula with regards to the IPPC (2017-054) and requested that the Secretariat post these on the IPP	Ongoing	Lalith KUMARAS INGHE	Ewa CZERWIEN
		Developing phytosanitary procedures to maintain the phytosanitary security of consignments for	Approved the IC responses to the comments submitted during the consultation on the draft specification Guide for developing phytosanitary procedures to maintain the phytosanitary security of consignments for export (2018-028) and requested that the Secretariat post these on the IPP	Ongoing	Kyu-Ock YIM	Descartes KOUMBA

		Topics	Description of tasks /Decisions	Status	IC Lead	Secretariat Lead
		export (2018-028), Guide				
		Developing phytosanitary procedures to maintain the phytosanitary security of consignments for export (2018-028), Guide	Agreed that the scope of the guide should include general consignments as well as plants and plant products and that the title of the specification should be changed to Guide for developing phytosanitary procedures to maintain the phytosanitary security of consignments for export	Completed	Kyu-Ock YIM	Descartes KOUMBA
		Developing phytosanitary procedures to maintain the phytosanitary security of consignments for export (2018-028), Guide	Approved the specification on Guide for developing phytosanitary procedures to maintain the phytosanitary security of consignments for export (2018-028), subject to the addition of a statement about the diversity of the working group (as modified and presented in Appendix 5)	Completed	Kyu-Ock YIM	Descartes KOUMBA
		Development and implementation of legislation and regulations for National Plant Protection Organizations to manage the pest risks from the international movement of regulated articles other than plants and plant products (2018-008)	Approved the IC responses to the comments submitted during the consultation on the draft specification Development and implementation of legislation and regulations for National Plant Protection Organizations to manage the pest risks from the international movement of regulated articles other than plants and plant products (2018-008) and requested that the Secretariat post these on the IPP	Completed	Chris DALE	Natsumi YAMADA
		Development and implementation of legislation and regulations for National Plant Protection	Approved the specification on Development and implementation of legislation and regulations for National Plant Protection Organizations to manage the pest risks from the international movement of regulated articles other than plants and plant products (2018-008), subject to the	Completed	Chris DALE	Natsumi YAMADA

		Topics	Description of tasks /Decisions	Status	IC Lead	Secretariat Lead
		Organizations to manage the pest risks from the international movement of regulated articles other than plants and plant products (2018-008)	modifications agreed at this meeting (as modified and presented in Appendix 6)			
		Phytosanitary capacity evaluation (PCE)	Agreed that no PCE Facilitator Trainees should be appointed until the governance system for PCE Facilitator Trainees (including the PCE Board) is in place	Ongoing	Ringolds ARNITIS	Sarah BRUNEL
		Phytosanitary capacity evaluation (PCE)	Agreed to use some of the money allocated by the CPM Bureau for PCE improvement to fund a desk study on how to improve the effectiveness of PCE, taking into account the discussions at the 2021 SPG meeting and the STDF report	Completed	Ringolds ARNITIS	Sarah BRUNEL
		Phytosanitary capacity evaluation (PCE)	Agreed to review the draft updated Phytosanitary capacity evaluation strategy for 2020–2030 once the desk study has been completed and the results considered	Ongoing	Ringolds ARNITIS	Sarah BRUNEL
		Phytosanitary capacity evaluation (PCE)	Requested that the IPPC Secretariat include in the IPPC procedure manual for implementation and capacity development the following documents: Procedure for a phytosanitary capacity evaluation facilitator certification (modified as agreed), Confidentiality agreement for observers from international organizations participating in the IPPC phytosanitary capacity evaluation process, Phytosanitary capacity strategy for 2020–2030 (but only once completed and agreed by the IC)	Completed	Ringolds ARNITIS	Sarah BRUNEL
		National Reporting Obligations (NROs)	Requested that the Secretariat forward the IC's decision on IPPC contact points deleting their own NRO data on the IPP to CPM-16 (2022) for noting	Ongoing	Magda GONZALEZ ARROYO	Qingpo YANG
		National Reporting Obligations (NROs)	Agreed to add a task to the draft specification for revision of the IPPC Guide to national reporting obligations (agenda item 8.3) to develop guidance on the format of lists of regulated pests	Ongoing	Magda GONZALEZ ARROYO	Qingpo YANG

