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IPPC Implementation Review and Support System
Agenda item 10.5
Prepared by the IPPC Secretariat

I.   Introduction

1.   The "IPPC Implementation Review and Support System" (IRSS) concept was adopted by CPM at its Third Session (CPM-3, 2008, Appendix 14) after the Subsidiary Body on Dispute Settlement (SBDS) recommended rejecting a proposal for establishment of an IPPC compliance mechanism.

2.   The primary objective of the IRSS is to facilitate and promote the implementation of the IPPC and ISPMs. The IRSS contributes to a number of goals of the IPPC strategic plan and presents advantages that include:

- an improved ability to monitor, encourage and support the harmonized implementation of the IPPC and its ISPMs by contracting parties;
- the development of a mechanism to identify, and address emerging, and potential implementation problems before they become phytosanitary trade disputes, through an assistance-based and non-confrontational process; and
- it would also address establishing baseline information and annually updated data that could be used for the review of the state of plant protection in the world.

3.   The "IPPC Implementation Review and Support System" has two major activities: the Implementation review system (IRS) and the Implementation support system (ISS). The output from the two is called the Implementation review response (IRR). The IRR is a report that summarizes the situation of the implementation of the IPPC and its standards by contracting parties on a tri-annual basis. The IRR is expected to have a strategic value and is intended to be used by the subsidiary bodies of the IPPC, in particular those concerned with approving the IPPC strategic plan and capacity building strategy. It should contain pragmatic recommendations to guide development of the IPPC work programme.

4.   The IRSS has built upon a number of areas that are a part of the regular CPM work programme, such as the monitoring of the fulfillment of reporting requirements through the IPP, the use of the Phytosanitary Capacity Evaluation tool (PCE) to identify gaps and priorities, and reports on implementation difficulties from the Technical Consultation among Regional Plant Protection Organizations (TC among RPPOs).

5.   The Implementation Review and Support System (IRSS) is a crosscutting activity in the IPPC Secretariat and involves close collaboration between all areas including Standard Setting, Capacity Development and Information Exchange.

6.   The IRSS project was initiated in 2011 with the support of the European Union (EU) and supplementary funding from the IPPC budget. The IRSS annual programme cycle corresponds to the CPM cycle (April-March) and the first three year cycle concluded in March 2014.

7.   The European Union (EU) has offered to fund, at a reduced level, the second cycle of the IRSS (2014-2017). Additionally, the Secretariat is actively looking for funding from other donors and partners to ensure the IRSS is sustainable and becomes an integral part of the CPM work programme. It is essential that CPM members and the IPPC Secretariat identify funding to ensure a second cycle of this project.

8.   The narrative that follows provides an update of IRSS and related activities.

II.   Update

9.   The IRSS has focused much of its efforts on the Review element of its programme over the first three year cycle. The second cycle, which begins April 2014, is expected to focus on strengthening the Support element using largely the outputs of the first cycle in particular the data gathered through its many surveys.   This may be influenced by discussions in CPM about changing the overall focus of the IPPC work to prioritise implementation activities. The paragraphs that follow highlight the progress made so far in the implementation of the IRSS.

10.   IRSS webpage: An IRSS web page (http://irss.ipp.int) is now featured prominently on the International Phytosanitary Portal (IPP). This page contains reports from IRSS analyses of surveys, the Help Desk and additional resources and tools. Refer to Annex 1 of this report which describes the principal features of the page.

1)   Implementation review

11.   The IRSS conducted and analyzed data on 6 specific ISPMs as well as collected baseline data through a general survey on the overall implementation challenges of the IPPC and its 36 standards (Annex 2). The reports of the analyses conducted are located on the IRSS web page at http://irss.ippc.int/activities/.

12.   The ISPMs that were analyzed include:

- ISPM 4:1995 - Requirements for the establishment of pest free areas
- ISPM 8:1998 - Determination of pest status in an area:
- ISPM 6:1997 - Guidelines for surveillance:
- ISPM 13:2001 - Guidelines for the notification of non-compliance and emergency action
- ISPM 17:2002 - Pest reporting
- ISPM 19:2003 - Guidelines on lists of regulated pests:

13.   The majority of these ISPMs are related to the general topic of pest surveillance, consequently the IRSS is well positioned to provide data and support to future implementation discussions on the topic.

