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1. Opening of the meeting

1.1 Welcome by the IPPC Secretariat

- [1] The Acting IPPC Officer-in-Charge for daily matters, Avetik NERSISYAN, welcomed all participants to the Standards Committee (SC) meeting, the objective of the meeting being to consider the draft ISPMs to be submitted for first consultation. He thanked all SC members for their contributions and in particular the outgoing SC members: Moses Adegboyega ADEWUMI (Africa), Abdelmoneem Ismaeel ADRA ABDETAM (Near East), Laurence BOUHOT-DELDUC (Europe) and Luis Antonio TAVARES (Africa). He welcomed 11 observers, including a representative of the Commission on Phytosanitary Measures (CPM) Bureau, the representative of the Implementation and Capacity Development Committee (IC), new SC members who would soon be starting their terms, an observer from the Near East Plant Protection Organization, and two “silent observers” from national plant protection organizations (NPPOs).
- [2] The Acting IPPC Officer-in-Charge highlighted some of the main achievements during the last year, including the adoption of 11 standards and one CPM recommendation at CPM-15 (2021). Three focus groups had been established by CPM-15, all of which will support implementation of the IPPC Strategic Framework 2020–2030 and its eight development agenda items. He encouraged the SC to actively engage in the implementation of the Strategic Framework through strategic discussions and participation in the work of these three focus groups.
- [3] The Acting IPPC Officer-in-Charge updated the SC on current working arrangements within the IPPC Secretariat (hereafter referred to as “the Secretariat”). He explained that the Secretariat continued to mostly work from home, but that this situation may change later in the summer. In-person meetings of the SC may possibly start again in 2022. The FAO selection process for the new IPPC Secretary is well underway, and includes the involvement of the CPM Bureau to ensure transparency.
- [4] He finished by thanking the SC members and the entire Standard Setting Unit (SSU) and wider Secretariat for their support.
- [5] The SSU Acting Officer-in-Charge for daily matters, Adriana MOREIRA, highlighted that training for SC members was scheduled for 25 May 2021 and was open to both new and existing SC members. She informed the SC that the focused meeting of the SC initially scheduled for 15–16 June 2021 would now be held on 23–24 June instead, owing to FAO scheduling issues. The tentative agenda would include updates from technical panels, SC proposals for the Implementation Review and Support System call for topics (if any), and approval of SC e-decisions. Finally, she reminded stewards that, for draft ISPMs approved by the SC for first consultation, a presentation would be needed for the forthcoming IPPC regional workshops.
- [6] The SC noted the absence of Moses Adegboyega ADEWUMI (Nigeria) and Luis Antonio TAVARES (Guinea-Bissau).

2. Meeting arrangements

2.1 Election of the Chairperson

- [7] The SC elected Ezequiel FERRO (Argentina) as Chairperson to the SC. As Mr FERRO had only one year left to serve on the SC, the SC agreed that his term as SC Chairperson would be for one year.

2.2 Election of the Rapporteur

- [8] The SC elected Laurence BOUHOT-DELDUC (France) as Rapporteur.

2.3 Adoption of the agenda

- [9] The SC adopted the Agenda (Appendix 1).

3. Administrative matters

- [10] The Secretariat introduced the documents list (Appendix 2) and the participants list (Appendix 3). The Secretariat invited participants to notify the Secretariat of any information that required updating in the participants list or was missing from it.
- [11] The Secretariat also drew the attention of the SC to the list of SSU staff.¹

4. Draft ISPMs for approval for the first consultation

- [12] The draft ISPMs to be considered for approval for first consultation had been reviewed by the SC in the Online Comment System (OCS) and modified by the respective Stewards and Assistant Stewards in response to the comments from SC members. The modified drafts were presented to the SC for review.

4.1 Revision of ISPM 4 (*Requirements for the establishment of pest free areas*) (2009-002), Priority 4

- [13] The Steward, Marina ZLOTINA (United States of America), introduced the draft ISPM and supporting documentation.² The expert working group (EWG) had met in virtual mode in December 2020 and January 2021. She drew the attention of the SC to the issues arising from the EWG, as identified in the Steward's notes, and also noted that the SC had removed the reasons for the revision of the ISPM from the Background section, which was contrary to the annotated template ISPM so the SC may wish to also consider this.
- [14] A total of 146 comments had been received from SC members during the OCS review, and the Steward had revised the draft ISPM based on these comments. The Steward highlighted some of the issues still remaining to be resolved, for discussion by SC members as they considered the draft ISPM in detail. She highlighted that the text on multilateral recognition had been removed following comments by the SC during the OCS review, but she noted that it was still mentioned in the potential implementation issues identified by the EWG.
- [15] The SC reviewed the draft ISPM and discussed the issues raised by the Steward at the relevant points in the draft.

Review of draft ISPM and outstanding issues

- [16] **Scope.** The SC discussed whether pest free areas (PFAs) are a phytosanitary measure to attain or maintain the *pest freedom* of an area or the *phytosanitary security* of an area, and agreed to use “pest freedom” as this was clearer in the context of this draft ISPM.
- [17] The Steward noted that the sentence clarifying what the standard does not cover (i.e. pest free places of production and pest free production sites) was added after the EWG, and so sought confirmation from the SC about whether to retain this sentence. The SC agreed to keep this sentence, noting that some other ISPMs also say in the Scope section what is not covered by the ISPM.
- [18] **Outline of requirements.** The SC considered whether the last sentence, which said that the phytosanitary measures used to establish or maintain the PFA should be based on the pest risk analysis (PRA), should refer to pest risk assessment instead of PRA as the phytosanitary measures would be based on the assessment of pest risk for an individual target pest: pest risk assessment is just one component of PRA and a PRA would be for a pest rather than for a PFA. The SC agreed to use “based on the assessment of pest risk”.

¹ Standard Setting Unit staff (2021-02-10): <https://www.ippc.int/en/publications/2463/>

² 2009-002; 2009-002_OCS; 04_SC_Tel_2021_May; 05_SC_Tel_2021_May; Specification 58: <https://www.ippc.int/en/publications/2368/>; EWG 2020-12/2021-01 meeting report: <https://www.ippc.int/en/publications/89755/>

- [19] **Potential purposes for a PFA.** With regard to the list of potential purposes for PFAs provided in the Background section, one SC member queried what “strategic” meant in the phrase “strategic plant production” and also why ecological conservation was mentioned as the purpose of ISPMs is to facilitate safe trade. The Steward explained that “strategic plant production” concerns food security, and that the EWG’s intention regarding ecological conservation was to reflect the fact that PFAs can be established to protect endangered plant resources or species, not just to facilitate trade. Acknowledging this, one SC member gave the example of forests that may be protected for reasons other than trade of wood and wood products. The SC agreed to remove the word “strategic” but to retain reference to ecological conservation, noting that it is important to be specific that it is *ecological* conservation, to distinguish it from other types of conservation. In the same bullet point, the SC agreed to replace “and” with “or” when referring to importing and exporting countries, noting that IPPC style is to avoid “and/or”.
- [20] **Situations may a PFA may be applied.** The SC had a lengthy discussion about the situations where a PFA may be applied as listed in the Background section. Regarding the first of these situations, an entire country as a PFA, one SC member commented that it may not be economically feasible or desirable to establish a PFA for an entire country, with all the requirements for surveillance and so on that this entails, if it is only needed for a small area of production such as an area where certain fruit trees are grown. Another SC member noted, however, that there are several countries for whom, because of their geographical isolation, establishing a PFA for the entire country is the most pragmatic option. Regarding the second and third situations in the list, the SC noted that these merely related to the size of the PFA in relation to the size of the country, and that there was no need to separate these out as separate situations. The SC noted that the phrase “within a generally infested area” refers to a situation where the pest is widely distributed in the country except for a small area, but acknowledged that the meaning of “generally” in this phrase is not clear. In the light of these various comments, the SC therefore agreed to amend the text to simply say that a PFA may be “an entire country or a part of it”, rather than giving a list of situations.
- [21] **Number of PFAs in a country.** The SC amended the draft Background section to allow for the fact that the number of PFAs for a particular pest in a country may depend on the distribution of the hosts, not just the distribution of the target pest.
- [22] **PFAs for more than one pest.** The SC noted that although the Glossary definition of “pest free area” refers only to “a specific pest”, PFAs are not always just for an individual pest species and may be established for more than one pest (e.g. for two species of fruit fly). The SC therefore added text to the Background section to say that when a PFA is established it is usually for a specific pest, but one may also be established for a group of pests with similar biology. Later in the meeting, when discussing the section on Target pest and area, the SC returned to this new paragraph to add some text in parentheses, explaining that thereafter the standard referred to “pest”. This thereby avoided having to say “pest or group of pests” throughout the rest of the standard.
- [23] **Requirements.** In the first paragraph of the Requirements, the SC agreed that the meaning of “specific pest risk” was not clear and so changed it to “the risk associated with specific pests” for greater clarity.
- [24] **Additional phytosanitary measures.** Several concerns were expressed by SC members regarding the second sentence of the Requirements section, which said that the NPPO of the importing country should not require any additional phytosanitary measures for commodities exported from an officially recognized PFA. The SC noted that recognition of PFAs is through bilateral agreements, under which it is the importing country that recognizes the PFA, not the exporting country. The SC also noted, however, that not all countries officially *recognize* PFAs and that some countries may recognize some PFAs but not others. The SC discussed whether “established” could be used instead of “recognized” to allow for this variation in recognition practice, but acknowledged that this could then imply that an importing country had to accept a PFA regardless of whether the exporting country had fully complied with ISPM 4. The SC noted that the main point being made in the first two sentences of this paragraph was that a PFA is a stand-alone measure and so should not require any additional phytosanitary measures, and that the second sentence merely served to reinforce the first sentence. Considering these various comments, the SC initially concluded that the best option was to simply delete the second sentence.

