



Specification: Implementation of risk-based inspection for imported consignments, Guide (2018-022)

Revised as per WG discussions (2023-05-23)

Status box

This status box is not an official part of the Specification and is updated by the IPPC Secretariat	
Topic number:	2018-022
Title	Implementation of risk-based inspection for imported consignments
Document category	IPPC Guide
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Current document stage	Specification approved by IC
Major stages	<p>2021-04: CPM-15 (2021) added this topic to List of Implementation and Capacity Development Topics; priority 1</p> <p>2021-06: The IC agreed that the draft specification should be developed for the 2022 consultation</p> <p>2022-03: IC approved draft specification for consultation (IC_VM15)</p> <p>2022-08: Consultation</p> <p>2022-10: Specification approved by IC (2022_eIC_11)</p> <p>2023-05: Specification revised by the RBI working group (2023-05-26, WG meeting, Rome)</p>
Implementation and Capacity Development Committee (IC) leads	2021-11: Kyu-Ock YIM (IC lead) and Stephanie BLOEM (Assistant lead)
IPPC Secretariat lead	<p>2021-02: Descartes KOUMBA</p> <p>2021-09: Juan RULL</p>
Working Group experts	
Notes	Multi Donor Trust Fund (Republic of Korea)

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1. Title

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

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 (Article IV.2(c), VII.1(a), VII.2(c), VII.2(g) and VII.2(h), in particular)

ISPM 11: *Pest risk analysis for quarantine pests*

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 facilitate the implementation of relevant principles and standards of the IPPC to improve 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 of consignments and the scope of relevant ISPMs. The focus is traditional freight consignments (passengers, postal and express courier pathways are excluded).

5. Purpose

The Guide will assist national plant protection organizations (NPPOs and other authorized agencies conducting inspection of imported consignments) in understanding and applying best practices for risk management associated with using inspection as a phytosanitary measure for imported consignments.

NPPOs are challenged to use their risk-management resources, especially staff, in the best possible ways to address the increased volume of trade in a fair and technically justified manner. Risk-based inspection methods allocate resources for inspection based on evidence of risk. With the development or implementation of data-management technologies, more detailed and precise analyses of import records are feasible. Technologies are available that allow systematic and automated analysis of historical inspection data to consider the relationship of commodities, countries, volume, exporters, seasons, pest interception 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.

6. Content for the proposed implementation resource

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

- (1) describe the concept of risk-based inspection and its benefits;
- (2) identify common practices for inspection and challenges of inspection related to different risks;
- (3) describe parameters to analyse the risk of consignments, considering guidelines in ISPM 32 *Categorization of commodities according to their pest risk*;
- (4) present the legal and phytosanitary system requirement to establish a risk-based inspection system;
- (5) describe the appropriate data, data and analysis systems, analysis review criteria, facilities and equipment for the risk-based inspection of imported consignments;
- (6) provide guidance to NPPOs on using historical inspection data (including negative data) to improve risk-based inspection;
- (7) provide guidance on the various levels of and barriers to implementation of risk-based inspection;
- (8) provide guidance on how to perform an inspection of consignments with varying levels of risk, considering factors such as sampling intensity, confidence intervals and levels of detection (ISPM 31), including the concerns identified in the submission *Methodologies for sampling of consignments* (2021-015);
- (9) describe how risk-based sampling may affect/impact treatment on arrival (particularly methyl bromide fumigation);
- (10) provide examples of procedures of risk-based inspection of imported consignments;
- (11) provide guidance on monitoring and evaluation systems for risk-based inspection;
- (12) suggest case studies that highlight NPPO experiences applying risk-based inspection to imported consignments.

- (13) define risk-based inspection, risk-based sampling and other key terms for the purpose of the guide.

7. Financial and in-kind contributions

This Guide will be developed with the financial support of 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 tasked with developing this IPPC guide.

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.

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

- Practical expertise and knowledge in one or more of the following areas:
 - developing or managing phytosanitary export/import systems
 - strategic planning of phytosanitary activities
 - experience with the management of phytosanitary inspection
 - experience with data management of inspection results
 - implementation of risk-based inspection
 - export certification
 - import verification
 - pest risk analysis
- Strong working knowledge of English and ability to formulate ideas and write clearly in English.

9. References

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ISPM 5. *Glossary of phytosanitary terms*. Rome, IPPC Secretariat, FAO.
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ISPM 7. 2021. *Phytosanitary certification system*. Rome, IPPC Secretariat, FAO.
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ISPM 11. *Pest risk analysis for quarantine pests*. Rome, IPPC Secretariat, FAO.
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ISPM 20. 2021. *Guidelines for a phytosanitary import regulatory system*. Rome, IPPC Secretariat, FAO. <https://www.ippc.int/en/publications/602/>

ISPM 23. 2021. *Guidelines for inspection*. Rome, IPPC Secretariat, FAO.
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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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NAPPO (North American Plant Protection Organization). Resources and Learning Tools for RiskBased 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>

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