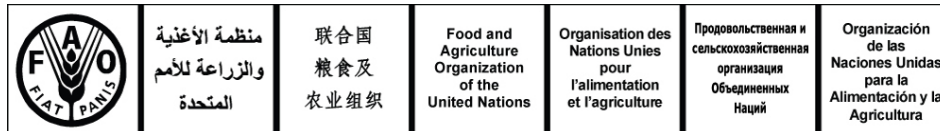


March 2012



COMMISSION ON PHYTOSANITARY MEASURES

Seventh Session

Rome, 19 - 23 March 2012

Focus Group (2011) Recommendations on Improving the IPPC Standard Setting Process

Agenda item 8.1.6 of the Agenda

1. An evening session was held to discuss the Focus Group recommendations on improving the IPPC Standard Setting Process (CPM 2012/11). The participants of the evening session discussed the comments received (see CPM 2012/INF/18 and CPM 2012/CRP/03) and propose the following recommendations.

Task 1: Examine the Member Consultation process, in particular the member consultation period ending 14 days prior to CPM. The group will also consider how to have a second member consultation in a more appropriate time

Recommendation 1

There should be no drafting of draft standards at the CPM meeting.

Recommendation 2

The existing opportunity to review SC-7 revisions of draft ISPMs should be formalized. This process will allow IPPC members to review SC-7 approved draft standards and should focus on substantial comments. All comments should be entered via the OCS and made available to regional SC members by 30 September. The regional SC members should review comments submitted, and forward those comments deemed to be most important to the Steward, accompanied by suggestions on how to address them. The Steward will review the comments and prepare responses to the comments and a revised draft ISPM, both to be submitted to the IPPC Secretariat for presentation to the November SC. The SC reviews the substantial comments submitted, revises the draft standard and communicates its reasoning to IPPC members.

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Recommendation 3

All draft standards presented to CPM for adoption are subject to a formal objection only. If a contracting party has a formal objection, it submits it with the technical justification and suggestions for improvement to the Secretariat no later than 14 days prior to CPM. The draft standard will then not be considered for adoption by the CPM and returned to the SC. In exceptional circumstances, for non-technical standards (currently under the regular process), there should be an opportunity for the CPM Chair, in consultation with the SC Chair and the Secretariat, to propose a discussion of a formal objection at CPM with the aim that the formal objection can be lifted and the standard be adopted.

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If the draft ISPM had previously been included on the agenda of the CPM and was subjected to a formal objection, the SC decides whether to forward the draft ISPM to the CPM for a vote (i.e. not under the formal objection process).

Recommendation 5

These recommendations have been incorporated into a revised Annex 1 to the CPM Rules of Procedure (see *Attachment 1 to this paper*) and will be submitted to the CPM-7 (2012) for consideration and possible adoption.

Task 2: Re-examine and streamline the approval process for draft ISPMs under the special process (Diagnostic Protocols (DPs) and Phytosanitary Treatments (PTs))**Recommendation 6**

DPs are valuable documents that should be adopted by CPM.

Recommendation 7

PTs to continue to be adopted by CPM.

Recommendation 8

All standards are produced using the same IPPC standard setting process (flow chart (Appendix 6 to the FG report) and CPM Annex 1 Rules of Procedure (see Attachment 1 to this paper)). Specific technical standards (e.g. DPs, PTs) should follow this process, but the procedures currently used in the "special process" (such as electronic decision-making) should continue to apply. The following exceptions to the proposed IPPC standard setting process would apply:

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Steps in the standard setting process are not restricted to any specific time of the year, although member consultation would be at defined times (e.g. January and July)

The SC can make decisions electronically

Unlike other draft standards, DPs and PTs are not considered by the SC-7, but are considered and resolved by the relevant TP. The SC approves these by e-decision and as these DPs and PTs are not SC meeting documents, they are not made available to IPPC members.

Recommendation 9

The CPM delegates its authority to the SC to adopt DPs on its behalf. The DP adoption process should be that once the SC approves the DP, it is posted publicly and contracting parties are notified. [The notification period for approved DPs is twice a year \(e.g. January and July\) on defined dates.](#) Contracting parties have ~~six~~ weeks to review the draft DP and submit a formal objection, if any. If no formal objection is received, the SC, on behalf of the CPM, adopts the DP. DPs adopted through this process would be attached to the report of the following CPM

Recommendation 10

Procedures should be developed for the preferred option and would be applicable to DPs only.