However, upon returning to the text later in the meeting, the SC agreed some alternative text to explain that where a PFA has been established in full conformity with ISPM 4, additional phytosanitary measures in relation to the specified pest or group of pests should not be required.

- [25] **“Recognized” vs “established”.** The SC noted that because ISPM 4 is about establishing a PFA, not about recognizing one, the wording in the introductory paragraph of the Requirements section needed to reflect this and so should not refer to requirements that should be met for an area to be *recognized* as a PFA. The SC came back to this text later in the meeting and agreed to use “established” instead of “recognized”.
- [26] **Time and resources needed to establish and maintain a PFA.** In the Requirements section, the SC reviewed the list of elements to consider to ensure that PFAs meet their objectives. With regard to the introductory sentence stem, the SC agreed that it would be unusual for a standard to refer to how NPPOs invest their time and resources, and so amended the draft text to simply say that PFAs may take significant time and resource to establish and maintain, rather than expanding on this any further.
- [27] **Terminology for measures.** The first item in the list of elements to consider concerned the need to determine pest risk management measures based on the biology of the pest, the relevant pathways and the characteristics of the PFA. Varying views were expressed about whether this item should refer to “phytosanitary measures”, “pest risk management measures”, “management measures” or simply “measures”. The SC noted that it is “pest risk management *options*” that are usually referred to, rather than “pest risk management *measures*”, and that as a PFA is itself a phytosanitary measure it could be confusing to refer to “phytosanitary measures” being needed to achieve a phytosanitary measure. The SC also noted that this item was not about the *determination* of measures but was making the point that measures needed to be based on the pest risk, which in turn was based on the biology of the pest and so on. The SC returned to the text later in the meeting and agreed to use “measures”, rephrasing the text to say that measures used to establish and maintain a PFA should be based on the biology of the pest of concern, the relevant pathways and the characteristics of the PFA.
- [28] **Legislative framework.** Further down the list of elements to consider, the SC reviewed the item on the existence of an appropriate legislative framework. The SC agreed that, for clarity, the text should refer to this framework supporting the establishment and maintenance of the PFA, rather than referring to the implementation of the PFA or the implementation and maintenance of the PFA.
- [29] **Commitment from regulatory authorities to rely on the scientific community’s recommendations.** The next item in the list of elements to consider was a requirement to consider the commitment from regulatory authorities to rely on the scientific community’s recommendations in the decision-making process. During the OCS review, it had been suggested that this item be deleted because it was generic and not specific to PFAs. The SC agreed and deleted the item from the list.
- [30] **Individual or combination of measures to meet each requirement.** The SC noted that during the OCS review the penultimate paragraph of the introductory section of the Requirements had been moved to the end of the first paragraph of this section, but this meant that the meaning of “each requirement” in the final paragraph may not now be understood. The SC therefore agreed to move the final paragraph to after the first paragraph.
- [31] **Target pest and area.** In the section on Target pest and area, the SC discussed whether it would be confusing to say that the NPPO should “characterize” the target pest, given that the term “pest categorization” is used in pest risk analysis. The SC considered possible alternatives, including “specify the target pest”, “detail the characteristics of the target pest”, “describe the characteristics of the target pest” and “describe the pest”, the latter being prompted by one SC member querying whether the scientific name and identification methods can be considered to be *characteristics* of the pest. The SC initially used “specify”, then changed this to “describe”, but returned to the matter later in the meeting and reverted to the original “characterize” (see below regarding the section on Surveillance activities before establishment).

- [32] The SC considered whether to refer to “pest or group of pests” or to use the optional plural form “pest(s)”, but instead opted for amending the new paragraph at the end of the Background section to explain the use of the word “pest” in the standard (see above).
- [33] The SC agreed to avoid the use of “target pest” and to just refer to “pest” instead, because it was unnecessary to use the qualifier “target”. A comment during the OCS review, relating to the section on Controls on the movement of regulated articles, had also pointed out that “target pest” is the term used in treatments. Later in the meeting, when discussing the section on Surveillance activities before establishment, the SC agreed to make this a global change.
- [34] **Host plants present in the area.** One SC member suggested changing the heading of this section to “Suitable environmental conditions in the area” as the section was about more than just the host plants. Another suggested changing “environmental conditions” to “ecological conditions”. The SC agreed and amended the heading to “Suitable ecological conditions in the area”.
- [35] **Surveillance activities before establishment.** In the first sentence of this section, the SC considered whether the NPPO should “verify the pest freedom” or “determine the pest status” in the area. The Steward clarified that the EWG’s intention had been to use language consistent with ISPM 8 (*Determination of pest status in an area*) and ISPM 6 (*Surveillance*). The SC noted that this stage of the process was before establishment, so the area might not yet be pest free. The SC therefore agreed that “determine the pest status” was more appropriate.
- [36] **Characterization of pests.** Following amendments made earlier by the SC, changing “characterize” to “describe” in the section on Target pest and area, the SC considered whether to also change “characterized” in the first sentence of the section on Surveillance activities before establishment. One SC member pointed out that “characterized” was an all-inclusive term covering all the characteristics of the pest that needed to be known to establish a PFA, whereas “specified” or “described” did not cover all the necessary characteristics but could refer to unnecessary ones, for instance describing the colour of the pest. The SC therefore agreed to use “characterized” in this section. For the sake of consistency, the SC also agreed to use “characterize” in the section on Target pest and area, noting that the characteristics to be identified were specified in the draft standard, which should avoid confusion with other uses of “characterize” in ISPMs.
- [37] **The authority establishing the PFA.** In the section on Surveillance activities before establishment, the SC considered the paragraph on general surveillance, which referred to “the NPPO establishing the PFA”. One SC member commented that in some countries it was not the NPPO itself that established the PFA, but another official body; for example, in a large, federated country it may be individual states that establish PFAs and the NPPO would then recognize these. The Steward pointed out that the responsibility would still lie with the NPPO, and that a different term to “recognition” would be needed to describe such arrangements, as “recognition” has a specific meaning in the context of PFAs (as used in ISPM 29 (*Recognition of pest free areas and areas of low pest prevalence*)). Another SC member suggested amending the wording to read “the NPPO of the country in which the area is situated”. In the end, the SC agreed to simply remove “establishing the PFA” and just refer to “the NPPO”, but the Steward encouraged the SC members who had suggested alternatives to submit suggestions during the first consultation.
- [38] **Delimiting surveys.** Recalling one of the comments made during the OCS review, the SC considered whether there was a need to refer to a delimiting survey in the section on Surveillance activities before establishment, as the concept was also captured later in the standard in relation to the maintenance of PFAs. The SC noted that the sentence in question had originally been placed earlier in the section on Surveillance activities before establishment, but had been moved down during the OCS review to come after the text on specific surveillance. The SC agreed to keep the sentence where it was as delimiting surveys were relevant to the establishment of PFAs, not just their maintenance.
- [39] **Controls on the movement of regulated articles.** The SC considered whether to delete the bullet point relating to “regulation of the pathways and articles that require control” as pathways were already covered by the bullet point that followed and articles are also pathways. The SC noted, however, that

the following bullet point did serve to emphasize the domestic movement of articles and so agreed to keep the bullet point but to amend it by inserting “import” before “pathways and articles”.