14.   General IPPC survey: Global baseline information on implementation of ISPMs and on the implementation of the Convention by the Contracting Parties has been collected and is available on the IRSS webpage (http://irss.ippc.int/activities/).

15.   <u>ISPM17 and ISPM19 survey</u>: Based on past Implementation Review and Support System (IRSS) survey results, IPPC subsidiary bodies' discussions and CPM-8 discussions, the CPM Bureau expressed an interest in renewing efforts to strengthen NPPOs' abilities to meet National Reporting Obligations (NRO). As a contribution to this renewed focus of work, the IRSS was asked to prepare a combined survey on ISPM19: 2003 (Guidelines on lists of regulated pests) and ISPM17: 2002 (Pest Reporting) in close consultation with the Standards Committee, Capacity Development Committee, Subsidiary Body on Dispute Settlement, and the CPM Bureau. This review is intended to serve as an input towards the programme of work of the IPPC Secretariat's National Reporting Obligations' team but will also be a valuable input to the work of the Capacity Development Committee and the Standards Committee. The results will also contribute to the IRSS' triennial implementation review report. The draft report of the survey is available on the IRSS page http://irss.ippc.int/activities/.

16.   The Secretariat thanks those contracting parties that responded to the surveys. This information is extremely valuable for identifying successes, challenges and opportunities for improving implementation of the IPPC and ultimately for preventing the introduction and spread of pests. In the brief period of the IRSS' work so far, these surveys have already proven useful to target capacity building and other work to address specific gaps that contracting parties have identified.

2)   *Implementation support*

17.   The support component of the IRSS has not had very much impact as yet as it depends greatly on the baseline information being gathered. Much of the work being conducted is mainly preparatory in nature; for instance the case studies already undertaken by the IRSS (Annex 3). The results of the review element of the IRSS have stimulated discussion in several IPPC fora concerning the type of support that the IPPC should be providing its contracting parties. This kind of discussion has led to the current consideration on a potential approach to implementation tabled at CPM-9 (CPM 2014/20). Notwithstanding, the IRSS has been able to provide some inputs as a basis for future support to contracting parties as follows:

18.   **IPPC Help Desk**: The technical elements for the online presence of the "IPPC Help Desk" has been established. The development of the mechanism for responding to specific implementation challenges is yet to take place as part of the SUPPORT element of the IRSS. It is envisaged that some support actions may occur through a passive help system using the tools such as the FAQs, the question and answer forum and linking to tools and resources on the phytosanitary resources page. A more active system to support implementation needs to be worked out and certain steps could be taken through capacity development activities and other opportunities to support implementation such as strengthening help desk information, facilitating cooperative-based approaches among contracting parties and RPPOs and other options.

19.   **IPPC Recommendations:** The IRSS programme conducted two studies in 2011-2012: one on aquatic plants and the other on internet trade in plants. The Secretariat presented the findings of the two studies at the scientific session of CPM-7 leading to a number of suggestions on the next steps. On the basis of the two studies the IRSS developed proposed IPPC Recommendations for CPM-8 (2013) to consider as next steps. More consultation time was requested at CPM-8 for contracting parties to consult stakeholders and to submit comments. The revised set of IPPC Recommendations will be presented at CPM-9 for adoption (CPM 2014/14).

20.   **Standards framework:** The IRSS participated in the discussions for preparation of a Framework for Standards (CPM 2014/05). The general survey results were referenced in the discussions and helped to inform the participants. The Framework for Standards is aligned with the broad areas of the Convention organized by the obligations, rights and responsibilities of contracting parties. More discussions are expected on the Framework and the IRSS is expected to contribute further to these discussions in a future working group.