Recommendation 11

When a technical revision is required for an adopted DP, the SC can approve the updates to adopted DPs via electronic means without going to the CPM. The SC can develop criteria for approving updates to adopted DPs. The updates will be posted as soon as the SC approves them.

Task 3: Examine new efficiencies and expedited ways of achieving standard setting work and Look at any other possibilities for improving and streamlining the IPPC Standard Setting Process (SSP) not outlined above

Recommendation 12

A draft specification and literature review must be included with the topic submission.

Recommendation 13

To indicate a broader need for the proposed topic, submitters would be encouraged to gain support from other IPPC members and/or regions.

Recommendation 14

Not accepted

Recommendation 15

The SC should use the IPPC Strategic Framework and the Criteria for justification and prioritization of proposed topics when reviewing submissions of topics. As a result, the submitted topics will no longer be presented to the SPTA.

Recommendation 16

The SC should endeavour to submit draft specifications for member consultation immediately after new topics have been added to the List of topics for IPPC standards by the CPM.

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Recommendation 17

A task force should be formed to develop a Framework for Standards, funded by extra budgetary funds.

Recommendation 18

The SC should be encouraged to assign a lead Steward and one or two assistants (these assistants could be from outside the SC, such as potential replacement members, former SC members, technical panel members or expert working group members) for each topic.

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Recommendation 19

Not accepted

Recommendation 20

The CPM request the SC be tasked to develop guidance for developing the capacity of new SC members, such as mentoring.

Recommendation 21

If a region considers it valuable, the region is encouraged to assign one or more members of the SC from each region to help play a lead role in facilitating the communication between the SC and IPPC members within their region.

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Recommendation 22

Not accepted

Recommendation 23

The Statement of Commitment should include a signature line for a senior person in authority from the organization that employs the nominee, to ensure the senior person is well aware of the workload of an SC member for the period of the nominee's term.

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Recommendation 24

An editorial team should be created to help improve the quality of draft standards. This editorial team should be selected by the SC and should be composed of 3-4 experts nominated by NPPOs or RPPOs, with expertise in technical writing and including a non-native English speaker, working on documents in English. A minimum of a three year commitment would be required, but longer preferred. This team would work virtually with the Stewards and the IPPC Secretariat.

Recommendation 25

Not accepted

Recommendation 26

The CPM should allow, and the regions should encourage, staggering the terms of SC membership to ensure continuity of expertise. The SC should also consider this same principle for other groups working under the SC.

Recommendation 27

Not accepted

Recommendation 28

Not accepted

Recommendation 29

The SC to develop a set of questions for expert drafting groups to provide guidance on biodiversity and environmental considerations and ensure concerns had been addressed. ▼

Recommendation 30

The SC will consult with external experts as needed.

Recommendation 31 (new)

The current 100 day member consultation should be extended to 180 days to allow better scrutiny of drafts.

The CPM is invited to:

- 1) *consider* how to address recommendations where further consideration by the CPM is requested or options are presented;
- 2) *approve* the recommendations for improving the IPPC standard setting process;
- 3) *adopt* the revised "IPPC standard setting procedure" as per Attachment 1 to this document;
- 4) *agree* that the IPPC standard setting procedures adopted at CPM-3 (2008) be replaced with the revised procedures;
- 5) *note* the IPPC standard setting procedures form Annex I of the Rules of Procedure of the Commission on Phytosanitary Measures.