- [40] **Buffer zones.** Referring to the point made in the Steward’s notes that the Glossary term “spread” refers only to expansion of the geographical distribution of a pest *within* an area, one SC member suggested that “movement” be used instead of “spread” in the penultimate sentence of this section: “distance over which the likely movement of the pest population to the PFA could not occur”. The SC noted, however, that although ISPM 26 (*Establishment of pest free areas for fruit flies (Tephritidae)*) also uses “movement”, this term “is usually used to refer to movement of pests by means of vehicles and commodities, rather than naturally. The SC therefore concluded that “natural spread” was a better term in the context of the sentence concerned. The SC also amended the sentence to make it clear that the spread was *to* the PFA.
- [41] **National declaration of a pest free area.** Responding to a comment raised during the OCS review, the SC amended the text to make it clear that the pest “absent” status of an area or the pest eradication in an area needs to be according to ISPM 8 or ISPM 9 (*Guidelines for pest eradication programmes*), respectively, before pest freedom can be declared.
- [42] **Legal framework.** In this section and the following ones, the SC changed “area” to “PFA” to distinguish the area concerned from other areas such as the buffer zone.
- [43] The SC also noted that the term “competent authority” is used in this section to allow for the fact that it may not always be the NPPO who is the competent authority for collecting pest detection data (e.g. if surveillance is delegated to states).
- [44] **Surveillance for the maintenance of the PFA.** The SC rearranged the text in this section into a more logical order, so that surveillance in general is introduced first, then general surveillance, followed by specific surveillance.
- [45] One SC member also questioned the need to refer to the frequency of surveys allowing the appropriate level of protection for the importing country to be met. The SC deleted the sentence.
- [46] **Data collection and record keeping.** The SC considered whether to have a separate section on Documentation and record keeping – covering the overall requirements for record keeping relevant to initiation, establishment and maintenance of PFAs – rather than there just being a (sub)section on Data collection and record keeping in the section on Maintenance of the pest free area. The SC agreed to have a new section later in the standard and initially moved the text on Data collection and record keeping to form this new section, but subsequently moved it back again as it was specifically related to surveillance and hence relevant to the maintenance of PFAs. The SC drafted new text for the new section (see “Documentation and record keeping” below).
- [47] **Corrective action plans.** The SC considered the new words that had been inserted during the OCS review in the final sentence of the introductory text of this section: “The eradication programme, *within or affecting the PFA*, should include the following steps.” The SC noted that the intention behind this insertion had simply been to more clearly define the scope of the eradication programme, but the SC agreed to delete the new words to avoid ambiguity as the meaning was not completely clear.
- [48] **Implementation of control measures.** In this section, the SC agreed to change “natural dispersal” to “natural spread”, for consistency within the standard, and changed “measures to *remove* the target pest” to “measures to *eradicate* the pest” for greater clarity.
- [49] **Controls on the movement of regulated articles during the maintenance of a PFA.** The SC considered whether a subsection on controls on the movement of regulated articles should be added to the section on Maintenance of the pest free area, as in the section on the Establishment of the pest free area. One SC member suggested that, rather than duplicating the same information, the text on controls could perhaps be moved from the section on establishment to the section on maintenance, as it was more relevant to maintenance than to establishment. The Steward offered a third option: simply to cross-

reference it in the section on maintenance. Noting that controls on movements were covered by the text on the legal framework in the section on maintenance, the SC therefore added a cross-reference here to the relevant text in the establishment section and left the latter where it was.

- [50] **Communication and stakeholder engagement.** The SC considered whether the standard needed to specify for how long information supporting claims of pest freedom should be retained – for instance should records be kept for as long as the PFA is active? The SC noted that the latter scenario could mean that records would need to be kept for 10, 20 or even 30 years. At this stage in the meeting, the SC did not have any specific proposals on the length of time and so agreed to leave the text as it was and wait to see whether there were any comments on this from first consultation. However, the SC discussed the matter again when considering the new section on Documentation and record keeping and agreed on a minimum period of time (see “Documentation and record keeping” below).
- [51] **Recognition of pest free areas.** The SC considered the suggestion, made during the OCS review, that this section be moved to before the section on PFA maintenance, to give a more logical flow of establishment, recognition, maintenance and verification, in that order. The SC considered moving the section to form the last subsection of the section on Establishment of the pest free area, but noted that recognition is not part of establishment as it also relates to maintenance. The SC therefore agreed to leave the section on recognition at the end of the draft standard.
- [52] **Documentation and record keeping.** The SC drafted the new section on Documentation and record keeping and agreed to place it immediately before the section on Communication and stakeholder engagement. The SC noted that there needed to be consistency between the text in this section and the text on Data collection and record keeping (in the section on maintenance) regarding the length of time for which records should be kept. The Secretariat recalled the EWG’s report, which explained that as the length of time for records to be kept was a matter for the importing country, it was better to leave this open in the draft standard rather than specifying a length of time. The Steward noted that the text on Data collection and record keeping said that data should be kept for sufficient time to ensure the possibility of trace-back and verification, which was consistent with leaving the length of time open. The SC considered the matter further and the SC Chairperson expressed the view that it was better to give some guidance in an ISPM rather than leaving it open. The SC recalled that the requirement in ISPM 26 was that records should be kept for at least 24 months, but noted that the length of time depends on the biology of the pest concerned. The SC therefore agreed that the requirement should be for a minimum of 24 months or longer depending on the biology of the pest.

Proposed restructure of ISPM 4

- [53] Sophie PETERSON (Australia) presented a discussion paper on the possible restructuring of PFA-related standards to create one overarching standard with pest-specific annexes,³ which was an idea that had been raised by the Australian expert to the EWG for the Revision of ISPM 4.⁴ Ms PETERSON noted that the structure of the current draft ISPM 4 would not preclude such annexes, so the suggested restructuring may not need a restructure of ISPM 4 itself and hence may not need a call for topics.
- [54] The SC discussed the possible restructuring outlined in the paper. Several SC members commented that the proposal had some merit. One SC member saw the need for pest-specific standards on PFAs in the future, although the SC Chairperson noted that fruit fly PFAs are quite different to other PFAs in terms of their management and relevance to trade and wondered whether other pest groups merited pest-specific annexes equivalent to the standard for fruit fly PFAs (ISPM 26), considering additionally that there have been no topic submissions for PFA for other pests.
- [55] One SC member supported the view that a call for topics would not be needed for a general reorganization of PFA-related standards as the current draft ISPM 4 would be adequate as an

³ 07_SC_Tel_2021_May.

⁴ EWG 2020-12 / 2021-01 meeting report: <https://www.ippc.int/en/publications/89755/>

overarching standard, but commented that a call for topics may be needed regarding drafting of specific annexes and revision of ISPM 26.

- [56] There was a general consensus that the restructuring being proposed represented a significant conceptual change, which would need discussing within regions rather than just by the SC or the CPM Bureau. One SC member suggested that, given the SC's workload, it might be better to also see how commodity standards develop, as the model being proposed for the PFA-related standards, with an overarching standard plus annexes, is similar to the model that is to be used for commodity standards. Another SC member commented that it would be good to evaluate the proposal in future when there are other standards related to PFAs. The IC Representative asked if it would be possible to propose a reorganization of PFA-related standards as was being done for PRA-related standards.
- [57] The Steward for the draft revision of ISPM 4 commented that perhaps the problem is the word “restructuring” in the proposal, and that it could instead be thought of as an evolutionary development towards possible pest-specific annexes in future. This way of looking at it would mean that it is simply a question of being open to the concept of adding annexes, rather than having concrete plans for individual annexes. One SC member reiterated that the proposal did not require a “restructure” of ISPM 4, but any new or revised PFA documents for specific pests could be developed as annexes.
- [58] The SC agreed to return to the matter at their meeting in November.