		Topics	Description of tasks /Decisions	Status	IC Lead	Secretariat Lead
		National Reporting Obligations guide (revision) (2021-026)	Recommended the addition of the National reporting obligations guide (revision) (2021-026) to CPM-16 (2022) for inclusion in the List of implementation and capacity development topics with a priority of 1	Ongoing	Magda GONZALEZ ARROYO	Barbara PETERSON
		National Reporting Obligations guide (revision) (2021-026)	Requested that the Secretariat prepare the draft specification on National reporting obligations guide (revision) (2021-026) in consultation with the IC Team and present it to the IC for approval for consultation in 2022 (pending CPM decision)	Ongoing	Magda GONZALEZ ARROYO	Qingpo YANG
		Pest free areas e-learning course (2017-044)	Raised the priority of the Pest free areas e-learning course (2017-044) from 2 to 1	Completed	Dominique PELLETIER	Natsumi YAMADA
		Pest free areas e-learning course (2017-044)	Agreed that consultation on a draft specification for the Pest free areas e-learning course (2017-044) would not be necessary because it will be based on the IPPC Guide for establishing and maintaining pest free areas that was published in 2019	Completed	Dominique PELLETIER	Natsumi YAMADA
		IPP publications	Requested that guidance to inform potential collaborators and donors about the process for working with the Secretariat and FAO to translate IPPC Guides and training materials be made available by the Secretariat on the IPP	To be completed	Francisco GUTIERREZ	Barbara PETERSON
		Selection of experts	Agreed that the new statement on gender and equality will be added to the criteria for selection of experts in all future Specifications, including those approved by IC_VM17 and that the Procedure for the development of G&TM would also include this statement.	Completed	Francisco GUTIERREZ	Barbara PETERSON
		IRSS	Agreed to add the e-Commerce study (Appendix 13) to the IRSS list of topics and that the scope of the study should include non-commercial e-commerce transactions	Completed	Dominique PELLETIER	Descartes KOUMBA
		IRSS	Agreed on the proposed options for a sustainable IRSS (Appendix 14) and recommended them for adoption by CPM-16 (2022)	Completed	Dominique PELLETIER	Descartes KOUMBA

		Topics	Description of tasks /Decisions	Status	IC Lead	Secretariat Lead
		IC team on e-Commerce	Requested that the IC Team on e-Commerce contribute to developing a detailed plan for the e-commerce development agenda, with clear goals, deliverables and budgets for the next five, seven or ten years, and other information requested by the FG for the SF	Completed	Thorwald GEUZE	Barbara PETERSON
		Replacement of the IFU team lead	Agreed that the IC Chairperson would write to the IPPC Secretary, copied to the Acting IPPC Officer-in-Charge for daily matters, to ask about the time frame for recruiting a replacement lead for the IFU following the retirement of the current lead	To be completed	Dominique PELLETIER	Sarah BRUNEL
		Promotion of the Phytosanitary Component Pages	Invited the SC to engage in a joint effort to promote the phytosanitary system component pages to a more prominent position on the IPP, and requested that the IC representative on the SC and the SC representative on the IC relay this message to the SC	To be completed	Alvaro SEPULVEDA	Sarah BRUNEL
		IC workload	Requested that, on the agenda for the next IC meeting, the Secretariat includes an item on workload during times of pandemic	Completed	Dominique PELLETIER	Descartes KOUMBA
		Concept note on “Strengthening Plant Health Emergency Management Capacities”	Requested that the Secretariat open an e-decision on the FAO concept note on “Strengthening Plant Health Emergency Management Capacities”.	To be completed	N/A	Sarah BRUNEL
		IC action list	Agreed to add an IC action list as an appendix to each IC meeting report, giving the status of actions agreed at the previous IC meeting, and to include an agenda item on this at each IC meeting	Completed	Dominique PELLETIER	Descartes KOUMBA