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Attachment 1**PROPOSED REVISION OF INTERNATIONAL PLANT PROTECTION CONVENTION STANDARD SETTING PROCEDURE (ANNEX 1 OF THE RULES OF PROCEDURE OF THE CPM)**

- [1] The process for the development of International Standards for Phytosanitary Measures (ISPMs) is divided into four stages:
- Stage 1 - developing the International Plant Protection Convention (IPPC) standard setting work programme
 - Stage 2 - drafting
 - Stage 3 - member consultation
 - Stage 4 - adoption and publication.
- [2] Relevant Interim Commission on Phytosanitary Measures (ICPM) / Commission on Phytosanitary Measures (CPM) decisions on many aspects of the standard setting process have been compiled in the IPPC Procedure Manual which is available on the International Phytosanitary Portal (IPP, www.ippc.int).
- [3] **Stage 1: Developing the List of topics for IPPC standards**
- [4] **Step 1: Call for topics**
- [5] The International Plant Protection Convention (IPPC) Secretariat makes a call for topics every two years. IPPC members¹ and Technical Panels (TPs) submit detailed proposals for new topics or for the revision of existing International Standards for Phytosanitary Measures (ISPMs) to the IPPC Secretariat no later than the 31 July of the year the call for topics is made. Submissions should be accompanied with a draft specification, a literature review and justification that it meets the CPM-approved criteria for topics (available in the IPPC Procedure Manual). To indicate a broader need for the proposed topic, submitters are encouraged to gain support from other IPPC members and/or regions. ▾
- [6] The IPPC Secretariat compiles a list of submitted topics from the submissions received. Submissions from previous years which were not added to the List of topics for IPPC standards are not included in this compilation, but IPPC members may re-submit these, as appropriate.
- [7] The Standards Committee (SC), taking into account the IPPC Strategic Framework and the *Criteria for justification and prioritization of proposed topics*, reviews the existing List of topics for IPPC standards and the compiled list of detailed proposals. The SC proposes a revised List of topics for IPPC standards (including subjects²), adding topics from the compiled list, deleting or modifying topics from the existing List of topics for IPPC standards as appropriate, giving each topic a recommended priority.
- [8] **Step 2: Adjustment and adoption of the list of topics for IPPC standards**
- [9] The Commission on Phytosanitary Measures (CPM) reviews the List of topics for IPPC standards proposed by the SC. The CPM adjusts and adopts the List of topics for IPPC standards, including

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¹ Contracting parties, National Plant Protection Organizations (NPPOs), Regional Plant Protection Organizations (RPPOs) and relevant international organizations.

² For details on the terms "technical area", "topic" and "subject", see the *Hierarchy of terms for standards* in the IPPC Procedure Manual

assigning a priority for each topic. A revised List of topics for IPPC standards is made available on the IPP.

[10] In any year, when a situation arises in which a standard is required urgently, the CPM may insert such a topic into the List of topics for IPPC standards.

[11] **Stage 2: Drafting**

[12] **Step 3: Development of a specification**

[13] The SC should be encouraged to assign a lead Steward and one or two assistants (these assistants could be from outside the SC, such as potential SC replacement members, former SC members, TP members or expert working group members) for each topic.

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[14] The SC reviews the draft specification submitted by the IPPC member. The SC should endeavour to approve draft specifications for member consultation at the SC meeting following the CPM meeting where new topics have been added to the List of topics for IPPC standards.

[15] Once the SC approves the draft specification for member consultation, the Secretariat makes it available on the IPP for a 60 day consultation period and IPPC members are notified. The IPPC contact point submits the comments using the IPPC Online Comment System (OCS). The Secretariat compiles the comments received, posts them on the IPP and submits them to the Steward(s) and SC for consideration. The specification is revised as necessary, finalized and approved by the SC. Approved specifications are posted on the IPP.

[16] **Step 4: Preparation of a draft standard³**

[17] An expert drafting group (EDG - expert working group (EWG) or TP; see rules in the IPPC Procedural Manual) drafts or revises the draft standard in accordance with the relevant specification. The resulting draft standard is recommended to the SC.

[18] The SC or SC-7 reviews the draft standard at a meeting (for a DP or PT, the SC reviews it electronically) and decides whether to send it for member consultation, to return it to the Steward(s) or to an expert drafting group or to put it on hold. In the case where only the SC-7 meets, comments from any SC members will also be taken into account.

[19] **Stage 3: Member consultation**

[20] **Step 5: Member consultation**

[21] Following clearance by the SC, the Secretariat submits the draft standard to IPPC members for consultation and posts the draft standard on the IPP. The length of the consultation period is 180 days. The IPPC contact point submits comments using the OCS.

