[PleaseReview document review. Review title: 2022 ICD Draft Specification: Implementation of risk-based inspection for imported consignments, Guide (2018-022). Document title: 2018-022\_DS\_RiskBasedInspection\_EN.docx]

[1]**IMPLEMENTATION OF RISK-BASED INSPECTION FOR IMPORTED CONSIGNMENTS, GUIDE (2018-022)**

[2]**Status box**

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| [3]This status box is not an official part of the Guide and will be modified by the IPPC Secretariat |
| [4]**Topic number:**  | [5]2018-022 |
| [6]**Title**  | [7]Implementation of risk-based inspection for imported consignments |
| [8]**Document category** | [9]IPPC Guide |
| [10]**Date of this document** | [11]2022-03-16 |
| [12]**Current document stage** | [13]Draft Specification |
| [14]**Major stages** | [15]2021-04: CPM-15 (2021) added this topic to List of Implementation and Capacity Development Topics; priority 1[16]2022-11: Implementation and Capacity Development Committee (IC) lead identified Ms Kyu-Ock YIM (KOR) and Ms Stephanie BLOEM (USA) as Assistant lead.[17]2021-06: The IC agreed that the draft specification should be developed for the 2022 consultation[18]2022-03 : IC approved draft specification for consultation  |
| [19]**Implementation**  **and Capacity Development Committee (IC) leads** | [20]2021-11: Kyu-Ock YIM (IC lead) and Stephanie BLOEM (Assistant lead) |
| [21]**IPPC Secretariat lead** | [22]2021-02: Descartes KOUMBA |
| [23]**Working Group experts**  | [24] |
| [25]**Notes** | [26] |

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[28]1. Title

[29]Implementation of risk-based inspection for imported consignments (2018-022)

[30]2. Type of implementation resource

[31]IPPC guide

[32]3. Convention articles, ISPMs and CPM recommendations to be addressed by the proposed implementation resource

[33]International Plant Protection Convention (Article IV.2(c), VII.1(a), VII.2(c), VII.2(g) and VII.2(h), in particular)

[34]ISPM 23: *Guidelines for inspection*

[35]ISPM 31: *Methodologies for sampling of consignments*

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

[37]4. Scope

[38]This IPPC Guide is designed to facilitate the implementation of relevant principles and standards of the IPPC to improve phytosanitary inspection based on risks from the international trade of plants, plant products and other regulated articles. It is limited by the agreed definition of inspection and the scope of relevant ISPMs.

[39]5. Purpose

[40]The Guide will be designed to assist national plant protection organizations (NPPOs) to understand and apply best practices for risk management associated with the use of inspection as a phytosanitary measure for imported consignments.

[41]NPPOs are challenged to use their risk-management resources, especially staff, in the best possible ways to address the increased volume of trade and passengers in a fair and technically justified manner. The implementation of risk-based inspection should follow an approach that aims to allocate resources for inspection based on evidence of risk. With the development of data-management technologies, more detailed and precise analysis of import records is feasible. Technologies now allow systematic and automated analysis of inspection data to consider the relationship of commodities, countries, volume, exporters, seasons and other inspection variables as factors affecting risk. Risk-based inspection may be implemented within the current legal framework for plant protection in some countries but may need more legal and procedural modification in other countries.

[42]6. Content for the proposed implementation resource

[43]The working group should develop the guide based on the outcomes of the following tasks:

1. [44]describe the concept of risk-based inspection and its benefits;
2. [45]identify common practices for inspection and challenges of inspection related to different risks;
3. [46]describe parameters to analyse risk of consignments;
4. [47]present the legal and phytosanitary system requirement to establish a risk-based inspection system;
5. [48]describe the appropriate data and analysis system facilities and equipment for the risk-based inspection of imported consignments;
6. [49]provide guidance to NPPOs on how looking at historical inspection data (including negative data) could improve risk-based inspection;
7. [50]discuss the various levels of implementation of risk-based inspection;
8. [51]provide guidance on how to perform inspection of consignments with varying levels of risk, considering factors such as sampling intensity, confidence intervals and selecting levels of detection (ISPM 31), including the concerns identified in the submission *Methodologies for sampling of consignments* (2021-015);
9. [52]describe how risk-based sampling may reduce treatment on arrival (particularly methyl bromide fumigation);
10. [53]provide examples of procedures of risk-based inspection of imported consignments;
11. [54]suggest case studies that highlight NPPO experiences applying risk-based inspection to imported consignments.

[55]7. Financial and in-kind contributions

[56]This Guide will be developed with the financial support of the Republic of Korea.

[57]8. Selection criteria for working group experts

[58]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.

[59]The members of the working group will be selected based on their technical and practical expertise in the subject matter. Geographical representation of experts 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.

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

1. [61]practical expertise and knowledge in one or more of the following areas:
* [62]developing or managing phytosanitary export/import systems
* [63]strategic planning of phytosanitary activities
* [64]experience on management of phytosanitary inspection;
* [65]experience on data management of inspection results
* [66]implementation of risk-based inspection
* [67]export certification
* [68]import verification
* [69]pest risk analysis;
1. [70]strong working knowledge of English and ability to formulate ideas and write clearly in English.

[71]9. References

[72]**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/>

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

[74]**ISPM 7.** 2021. *Phytosanitary certification system*. Rome, IPPC Secretariat, FAO. <https://www.ippc.int/en/publications/613/>

[75]**ISPM 20.** 2021. *Guidelines for a phytosanitary import regulatory system*. Rome, IPPC Secretariat, FAO. <https://www.ippc.int/en/publications/602/>

[76]**ISPM 23.** 2021. *Guidelines for inspection*. Rome, IPPC Secretariat, FAO. <https://www.ippc.int/en/publications/598/>

[77]**ISPM 31.** 2021. *Methodologies for sampling of consignments*. Rome, IPPC Secretariat, FAO. <https://www.ippc.int/en/publications/588/>

[78]**ISPM 32.** 2021. *Categorization of commodities according to their pest risk*. Rome, IPPC Secretariat, FAO. <https://www.ippc.int/en/publications/587/>

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[83]**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. <https://www.ippc.int/en/publications/90633/>

[84]**IPPC Secretariat.** 2014. *Transit: Phytosanitary issues of consignments in transit: a guide for national plant protection organization*. Rome, IPPC Secretariat, FAO. <https://www.ippc.int/en/publications/90639/>

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[86]**NAPPO** (North American Plant Protection Organization). Resources and Learning Tools for Risk‑Based Sampling. In: North American Plant Protection Organization Learning Tools. Raleigh, USA. Cited 2 March 2022. <https://nappo.org/english/learning-tools/Resources-and-Learning-Tools-for-Risk-Based-Sampling>

[87]**World Bank Group.** 2020.*Risk prioritization in phytosanitary management*. Cited 2 March 2022. <https://thedocs.worldbank.org/en/doc/186841605045083824-0090022020/original/WBGRiskPrioritizationinPhytosanitaryManagementFINALweb.pdf>