Potential implementation issues

- [59] The EWG had identified the following potential operational and technical implementation issues:
- a need for an IPPC depository to facilitate multilateral recognition of PFAs;
 - a need for further diagnostic protocols, to reduce potential disagreements between contracting parties about the equivalence of different protocols;
 - a need for further implementation guidance (e.g. in a future revision of the IPPC guide to pest free areas or the IPPC guide to pest status) on the circumstances in which general surveillance may be deemed sufficient evidence to support the establishment or maintenance of a PFA;
 - a need for further implementation guidance on how to determine the size of the PFA buffer zone;
 - a need for further implementation guidance on what a review of a PFA programme should include and how to build trust in the PFA between contracting parties.
- [60] In presenting these issues, the Steward also recalled that the EWG had noted that global pest risk assessment would not be possible as pest risk assessment is specific to the endangered area in question. This view was supported by the IC Representative.
- [61] **IPPC depository to facilitate multilateral recognition of PFAs.** The SC Chairperson noted that the IPPC community does not currently have a mechanism for multilateral recognition, as when this matter had been discussed in the past it had not proved possible to reach agreement on how to proceed with it. He acknowledged that it might be something that the IPPC community would like to discuss, but thought that it was not an implementation issue. The IC Representative welcomed the idea of having a mechanism for multilateral recognition, but commented that first there needs to be a standard on multilateral recognition before it can be an implementation issue, and currently there is only a standard on bilateral recognition. The SC therefore agreed not to forward the issue on the multilateral recognition depository to the IC.
- [62] The SC noted that the opportunity to have a global pest status depository was discussed in the CPM Focus Group on Pest Outbreak Alert and Response Systems.
- [63] **Need for further diagnostic protocols.** The Steward explained that the issue mainly concerned the recognition of equivalence of diagnostic protocols. The SC Chairperson commented that the issue raised by the EWG seemed to be more of a general comment rather than being an issue specific to PFAs.

[64] **Implementation guidance.** The SC Chairperson commented that the proposed implementation issue regarding general surveillance seemed to be more related to ISPM 6 than to ISPM 4, but that the other two issues calling for implementation guidance seemed to be good points. The Steward confirmed that the implementation guidance on surveillance would be of relevance to ISPM 4, but also relevant to other ISPMs. The IC Representative highlighted that there is a component page on PFAs on the International Phytosanitary Portal (IPP) and this has some contributed resources, so additional guidance material could be considered for inclusion on this page.

[65] The SC agreed to forward all the potential implementation issues except the one on multilateral recognition to the IC for consideration.

[66] The SC:

- (1) *noted* the meeting report of the EWG on Revision of ISPM 4 (*Requirements for the establishment of pest free areas*);
- (2) *approved* the draft ISPM on Revision of ISPM 4 (*Requirements for the establishment of pest free areas*) (2009-002) as modified in this meeting for submission to the first consultation (Appendix 4);
- (3) *asked* the Secretariat to include a discussion item on pest-specific annexes to ISPM 4 (*Requirements for the establishment of pest free areas*) in the agenda for the SC November 2021 meeting;
- (4) *asked* the Secretariat to archive the implementation issues identified for the draft revision of ISPM 4 (*Requirements for the establishment of pest free areas*) (2009-002), with the exception of the issue concerning multilateral recognition, until after the first consultation, for future forwarding to the Implementation and Capacity Development Committee.

4.2 Draft annex to ISPM 20 (*Guidelines for a phytosanitary import regulatory system*): Use of specific import authorization (2008-006), Priority 4

[67] The Steward, Ezequiel FERRO (Argentina), introduced the draft ISPM and supporting documentation.⁵ The EWG had met in virtual mode in February 2021 and had agreed a draft text for the annex. The Steward highlighted some of the main aspects from the EWG's deliberations, as described in the Steward's notes, and then referred to the comments submitted by SC members through the OCS, highlighting some potential issues for SC consideration.

[68] The SC discussed the issues raised while reviewing the draft annex.

Review of draft annex and outstanding issues

[69] **Introductory text.** In the first paragraph, the SC inserted “specific” before “regulated articles” to make it clear that specific import authorizations (SIAs) are only for specific articles, whereas regulated articles in general are covered by published phytosanitary import requirements (Article VII.2(b) of the IPPC).

[70] One suggestion made during the OCS review had been to remove the reference to non-phytosanitary requirements from the introductory text of the draft annex. However, recognizing that some countries do include both phytosanitary and non-phytosanitary requirements on SIAs, the SC agreed that it was better to explicitly say that non-phytosanitary requirements are not within the scope of the standard, as this provided greater clarity.

[71] **Elements of specific import authorizations.** The SC considered a comment made during the OCS review, suggesting that the heading of this section be replaced by “Content of specific import authorizations”. The SC agreed to retain “elements”, as “elements” is used in the draft annex to refer to

⁵ 2008-006; 2008-006_OCS; 06_SC_Tel_2021_May_Rev1; Specification 64: <https://www.ippc.int/en/publications/82243/>; EWG 2020-12/2021-01 meeting report: <https://www.ippc.int/en/publications/89644/>

the sections or parts of an SIA form, but “content” could refer to both the sections and the text that is entered into those sections.

- [72] **Addressee or consignee.** The SC considered to whom the authorizations should be addressed and agreed that “addressee or consignee”, as used by the EWG, referred to the importers and was therefore acceptable.
- [73] **Minimum information requirements.** One SC member noted that there was an internal inconsistency in the draft annex as the introductory text said that SIAs may be used when phytosanitary import requirements have not been established, but the list of additional information that should be included in an SIA included phytosanitary import requirements. The member therefore suggested that “phytosanitary import requirements” be changed to “phytosanitary procedures”. The Steward commented that, in some cases, some countries may still refer to import requirements pertaining to SIAs as “phytosanitary import requirements”. The SC therefore agreed to keep “phytosanitary import requirements” in the list of minimum requirements.
- [74] **Additional information that may be included.** The SC changed “method of conveyance” to “means of conveyance” for consistency with other standards.
- [75] The SC deleted “other information” from the list of additional information because the introductory stem to the list already said “the following information *may* be included in SIAs”, so it was not an exhaustive list.
- [76] **Language.** One comment made during the OCS review had been that, to comply with Article XIX.3(c) of the IPPC, SIAs should be in an FAO language. The Steward explained that he had therefore removed reference to specific languages but encouraging to also use one of the FAO official languages.
- [77] **Appropriate use of specific import authorizations.** The SC changed “appropriate use” to “possible uses” in the heading, as this section just included examples.
- [78] The SC noted that the introductory sentence stem for the list of examples referred to *situations*, but some of the items in the list (e.g. those that were articles) were not situations. One SC member suggested that the list items in question could each start with “import of articles” and so on, but the SC agreed that it would be simpler and less repetitious to amend the introductory sentence stem by replacing “The following examples describe situations” with “The following provides examples”.
- [79] One SC member queried whether “articles”, in the context of articles that the importing country needs to be able to trace, was too broad and perhaps “regulated articles” would be better, but the SC made no change to the text.
- [80] The SC considered a comment made during the OCS review, and reiterated during the meeting, suggesting that the item “articles that are not routinely imported” should be removed from the list of examples as there could be situations where, for commercial reasons, an SIA is used for an import that happens only once per year or not every year. The Steward explained that this item had been included in the list because, according to ISPM 20 (section 4.2.2), the development of general authorizations is encouraged whenever similar SIAs become routine; the EWG had therefore concluded that when a commodity is not routinely imported, SIAs may be used. The SC opted to remove this item from the list, however, given that there was some ambiguity about the meaning of “routine” in this context (as it could be interpreted as meaning “frequent”) and because the SC considered the other examples in the list to adequately cover this situation.
- [81] In the final item in the list of examples, which referred to “situations where it is not possible to develop general phytosanitary measures”, the SC changed the term “phytosanitary measures” to “phytosanitary import requirements” as this was more accurate.
- [82] **Responsibilities of NPPOs of exporting countries.** For greater clarity, the SC changed “export certification” to “export phytosanitary certification” and “import requirements” to “phytosanitary import

requirements”, as the replacement terms were either Glossary terms or included Glossary terms. The SC also added reference to “other regulated articles” as not all regulated articles are plants or plant products.

- [83] **General import authorizations.** The SC considered the first item in the list of examples of circumstances under which SIAs may be transferred to general import authorizations: when SIAs become routine. One SC member suggested that the transfer to general import authorizations does not depend simply on the number of SIAs, but there also needs to have been no problems with those SIAs. The member therefore suggested that the text in parentheses be amended to read “(i.e. when SIAs have been issued multiple times for the same situation throughout a certain period *with no problems*)”. Another SC member commented that some SIAs, such as imports for research purposes, would not usually qualify for general import authorization as the articles concerned were high-risk products, so such imports would remain as SIAs. The Steward reiterated, however, that although this is the case, ISPM 20 does say that general authorizations are encouraged when SIAs become routine, which was why the EWG had included “when SIAs become routine” as an example of a situation under which SIA may be transferred to general import authorization. A further SC member wondered whether it was the explanatory text in parentheses that was causing the difficulties with this list item, and suggested that perhaps it was better to delete this text altogether, thereby leaving it to the NPPO to decide what they consider to be “routine”. The SC agreed and deleted the whole text in parentheses.