21.   **Indicators of implementation:** The IRSS convened a round table discussion on indicators of implementation of the International Plant Protection Convention with a small group of results-based management experts in October 2013. Through the discussions the group recognized three areas of significant contribution by the IPPC: food security, agro-enterprise and ecosystems. By analyzing the

contribution of the IPPC from this perspective it became evident that there is a need for foundational work on meaningful indicators for successful impact assessment. The group suggested that on-going input from an advisory group with a range of expertise in monitoring and evaluation would be valuable to design and review indicators. It was also recognized the indicator discussions, though preliminary, would contribute to the IPPC discussions on the future approach to implementation. The report is available at https://www.ippc.int/largefiles/2013/IPPC_Indicators_Meeting_Report.pdf.

3)   Implementation review response

22.   The triennial review group (TRG) has been constituted with representatives from the subsidiary bodies of the IPPC, the CDC and the IPPC Secretariat. The group is playing a key role currently in the preparation of the Implementation review response (IRR) report. The report will be submitted for review by the Bureau (June 2014) and the SPG (October 2014) and will include recommendations for appropriate actions to aid implementation of the IPPC and ISPMs. These recommendations may be incorporated into future CPM work programme and they may be a key input for the IPPC strategic planning group.

4)   Indicative work programme framework (2014-2015)

23.   Annex 4 provides an outline of the work programme agreed with the EU in fulfillment of the objectives of the contribution received for the second cycle of the IRSS (2014-2017). The specific annual work programme, however, is approved by the Bureau during its June meetings based on guidance from the CPM and other subsidiary bodies including the CDC. There are indications from the Bureau and SPG that the IRSS role may be revisited in light of the current discussion concerning general implementation of the IPPC and ISPMs. While there is some flexibility in the work programme of the IRSS to accommodate tasks from the various IPPC bodies it should be noted that there is circa 50% less funding available than the previous IRSS cycle (2011-2014).

III.   Recommendations

24.   The CPM is invited to:

   1)   *note* the update on the IRSS programme.
   2)   *acknowledge* the support and commitment of the EU for the implementation of the IRSS.
   3)   *note* that the IRSS lacks the full funding for the second cycle.
   4)   *acknowledge* the support of contracting parties to the IRSS and in particular to those contracting parties that have actively participated in its activities.
   5)   *note* the indicative work programme framework of the second IRSS cycle.
   6)   *encourage* contracting parties to provide resources for the second IRSS cycle.

Annex 1.   IRSS Website Resources

Contracting parties are encouraged to visit the IRSS page as part of their routine when visiting the International Phytosanitary Portal. The three main features of the IRSS page include:

1.   Country profiles area:

This is an important feature of the IRSS page and provides a single reference for country specific information of phytosanitary importance. This feature provides economic and phytosanitary information for each Contracting Party (CP) at a glance. The page references public economic, trade and other relevant information for each CP. Public information is pulled from the FAO statistics tool (FAOSTAT) which sources official statistics from countries and other recognized sources of data such as the World Bank Databank. The information for each CP is fully editable by the Contact Points and any edits made are also registered in the FAO STATs database. IPPC contact points are invited to edit the pages to provide more specific and updated information for their countries.

2.   Help Desk and Tools:

This feature of the IRSS page provides general and specific help services in the form of FAQs, a question and answer forum (discussion forum) and access to a range of tools of interest to a variety of stakeholders in the phytosanitary field. The Help Desk features of the IRSS website offer opportunities for collaboration and greater efficiency in access to and exchange of information by IPPC contact points. The main aspects of the Help Desk includes:

a) **Frequently Asked Questions (FAQs):** This section of FAQs is still being refined but envisages providing general and specific help services compiled from historical archives of the IPP. "General help" includes guidance on the general operations of the Convention including its governance and procedures, its management, its work programme and its services. "Specific help" includes guidance for queries concerning ISPMs including on ISPM 15. 2009. Regulation of wood packaging material in international trade, use of tools such as the Online Comment System and the PCE and responses to questions concerning participation in standards setting process.

b) **Discussion forum:** This question and answer forum is intended to provide a platform where stakeholders can ask questions and to which the general phytosanitary community may submit and discuss responses. The IRSS team will monitor the forum and will use this as one mechanism to enhance the FAQ section of the Help Desk. The system has been launched and is currently restricted to Contact points in its testing phase.