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[22] The Secretariat compiles the comments received, posts them on the IPP and submits them to the Steward(s) or TP for consideration.

[23] **Step 6: Review of the draft standard prior to the Commission on Phytosanitary Measures meeting**

[24] Taking the comments into account, the SC-7 or TP (for diagnostic protocols, phytosanitary treatments and amendments to the glossary) revises the draft standard.

³ This procedure refers to "draft ISPMs" and "standards" to simplify wording, but also applies to any part of an ISPM, including annexes, appendices or supplements.

- [25] Once the SC-7 or TP recommends the draft standard to the SC, the Secretariat posts the draft standard on the IPP in the restricted work area for IPPC members. IPPC members may submit comments for 60 days and should focus on substantial comments. The IPPC contact point submits the comments using the OCS.
- [26] The SC members should review comments submitted from their region, and forward those comments deemed to be most important to the Steward(s), accompanied by suggestions on how to address them.
- [27] The Steward(s), and in the case of DPs or TPs the relevant TP, reviews the comments, prepares responses to the comments and revises the draft standard and submits them to the Secretariat. These are posted for the SC.
- [28] The SC reviews the substantial comments submitted, the Steward(s)' responses to the comments and the revised standard. The SC provides a summary of the major issues discussed by the SC for each draft standard which are recorded in the report of the SC meeting. The SC decides whether to recommend the draft standard to the CPM, or to put it on hold, return it to the Steward(s) or to an expert drafting group, or submit it for another round of member consultation.
- [29] The Secretariat should post the draft standard on the IPP in the languages of the organization as soon as possible and at least 6 weeks prior to the opening of the CPM meeting.
- [30] **Stage 4: Adoption and publication**
- [31] **Step 7: Adoption**
- [32] Following approval by the SC, the draft standard is included on the agenda of the CPM meeting.
- [33] All draft standards presented to the CPM are subject to a formal objection⁴. If a CPM member has a formal objection, the member submits the formal objection along with the technical justification and suggestions for improvement of the draft standard to the Secretariat no later than 14 days prior to the CPM meeting and the draft standard will be returned to the SC. If no formal objection is received, the CPM will adopt the ISPM without discussion. In exceptional circumstances, for non-technical standards (currently under the regular process), there should be an opportunity for the CPM Chair, in consultation with the SC Chair and the Secretariat, to propose a discussion of a formal objection at CPM with the aim that the formal objection can be lifted and the standard be adopted.
- [34] If the draft standard had previously been included on the agenda of the CPM and was subjected to a formal objection, the SC may decide to forward the draft standard to the CPM for a vote with no option for a formal objection.
- [35] For Diagnostic Protocols (DPs), the CPM has delegated its authority to the SC to adopt DPs on its behalf. Once the SC approves the DP, the Secretariat posts the DP on the IPP and CPM members are notified⁵. The notification period for approved DPs is twice a year (e.g. January and July) on defined dates. CPM members have 45 days to review the draft DP and submit a formal objection, if any. If no formal objection is received, the SC, on behalf of the CPM, adopts the DP. DPs adopted

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⁴ A formal objection should be a technically supported objection to the adoption of the draft standard in its current form, sent through the official IPPC contact point. The Secretariat would not make any judgement about the validity of the objection – an objection with some technical discussion of the issue would be accepted as a formal objection.

⁵ For translation of DPs, members would follow the mechanism for requesting the translation for DPs into FAO languages posted on the IPP (<https://www.ippc.int/index.php?id=1110995>).

through this process would be attached to the report of the following CPM meeting. When a technical revision is required for an adopted DP, the SC can approve the updates to adopted DPs via electronic means without going to the CPM. The updates will be posted as soon as the SC approves them.

[36] The ISPM is formally adopted by the CPM according to Rule X of the Rules of Procedure of the CPM.

[37] **Step 8: Publication**

[38] The ISPM is appended to the report of the CPM meeting and posted on the IPP. IPPC members may form a Language Review Group (LRG) and, following the CPM-agreed LRG process⁶, may propose modifications to translations of ISPMs to be noted at the following CPM meeting.

⁶ <https://www.ippc.int/index.php?id=1110770>