Potential implementation issues

- [84] The SC identified no potential implementation issues relating to the draft annex to ISPM 20.
- [85] The SC:
- (5) *noted* the meeting report of the EWG on the Draft Annex to ISPM 20: Use of specific import authorization (2008-006);
 - (6) *approved* the draft annex *Use of specific import authorization* (2008-006) to ISPM 20 (*Guidelines for a phytosanitary import regulatory system*) as modified in this meeting for submission to the first consultation (Appendix 5).

4.3 Draft revision of ISPM 18 (*Requirements for the use of irradiation as a phytosanitary measure*) (2014-007), Priority 1

- [86] The Steward, David OPATOWSKI (Israel), introduced the draft ISPM and supporting documentation,⁶ and highlighted some of the issues arising from the OCS review.
- [87] The SC discussed these issues while they reviewed the draft ISPM. The Assistant Steward joined the meeting towards the end of this review to answer SC queries about the draft text.

Review of draft ISPM and outstanding issues

- [88] **Authorization of treatment providers.** One SC member commented that the terms “facilities” and “treatment providers” were used almost synonymously in this draft ISPM, but a “treatment provider” is the organization applying the treatment (and responsible for documentation, record keeping and so on) and a “facility” is the physical place where the treatment takes place. The SC considered whether “operator” could be used instead of “treatment provider”, as in the current ISPM 18 where “facility operator” is used, but agreed that this would not address the issue. The SC agreed to use both “facility” and “treatment provider”, and agreed that it was not necessary to explain the difference between them, but did consider whether it would be helpful to have a separate section on authorization of treatment providers. To explore this, the SC extracted some text from ISPM 43 (*Requirements for the use of fumigation as a phytosanitary measure*) and modified it to suit irradiation treatments. The SC recognized, however, that the arrangements for authorization of irradiation treatment providers may well be different to those for fumigation providers. The Secretariat clarified that the Technical Panel on

⁶ 2014-007; 2014-007_OCS; 08_SC_Tel_2021_May; Specification 62: <https://www.ippc.int/en/publications/81066/>; meeting reports for Technical Panel on Phytosanitary Treatments: <https://www.ippc.int/en/core-activities/standards-setting/expert-drafting-groups/technical-panels/technical-panel-phytosanitary-treatments/>

Phyosanitary Treatments had been mindful, when drafting the text, that for irradiation treatments, approving the facility is the main part of authorization and the provider is not separate from the facility. The SC therefore decided not to add a separate section on authorization nor to refer to authorization of treatment providers in the Outline of requirements, but instead to briefly refer to authorization of treatment providers in the section on Approval of facilities.

[89] **Outline of requirements.** The SC Chairperson queried whether it is the NPPO that ensures that the minimum absorbed dose has been reached, or that the NPPO is *responsible* for ensuring this. The SC agreed it was the latter and amended the text accordingly.

[90] **Irradiation application: minimum absorbed dose in the case of re-treatment.** The Steward explained that even though the maximum absorbed dose does not affect the efficacy of the treatment, it may be important for quality and safety issues and so it had seemed appropriate to include a caveat to say that, if applying re-treatments, the maximum absorbed dose total from all treatments (i.e. the initial treatment and the re-treatment) needs to be within the limits allowed by the importing country. The SC agreed.

[91] **Dosimetry.** One SC member commented that although one can refer to the dose range increasing, it does not make sense to refer to dose distribution increasing; the member therefore queried whether the intended meaning was that the dose distribution may become more irregular. The SC referred the matter to the Assistant Steward, who confirmed that the words “and the dose distribution” should be deleted.

[92] **Monitoring and auditing.** The SC considered a comment made during the OCS review, which had suggested that the following sentence be added to the section on Monitoring and auditing: “The NPPO of the importing country may establish cooperative approval and audit procedures with the NPPO of the exporting country to verify requirements”. The SC considered whether “joint” was better than “cooperative”, but agreed that neither was needed because the joint or cooperative nature of the approval was already implied if it was agreed between the NPPOs of the importing and exporting countries. The SC agreed and added this extra sentence as modified.

[93] **Inspection.** The SC considered a suggestion made during the OCS review that the text concerning the implications of finding live target pests should be modified. Two proposals for draft text had been made: one suggesting minimal changes, and the other with more substantial changes. The Steward commented that he found the latter text clearer than the original draft text, but was concerned that it left out the final two sentences of the original draft text, which had referred to further observations of live pests being undertaken to ensure that the required response is achieved. The SC referred the matter to the Assistant Steward, who agreed with the new text that had the more substantial changes. The SC therefore applied the latter.

Potential implementation issues

[94] The Steward confirmed that one comment on potential implementation issues had been made during the OCS review, concerning the concept of using the treatment on vectors. The Steward suggested, however, that the SC wait until after the first consultation to consider this. The SC therefore agreed to wait until after the first consultation to consider potential implementation issues.

[95] The SC:

- (7) *approved* the draft revision of ISPM 18 (*Requirements for the use of irradiation as a phytosanitary measure*) (2014-007) as modified in this meeting for submission to the first consultation (Appendix 6).

4.4 Draft amendments to ISPM 5 (*Glossary of phytosanitary terms*) (1994-001), Priority 1

[96] The Steward for the Technical Panel for the Glossary (TPG), Laurence BOUHOT-DELDUC (France), introduced the 2021 draft amendments to ISPM 5,⁷ which had been submitted for SC comment through the OCS.

[97] The SC discussed the following issues and reviewed the draft amendments.

Additions

[98] **“identity (of a consignment)” (2011-001).** The SC considered the suggestion made during the OCS review that “components” be replaced by “articles” or “constituents”. The Steward explained that the TPG had intentionally not used “articles”, as it would not necessarily be clear to everyone that it was referring to individual units of the commodity rather than the commodity. The TPG had considered whether the term “constituents” would be clearer, but had agreed that “components” would be better. The Steward invited comment from the SC, and the SC expressed a preference for keeping “components”.

[99] The SC therefore agreed with the TPG’s proposal for addition without modification.

[100] **“general surveillance” (2018-046).** The Steward explained that the difference between “data” and “information” had been raised during the OCS review, and the Steward had clarified that “data” referred to the raw collected material, which then becomes “information” once it has been analysed and verified.

[101] The SC discussed the official nature of general surveillance. One SC member reiterated the comment made during the OCS review that general surveillance is not necessarily an official process, as ISPM 6 allows for varying degrees of involvement by the NPPO and hence it may only be part of the process that is official in nature. The member therefore suggested that “official” be deleted in the definition. The Steward responded that surveillance is an official process according to the current Glossary definition of “surveillance”, and that general surveillance also includes analysis and verification of the data, which are activities undertaken by the NPPO and so are official. One SC member suggested moving the word “official” to before “verified” in the definition, because it is only the verification part of the process that is always official. The Steward suggested that it would be better to put “official” before “analysed”, but commented that the NPPO is also responsible for collecting the data (even if some of them come from non-official sources), so she did not think it was necessary to remove or move “official”. Another SC member noted that ISPM 6 says that surveillance is one of the main functions of NPPOs, which supports the idea that general surveillance is an official process. With regard to ISPM 6, one SC member commented that it was the text of ISPM 6 section 2.1.1 (Approaches to general surveillance) that was erroneous rather than the proposed definition, if the intended meaning of “general surveillance” was the activity of an NPPO collecting data from various sources. The member acknowledged, however, that the changes needed to ISPM 6, which also had internal contradictions within it, would probably require a focused revision rather than simply ink amendments. The SC noted that it might be difficult to pursue changes to ISPM 6 given that it had only recently been revised, so concluded that the best course of action was to leave the TPG draft definition unchanged and to wait and see the comments submitted during first consultation. The Steward also clarified that the TPG would discuss the issues regarding ISPM 6.

[102] The SC therefore agreed with the TPG’s proposal for addition and did not make any changes.