c) **Tools:** The IRSS Help Desk is strongly supported by a "Tools" feature. This feature has been the result of close collaboration with the IRSS and Capacity Development Area of the IPPC Secretariat and the members of the CDC. The tools that are now available can be used by CPs to enhance their work and to enhance the value of the Help Desk. The tools that are available or soon to be available include:

i) **Projects database:** The database catalogues phytosanitary projects and interventions in a searchable format complete with a map feature. The data contained therein comes from a variety of recognized project information sources including FAO, USDA, EU, World Bank, STDF and a host of other technical assistance and donor sources. Contracting Parties are encouraged to review the data for their countries and update the database regularly.

ii) **Activities database:** This is a calendar of past, current and future events and activities of a national, regional or global nature. This tool is intended to be complementary to the IPPC events calendar and will showcase phytosanitary events (e.g. symposia, meetings, etc.) and activities (training courses, workshops etc.) that Contracting Parties, Universities, Technical Assistance providers or other IPPC partners wish to highlight.

iii) **Technical resources:** Four CPs, together with the IRSS officer and members of the EWG on Capacity Development, prepared a project for STDF funding in the amount of USD 600,000 to develop technical manuals, standard operating procedures and training kits. The

technical resources produced under this project as well as other relevant resources obtained through periodic calls are being made available on http://www.phytosanitary.info. This page can be accessed from the tools section of the IRSS helpdesk. The aim of the technical resources site is to provide a centralized repository for these types of resources (including a media library) and in a variety of languages, for easy access by the phytosanitary community. This is also intended to be an appropriate repository for products developed by Technical Panels of the Standard Setting programme and other bodies in the coming years. This technical resources site is an invaluable aspect for the IPPC Help Desk function of the IRSS.

iv)   **Phytosanitary consultants' roster:** This tool will provide access to phytosanitary expertise in a variety of fields in a searchable database format. This tool is now available and being actively utilized.

v)   **Donor table:** A catalogue of donors clearly indicating the countries and the activities they support. This is work in progress.

vi)   **Other tools:** Links to the PCE, On-line Comment System, e-learning modules and others as they become available.

3.   IRSS activities:

This feature provides Contracting Parties with details and links to current and past IRSS activities such as the Surveys and their results, IRSS case study reports and a document repository for products of the IRSS throughout its three year implementation cycle (e.g. triennial review reports etc.).

Annex 2.   IRSS Surveys

The IRSS conducted a series of surveys in its first cycle to collect baseline information that can inform implementation actions by the IPPC through its subsidiary bodies, through its partners (including RPPOs) as well as by its contracting parties. The survey questionnaires and the reports of the analyses of the surveys are available at http://irss.ippc.int/activities/. The following is an outline of the surveys conducted by the IRSS:

1)   **General IPPC Questionnaire:** The IRSS questionnaire on Implementation of the Convention and ISPMs was circulated in mid-2011 for comments to subsidiary bodies, the EWGCD, and all NPPOs and RPPOs. The questionnaire was updated based on the comments received and released for inputs by NPPOs during the period September 2012 to 15 February 2013. The results of the study is extremely valuable as a baseline for future comparison should the IRSS be extended through a second cycle. The results also contribute to the Implementation Review Response report of the IRSS. In addition, the type of data produced by the IRSS should be very useful as part of the new FAO strategic planning processes under which scorecards will be developed to gauge improvements in the general level of implementation of contracting parties. These indicators could also support IPPC resource mobilization efforts and help to ensure strong coordination with other FAO activities.

2)   **ISPM 4:1995 - Requirements for the establishment of pest free areas and ISPM 8:1998 - Determination of pest status in an area**: Mini surveys were prepared to obtain inputs from NPPOs on issues with the current standards. Short questionnaires were sent to contracting parties in 2011 to collect information for use in the revision of these ISPMs. In 2012, the survey results were analyzed and communicated to the SC. The SC considered the information at its November 2012 meeting. Some technical findings were also communicated to the CDC and presented to the Technical Consultation among RPPOs.