[103] **“specific surveillance” (2018-047).** As with “general surveillance”, comments had also been made in the OCS review about “data” vs “information” in the definition of “specific surveillance”. The Steward reiterated that although “data” and “information” are often used synonymously, a distinction is sometimes made, with “information” being processed data. The TPG had decided to use “data” in the

⁷ 1994-001; 1994-001_OCS; TPG meeting reports: <https://www.ippc.int/en/core-activities/standards-setting/expert-drafting-groups/technical-panels/technical-panel-glossary-phytosanitary-terms-isp-5/>

definition of “general surveillance” because it was necessary to refer to the raw material collected (the data), which then needed analysing and verifying by the NPPO because it came from various sources; but in specific surveillance, the data are official because they come from surveys, so there was no need to distinguish these the different stages of the process in the definition and hence the TPG had used “information” as a compressed way of saying “collect and analyse data”. The Steward commented, however, that the distinction between “data” and “information”, and the reason for this difference between the two definitions, may not be apparent to everyone, so it might be better to use the same term, “data”, in both definitions. The SC considered the issue and expressed a preference for keeping “information” in the definition of “specific surveillance”.

[104] The SC therefore agreed with the TPG’s proposal for addition without modification.

Revisions

[105] **“surveillance” (2020-009).** The SC considered a suggestion made during the OCS review that the definition of “surveillance” should allow for the possibility of “surveillance” being a combination of both general surveillance and specific surveillance. The SC considered whether the suggested modification was necessary, as even without this the definition still allowed for the combination of both general and specific surveillance. The Steward commented, however, that although it might be superfluous, it is clearer to say “or a combination of both”, and the SC agreed.

[106] The SC therefore agreed to modify the TPG’s proposed revision to encompass general surveillance, specific surveillance or a combination of both.

[107] **“integrity (of a consignment)” (consequential).** The Steward highlighted that the SC had modified the draft definition during the OCS review to refer to *any* seals or packaging rather than *its* seals or packaging, to allow for situations where there are no seals. The Steward invited the SC to comment on whether the definition should also refer to the seals or packaging being unchanged, and recalled that the TPG had concluded that it was not of phytosanitary concern if the packaging was changed, only if it was damaged. One SC member expressed some doubt over both “unchanged” and “undamaged”, commenting that for the latter it would be necessary to evaluate whether the damage is minor or not. The Steward responded that if the packaging was damaged, this would surely be of phytosanitary concern. Another SC member wondered whether it was possible for seals to be undamaged if the packaging is changed, and so suggested that the definition not refer to packaging being unchanged. The Steward suggested that if there was no consensus, the TPG proposal should be submitted for consultation unmodified.

[108] The SC therefore agreed to the TPG’s proposal for addition without modification, and to review the issue of “unchanged” and “undamaged” again after first consultation.

[109] **“phytosanitary security (of a consignment)” (2013-008).** Citing Article IV.2(g) of the IPPC, the Steward noted that, contrary to the conclusion reached by the TPG, the maintenance of integrity may involve phytosanitary measures, and hence the comma that the TPG had intentionally inserted after “integrity has been maintained” could be deleted. The SC therefore modified the TPG’s proposed definition to delete the comma.

[110] **“germplasm” (2020-005).** One SC member suggested that “and seeds” be inserted after “plants” in the draft definition, to provide greater clarity. The Steward explained, however, that this change was not needed because seeds are included in the Glossary definition of “plants” and so are a subset of “plants for planting” according to the Glossary definition of “seeds” which are “for planting”. She clarified that although the Scope section of ISPM 36 (*Integrated measures for plants for planting*) says that ISPM 36 excludes seeds, this only means that the ISPM does not cover seeds, not that “plants for planting” excludes seeds. The Steward also confirmed that tissue cultures that are intended for use in breeding or conservation programmes are considered to be germplasm and therefore are another subset of plants for planting.

[111] The SC therefore agreed with the TPG’s proposed revision without modification.

- [112] **“emergency measure” (2020-004).** One comment submitted during the OCS review had pointed out that there may be an outbreak of a pest for which phytosanitary measures exist to prevent its introduction, but the outbreak represents a new or unexpected situation for which the existing measures are inadequate and so emergency measures are required. The Steward explained that she had therefore reinstated “new or unexpected situation” in the definition. She had also changed “introduction or spread” to “entry, establishment or spread” because sometimes measures are only directed to one of these three steps. In response to a further comment made during the OCS review, the Steward had removed the word “prompt”, as this was no longer needed following the replacement of “set up” with “introduced”. The Steward had also accepted to replace “covered” with “addressed” to improve clarity.
- [113] The SC agreed with the revised definition as modified by the Steward.
- [114] **“provisional measure” (2020-008).** The Steward confirmed that there had been no SC comments on this term during the OCS review, but she proposed that “introduction or spread” be changed to “entry, establishment or spread” for consistency with the proposed definition of “emergency measure” agreed during this meeting. The SC agreed and modified the definition accordingly.
- [115] **“inspection” (2017-005).** Only one comment had been made during the OCS review, which was to delete the word “other” in relation to phytosanitary requirements. The Steward explained that the TPG had used “*other* phytosanitary requirements” to distinguish these phytosanitary requirements from the phytosanitary requirement represented by the phrase “to determine if pests are present” earlier in the definition. She acknowledged that “other” could be deleted if the SC preferred, and the SC decided to delete it.
- [116] The SC agreed with the TPG proposal for revision as modified.
- [117] **“test” (consequential).** The Steward confirmed that although one amendment had been suggested during the OCS review (to refer to the pest being *detected* rather than *present*), she had responded to this to explain that the amendment would not add clarity. The SC agreed. The SC therefore agreed with the TPG proposal for revision without modification.
- [118] **“compliance procedure (for a consignment)” (consequential).** During the OCS review it had been suggested that “relevant” be deleted before “phytosanitary measures”. The Steward explained that the TPG had added this because phytosanitary measures were not always required in a transit situation. The Steward acknowledged, however, that “relevant” could imply that there were also “non-relevant” phytosanitary measures related to transit. The SC therefore decided to delete “relevant”.
- [119] The Steward clarified that she had amended the proposed definition to refer to a consignment *meeting* rather than *complying with* phytosanitary requirements, which had been agreed by the TPG for consistency with ISPM 12 (*Phytosanitary certificates*) but had been accidentally omitted from the proposed revised definition. She added, however, that even if ISPM 12 uses “meets”, “complies with” could still be used as *compliance* is used in relation to consignments. The IPPC Editor confirmed that “meets” is indeed normally used in ISPMs but – consistency aside – expressed a preference for “complies with” in this case. The SC agreed to keep “complies with”.
- [120] The SC agreed with the TPG proposal for revision as modified.
- [121] **“release (of a consignment)” (consequential).** The Steward confirmed that there had been no comments from SC members during the OCS review. The SC agreed with the TPG proposal for revision and did not make any changes.

Deletions

- [122] **“clearance (of a consignment)” (2018-045).** The Steward confirmed that there had been no comments from SC members during the OCS review. The SC agreed with the TPG proposal for deletion.

New subjects for the TPG work programme

[123] The SC noted that a few of the terms discussed were consequential changes to terms that had arisen during the TPG's work on terms that were on the work programme. The Secretariat and the Steward explained that the TPG had worked on these additional terms as well as the ones already on the work programme because they were inextricably linked, and had presented the terms as complete packages to the SC. The SC was invited to add these additional terms – “integrity (of a consignment)”, “test”, “compliance procedure (for a consignment)” and “release (of a consignment)” – to the work programme of the TPG. The SC agreed.

Potential implementation issues

[124] The SC identified no potential implementation issues relating to the draft 2021 amendments to ISPM 5.

[125] The SC:

- (8) *agreed* to add the subjects “integrity (of a consignment)”, “test”, “compliance procedure (for a consignment)” and “release (of a consignment)” to the work programme of the TPG;
- (9) *approved* the draft 2021 amendments to ISPM 5 (*Glossary of phytosanitary terms*) (1994-001) as modified in this meeting for submission to the first consultation (Appendix 7).

5. SC recommendations for CPM-16 (2022) or CPM Bureau decisions and discussions

[126] The SC noted that there were no recommendations for CPM-16 (2022) or the CPM Bureau at this time.

6. Review of the standard setting calendar

[127] The Secretariat explained that the standard setting calendar is presented on the IPP,⁸ and drew the attention of the SC to forthcoming SC meetings, EWGs and calls. Two EWGs are scheduled – one in July on an annex to ISPM 37 (*Determination of host status of fruit to fruit flies*) and another in October on an annex to ISPM 38 (*International movement of seeds*) – and the calls for experts for these groups were currently ongoing. A call for DP authors and a 2021 Call for Topics had also been opened.

7. Any other business

[128] There was no other business.

8. Date and type of the next SC meeting

[129] The next SC meeting will be a focused meeting on 23–24 June 2021 in virtual mode.