3)   **ISPM 6:1997 Guidelines for surveillance:** A survey on challenges and best practices for pest surveillance and implementation of ISPM 6:1997 was conducted in 2011. The study was done in two stages, the first of which involved the compilation of baseline data using a survey (described above). The second stage of the study was the conduct of a global series of workshops held in five FAO regions to discuss the topic. These workshops were organized by the FAO's Regional Plant Production and Protection officers. The workshops stimulated a discussion on pest surveillance and served to raise awareness that all CPs had similar challenges to implement the ISPM. The study as included collection of examples of best practices from a regional perspective for implementation of ISPM 6:1997.

The results of the survey has been used for two purposes. The first to provide the Steward for the review of ISPM 6:1997 with data to update the standard. The second as a general global study on the implementation challenges and best practices for pest surveillance. The latter will be used further to inform discussions concerning IPPC implementation.

In November 2012, the IRSS followed up on this analysis through collaboration with the Asia Pacific Plant Protection Commission (APPPC) to host a symposium on surveillance. The symposium used the analysis of the ISPM 6:1997 (Guidelines for surveillance) survey results as a basis for developing an outline for manuals on surveillance systems. The symposium included participation from experts within the Asia region and from several other FAO regions.

4)   **ISPM 13:2001 - Guidelines for the notification of non-compliance and emergency action**: The Subsidiary Body on Dispute Settlement (SBDS) requested the Bureau at the meeting in March 2012 for support from IRSS to conduct a study on implementation challenges for ISPM 13:2001. The results were expected to support the SBDS in reviewing its role and function in July 2012. The IRSS successfully concluded its analysis of data collected through the study and presented its findings in the form of a report to the SBDS. The findings of the study were also shared with the CDC at its December 2012 meeting. Concrete actions recommended by the CDC based on the results include: planning of workshops/trainings on how to apply ISPM No. 13, with focus on operations

and the development of standard operating procedures/guidance materials to address problems of poor notifications.

5)   **ISPM 17:2002 Pest reporting and ISPM 19:2003 Guidelines on lists of regulated pests:**
At its October 2012 meeting the Bureau requested the IRSS programme to analyze ISPMs 17:2002 and 19:2003 based on a request from the EWG-CD. The IRSS team drafted the questionnaires for the two standards and intends to launch these during the period May-September 2013. The questionnaire design was prepared in consultation with the CDC, SC and TRG with input from country delegates who attended an EPPO regional workshop on a related topic. The results of the survey are available and will help to inform primarily the National Reporting Obligations Programme of the IPPC.

Annex 3.   IRSS Studies

Four studies were undertaken by the IRSS. These studies will contribute toward the triennial review report. The reports are available on the IPP at http://irss.ippc.int/activities/.

- **Internet Trade of Plants:** This study was conducted by the IPPC Secretariat with peer review support provided by the UK. The study builds on previous work presented to Technical Consultations among RPPOs and other individual initiatives of at least two CPs. The study is meant to be completely practical and provides CPs with a synopsis of the type of trade of plants and plant products being channeled through the internet and identifies some pathways for pests that a number of CPs may not be aware of. The study focuses on categories of plants and plant products that include traded as Novelty items, Plants for Planting, Live organisms excluding biological control agents and plant products.

- **Aquatic Plants**: A study on aquatic plants was conducted with the objective to provide technical information that can be used as a reference by the IPPC on how it should address the issue of aquatic plants, either in whole or in part, in relation to the established mandate of the IPPC. The study includes a preliminary review of organisms classified as aquatic and attempts to identify the parameters that determine which ones fall under the protection of the IPPC. It provides a few recommendations to CPM on how to address the issue. As a minimum the study is expected to better inform the CPM on the range of aquatic plants requiring phytosanitary protection or action under the mandate of the IPPC. In addition CPs may find it useful to delineate the types of aquatic plants under their responsibility and to develop appropriate phytosanitary programmes.