[130] One SC member commented that it would be helpful, when meetings are rearranged, if adequate notice of the change is given. The member also highlighted that if participation in the focused meetings is low, maybe it is better not to have these meetings, to be fair on those that are participating.

9. Evaluation of the meeting process

[131] The SC Chairperson encouraged all SC members and observers to complete the evaluation of the meeting via the link provided on the agenda for this meeting.

10. Close of the meeting

[132] The SC Chairperson thanked everyone, including the SC members, observers, translators and Secretariat, and offered special thanks to the outgoing SC members. The contribution of Laurence BOUHOT-DELDUC as Rapporteur for many SC meetings over recent years was particularly noted.

⁸ IPP calendar: <https://www.ippc.int/en/year/calendar/>

[133] The Acting IPPC Officer-in-Charge added his thanks for everyone's contributions, especially given the current challenging times.

[134] The SC Chairperson closed the meeting.

Appendix 1: Agenda

N	Agenda item	Document number / link	Presenter / IPPC Secretariat support
1.	Opening of the Meeting		
1.1.	Welcome by the IPPC Secretariat		NERSISYAN (OiC for IPPC daily matters) MOREIRA (OiC for SSU daily matters)
2.	Meeting Arrangements		
2.1.	Election of the Chairperson	–	MOREIRA
2.2.	Election of the Rapporteur	–	Chairperson
2.3.	Adoption of the Agenda	01_SC_Tel_2021_May	Chairperson
3.	Administrative Matters		
3.1.	Documents list	02_SC_Tel_2021_May	MUSHEGYAN
3.2.	Participants list	03_SC_Tel_2021_May SC membership list	MUSHEGYAN
3.3.	Standard Setting Unit staff	Link to standard setting staff	MUSHEGYAN
4.	Draft ISPMs for approval for the first consultation		
4.1.	Revision of ISPM 4 (Requirements for the establishment of pest free areas) (2009-002), Priority 4 - Steward: Ms Marina ZLOTINA <ul style="list-style-type: none"> Specification 58 (for information) Potential operational and technical implementation issues Steward's notes EWG meeting report 	2009-002 2009-002_OCS Specification 58 04_SC_Tel_2021_May 05_SC_Tel_2021_May_Rev1 Link to the EWG meeting report	ZLOTINA / MOREIRA
	<ul style="list-style-type: none"> Proposed restructure of ISPM 4 – paper for discussion 	07_SC_Tel_2021_May	
4.2.	Use of specific import authorization (Annex to ISPM 20: Guidelines for a phytosanitary import regulatory system) (2008-006), Priority 4 - Steward: Mr Ezequiel FERRO <ul style="list-style-type: none"> Specification 64 (for information) Steward's notes and potential implementation issues EWG meeting report 	2008-006 2008-006_OCS Specification 64 06_SC_Tel_2021_May_Rev1 Link to the EWG meeting report	FERRO / SHAMILOV
4.3.	Draft revision of ISPM 18 (Requirements for the use of irradiation as a phytosanitary measure) (2014-007), Priority 1 - Steward: Mr David OPATOWSKI <ul style="list-style-type: none"> Specification 62 (for information) Steward's notes TPPT report 	2014-007 2014-007_OCS Specification 62 08_SC_Tel_2021_May Link to the TPPT meeting reports	OPATOWSKI / HALLMAN / KISS
4.4.	Draft 2021 Amendments to ISPM 5: Glossary of phytosanitary terms (1994-001), Priority 1 - Steward: Ms Laurence BOUHOT-DELDUC <ul style="list-style-type: none"> TPG report 2020-2021 	1994-001 1994-001_OCS Link to the TPG meeting reports	BOUHOT-DELDUC / SHAMILOV

5.	SC recommendations for CPM-16 (2022) or CPM Bureau decisions and discussions		Chairperson
6.	Review of the standard setting calendar	Link to the IPP calendar	MUSHEGYAN
7.	Any other business		Chairperson
8.	Date and type of the next SC Meeting		Chairperson
9.	Evaluation of the meeting process	Link to survey	Chairperson
10.	Close of the meeting		Chairperson

Appendix 2: Documents list

DOCUMENT NO.	AGENDA ITEM	DOCUMENT TITLE	DATE POSTED / DISTRIBUTED
Draft ISPMs for approval for the first consultation (“_OCS” – out of OCS)			
2009-002 2009-002_OCS	4.1	Revision of ISPM 4 (Requirements for the establishment of pest free areas) (2009-002), Priority 4	2021-03-01 2021-04-26
1994-001 1994-001_OCS	4.4	Draft 2021 Amendments to ISPM 5 (1994-001)	2021-03-04 2021-04-26
2008-006 2008-006_OCS	4.2	Use of specific import authorization (Annex to ISPM 20: Guidelines for a phytosanitary import regulatory system) (2008-006), Priority 4	2021-03-11 2021-04-26
2014-007 2014-007_OCS	4.3	Draft revision of ISPM 18 (Requirements for the use of irradiation as a phytosanitary measure) (2014-007), Priority 1	2021-03-29 2021-04-26
Meeting documents			
01_SC_Tel_2021_May	2.3	Agenda	2021-03-15 2021-04-06 2021-04-26
02_SC_Tel_2021_May	3.1	Documents list	2021-04-26
03_SC_Tel_2021_May	3.2	Participants list	2021-04-26
04_SC_Tel_2021_May	4.1	Potential operational and technical implementation issues (Revision of ISPM 4)	2021-04-06
05_SC_Tel_2021_May 05_SC_Tel_2021_May_Rev1	4.1	Steward's notes (Revision of ISPM 4)	2021-04-06 2021-05-04
06_SC_Tel_2021_May 06_SC_Tel_2021_May_Rev1	4.2	Steward's notes (Use of specific import authorization)	2021-04-12 2021-05-04
07_SC_Tel_2021_May	4.1	Proposed restructure of ISPM 4 – paper for discussion	2021-04-26
08_SC_Tel_2021_May	4.3	Steward's notes (Draft revision of ISPM 18)	2021-04-28

Documents links (presented in the order of the agenda items)

Links	Agenda item	Document link
SC membership list	3.2	SC membership list
Standard Setting Unit staff	3.3	Link to standard setting staff
Specification 58 (for information)	4.1	Specification 58
EWG meeting report (Revision of ISPM 4)	4.1	Link to the EWG meeting report
Specification 64 (for information)	4.2	Specification 64
EWG meeting report (Use of specific import authorization)	4.2	Link to the EWG meeting report
Specification 62 (for information)	4.3	Specification 62
TPPT report	4.3	Link to the TPPT meeting reports
TPG report 2020-2021	4.4	Link to the TPG meeting reports
Review of the standard setting calendar	6	Link to the IPP calendar
Evaluation of the meeting process	9	Link to survey

Appendix 3: Participants list

Region / Role	Name, mailing address, telephone	Email address	Membership Confirmed	Term expires
Africa Member	Ms Alphonsine LOUHOARI TOKOZABA Ministère de l'Agriculture et de l'Elevage, 24, rue KiéléTenard, Mfilou, Brazzaville, REPUBLIC OF CONGO Tel: +242 01 046 53 61 Tel: +242 04 005 57 05	louhouari@yahoo.fr A.louhouaritoko@gmail.com	CPM-13 (2018) 1 st term / 3 years	2021
Africa Member SC-7	Mr David KAMANGIRA Senior Deputy Director and IPPC Focal Point Department of Agricultural Research Services Headquarters, P.O. Box 30779, Lilongwe 3 MALAWI Tel: +265 888 342 712 Tel: +265 999 122 199	davidkamangira1@gmail.com	CPM-11 (2016) CPM-14 (2019) 2 nd term / 3 years	2022
Asia Member	Ms Chonticha RAKKRAI Director, Plant Quarantine Research Group, Plant Protection Research and Development Office, Department of Agriculture, 50 Phaholyothin Rd., Ladyao, Chatuchak, Bangkok, 10900 THAILAND Tel: (+66) 2561 2537 Fax : (+66) 2561 2146 Mobile: (+66) 8 9128 6488	rakkrai@yahoo.com chonticha.r@doa.in.th	CPM-14 (2019) 1 st term / 3 years	2022
Asia Member	Mr. Gerald Glenn F. PANGANIBAN Assistant Director for Operations and Administration, Bureau of Plant Industry, 692 San Andres Street, Malate, Manila, PHILIPPINES Tel: +639153141568	gfpanganiban@gmail.com gerald_glenn97@hotmail.com	Replacement member for Ms Jayani Nimanthika WATHUKARA CPM-13 (2018) 1 st term / 3 years	2021
Asia Member SC-7	Mr Masahiro SAI Senior Researcher (Head of Section) Risk Analysis Division Yokohama Plant Protection Station Ministry of Agriculture, Forestry and Fisheries (MAFF) JAPAN Tel: +81-45-211-0375	masahiro_sai670@maff.go.jp	CPM-13 (2018) 1 st term / 3 years	2021
Asia Member	Mr Xiaodong FENG Deputy Director of the Division of Plant Quarantine, NATESC Ministry of Agriculture No. 20, Maizidian Street, Chaoyang District, Beijing 100125 CHINA Tel: (8610)59194524	fengxdong@agri.gov.cn	CPM-13 (2018) 1 st term / 3 years	2021