- **Equivalence:** In the last quarter of 2011, additional resources under the capacity development programme became available through the FAO regular programme. The Secretariat suggested that a study be conducted on the application of the concept of equivalence in the phytosanitary area since there is a misconception identified at the level of the WTO-SPS where the OIE and CODEX are recognized as active applicators of this concept for systems and processes, but not the IPPC. In the case of the IPPC, equivalence is managed at the level of application of phytosanitary measures. These measures are applied as single measures, combined measures or as a package of measures such as in systems approaches. Most of these measures are negotiated based on agreements at bilateral or multi-lateral levels. No systematic study on the application of the concept of equivalence in the context of the IPPC has been performed before. The paper seeks to provide a clearer picture of the importance and frequency of the use of this concept and recognition by the wider SPS community on the IPPC's application of the concept.

- **Round Table Discussion on indicators of implementation of the International Plant Protection Convention:** The IPPC convened a small group of results-based management experts to explore options for developing objective indicators of IPPC/ISPM implementation and assessing the impact of this implementation. The value of indicators for measuring the use and impact of activities and standards, as well as for informing planning of future work, was recognized by all. The group discussed the IPPC (its objectives, activities and obligations, and operational structure), the availability and gaps of data in plant protection, and evaluations of the IPPC to date. The report of the discussion contains a number of recommendations for actions that could be integrated into the IPPC plans for implementation.

Annex 4. IRSS Indicative work plan framework

Year 1	Timeline for implementation: 2014-2015											
Activity	A	M	J	J	A	S	O	N	D	J	F	M
Monitor the fulfillment of the reporting requirements of contracting parties	x	x	x	x	x							
Review to evaluate the implementation of other obligations (non-reporting) contained in the IPPC		x	x									
Call for reports on implementation by the TC-RPPOs and other relevant international organizations			x	x								
Collation and analysis of NPPO data for the IPPC Secretariat report. (Questionnaires, case studies etc.)					x	x	x					
Case studies conducted		x	x	x	x	x	x	x	x	x		
Prepare first implementation review response (IRR) report (Year 2015)								x				
IPPC Secretariat annual report to the CPM-10 on: contracting parties' difficulties with reporting requirements based on reporting through the IPP; and the IPPC Help Desk activities.												x
Present case studies reports at CPM-10 in 2015												x

Year 2	Timeline for implementation: 2015-2016											
Activity	A	M	J	J	A	S	O	N	D	J	F	M
Distribution of questionnaire to contracting parties	x											
Monitor the fulfillment of the reporting requirements of contracting parties	x	x	x	x	x							
Update triennial IRR Report based on recommendations of CPM				x								
Call for reports on implementation by the TC-RPPOs and other relevant international organizations				x	x							
Collation and analysis of NPPO data for the IPPC Secretariat report. (Questionnaires, case studies etc.)					x	x	x					
Case studies conducted		x	x	x	x	x	x	x	x	x		
Prepare second implementation review response (IRR) report (Year 2016)								x				
Present case studies reports at CPM-11 in 2016												x
Present the annual secretariat report to the CPM-11 in 2016 on: contracting parties' difficulties with reporting requirements based on reporting through the IPP; and the IPPC Help Desk activities.												x

Year 3	Timeline for implementation: 2016-2017											
Activity	A	M	J	J	A	S	O	N	D	J	F	M
Distribution of questionnaire to contracting parties	x											
Monitor the fulfillment of the reporting requirements of contracting parties	x	x	x	x	x							
Update triennial IRR Report based on recommendations of CPM				x								
Call for reports on implementation by the TC-RPPOs and other relevant international organizations				x	x							
Collation and analysis of NPPO data for the IPPC Secretariat report. (Questionnaires, case studies etc.)					x	x	x					
Case studies conducted		x	x	x	x	x	x	x	x	x		
Finalisation of triennial IRR Report (2014-2017) based on the following elements: - the 2015,2016,2017 IRR reports - annual summary reports of the IPPC Help Desk - annual reports on implementation difficulties from the TC-RPPOs - summary annual reports on implementation trends from the PCE - annual reports from other relevant international organizations and containing action plans.									x	x		
Case studies conducted		x	x	x	x	x	x	x	x	x		
Present case studies reports at CPM-12 in 2017												x
Present the triennial IRR report to the CPM 12 in 2017 on: contracting parties' difficulties with reporting requirements based on reporting through the IPP; and the IPPC Help Desk activities.												x