Europe Member	Ms Laurence BOUHOT-DELDUC Plant health section Sub-directorate for plant quality, health and protection Department of Sanitary Action in primary production General directorate for food Ministry of agriculture and food 251 rue de Vaugirard 75732 PARIS CEDEX 15 FRANCE Tel: +33 149558437	laurence.bouhot- delduc@agriculture.gouv.fr	CPM-10 (2015) CPM-13 (2018) 2 nd term / 3 years	2021
Europe Member	Ms Mariangela CIAMPITTI Servizio Fitosanitario DG Agricoltura Regione Lombardia Piazza Città di Lombardia 1 20124 Milano ITALY Tel: (+39) 3666603272	mariangela_ciampitti@regi one.lombardia.it	CPM-14 (2019) 1 st term / 3 years	2022
Europe Member SC-7	Mr Samuel BISHOP Plant Health Policy team Room 11G35 Department for Environment, Food and Rural Affairs National Agri-Food Innovation Campus Sand Hutton York North Yorkshire UNITED KINGDOM YO41 4LZ Tel: +44 (0) 2080262506 Mob.: +44 (0) 7827976902	sam.bishop@defra.gsi.gov .uk	CPM-13 (2018)	2021
Europe Member	Mr David OPATOWSKI Head, Plant Biosecurity, Plant Protection and Inspection Services (PPIS), P.O.Box 78, Bet Dagan, 50250 ISRAEL Tel: 972-(0)3-9681518 Mob.: 972-(0)506-241885 Fax: 972-(0)3-9681571	dopatowski@yahoo.com davido@moag.gov.il	CPM-1 (2006) CPM-4 (2009) CPM-12 (2017) 3 rd term / 3 years	2020
Latin America and Caribbean Member	Mr André Felipe C. P. da SILVA Federal Inspector Quarantine Division Ministry of Agriculture, Live Stock and Food Supply BRAZIL Tel: (61) 3218-2925	andre.peralta@agricultura. gov.br	CPM-14 (2019) 1 st term / 3 years	2022
Latin America and Caribbean Member SC- 7	Mr Hernando Morera GONZÁLEZ Pest Risk Analyst Servicio Fitosanitario del Estado 300 Sur de Teletica, Sabana Sur, San José, COSTA RICA Tel: +(506) 8660-8383	hmorera@sfe.go.cr	CPM-13 (2018) 1 st term / 3 years	2021
Latin America and Caribbean Member SC Chairperson	Mr Ezequiel FERRO Dirección Nacional de Protección Vegetal - SENASA Av. Paeso Colón 315 C.A. de Buenos Aires ARGENTINA Tel/Fax: (+5411) 4121-5091	eferro@senasa.gov.ar	CPM-14 (2019) 3 rd term / 3 years	2022

Latin America and Caribbean Member	Mr Álvaro SEPÚLVEDA LUQUE Servicio Agrícola y Ganadero División de Protección Agrícola y Forestal Av. PresidenteBulnes 140, 4 th floor, Santiago, CHILE Tel: + 56-2 234 5120	alvaro.sepulveda@sag.gob.cl	CPM-10 (2015) CPM-13 (2018) 2 nd term / 3 years	2021
Near East Member SC-7	Mr Nader ELBADRY Phytosanitary Specialist, Central Administration of Plant Quarantine, 6 Michel Bakhoum St., Dokki, Giza, EGYPT Tel: +201096799493	nader.badry@gmail.com	Replacement member for Mr Abdulqader Khudhair ABBAS CPM-13 (2018) 1 st term / 3 years	2021
Near East Member	Mr Abdelmoneem Ismaeel ADRA ABDETAM Manger of plant Quarantine and plant protection Directorate, Ministry of Agriculture and Forestry, Khartum SUDAN Tel: +24991238939 / +249 912138939	ppdsudan@hotmail.com moneem2018@outlook.com	CPM-13 (2018) 1 st term / 3 years	2021
North America Member SC-7	Ms Marina ZLOTINA IPPC Technical DirectorUSDA-APHIS, Plant Protection and Quarantine (PPQ) 4700 River Rd, 5c-03.37 Riverdale, MD 20737 USA Tel: 1-301-851-2200 Cell: 1 -301-832-0611	Marina.A.Zlotina@aphis.usda.gov	CPM-10 (2015) CPM-13 (2018) 2 nd term / 3 years	2021
North America Member	Mr Steve CÔTÉ National Manager, International Phytosanitary Standards Plant Import/Export Division 59 Camelot Drive, Ottawa, Ontario K1A 0Y9 CANADA Tel: (+1) 613-773-7368 Fax: (+1) 613-773-7576	Steve.Cote@canada.ca	Replacement member for Mr Rajesh RAMARTHNAM CPM-11 (2016) CPM-14 (2019) 1 st term / 3 years	2022
Southwest Pacific Member	Ms Joanne WILSON Principal Adviser, Risk Management Plant Imports Group Ministry for Primary Industries. NEW ZEALAND Tel: +64 489 40528 Mob: +64 2989 40528	joanne.wilson@mpi.govt.nz	CPM-14 (2019) 1 st term / 3 years	2022
Southwest Pacific Member SC-7	Ms Sophie Alexia PETERSON Assistant Director Plant Health Policy Biosecurity Plant Division Department of Agriculture and Water Resources GPO Box 858, Canberra ACT 2601 AUSTRALIA Tel: (+61) 2 6272 3769 Mobile: +61 402 313 170	sophie.peterson@agriculture.gov.au	Replacement member for Mr Bruce HANCOCKS CPM-12 (2017) 1 st term / 3 years	2020

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Appendix 4: Draft ISPM on Revision of ISPM 4 (*Requirements for the establishment of pest free areas*) (2009-002) as modified in this meeting for submission to the first consultation

DRAFT ISPM: Revision of ISPM 4 (*Requirements for the establishment of pest free areas*) (2009-002)

Status box

This is not an official part of the standard and it will be modified by the IPPC Secretariat after adoption.	
Date of this document	2021-05-21
Document category	Draft revision of ISPM
Current document stage	To first consultation
Major stages	<p>2009-11 SC recommended topic <i>Revision to ISPM 4</i> (Requirements for the establishment of pest free areas) (2009-002) be added to the work programme.</p> <p>2010-03 CPM-5 added topic to the work programme with high priority (subsequently changed to priority 4 by CPM-10).</p> <p>2010-11 SC deferred.</p> <p>2013-11 SC approved Specification 58.</p> <p>2015-10 Secretariat revised Specification 58 to incorporate task on references to ISPM 4 as requested by the 2014-11 SC.</p> <p>2020-12 / 2021-01 Expert working group met virtually and drafted standard.</p> <p>2021-05 SC revised and approved for first consultation.</p>
Steward history	<p>2015-11 SC Marina ZLOTINA (US, Lead Steward)</p> <p>2019-05 SC David KAMANGIRA (MW, Assistant Steward)</p>
Notes	<p>THIS IS A DRAFT DOCUMENT</p> <p>2021-02 Edited</p> <p>2021-05 Edited</p>

CONTENTS [to be inserted]

Adoption

- [1] Text to this paragraph will be added following adoption.

INTRODUCTION

Scope

- [2] This standard describes the requirements for initiating, establishing and maintaining pest free areas (PFAs) as a phytosanitary measure to attain or maintain the pest freedom of an area, support the phytosanitary certification of plants, plant products and other regulated articles exported from the PFA, or support the scientific justification for phytosanitary measures required by an importing country for protection of an endangered area.
- [3] This standard does not cover pest free places of production or pest free production sites, the requirements for which can be found in ISPM 10 (*Requirements for the establishment of pest free places of production and pest free production sites*).

References

- [4] The present standard refers to ISPMs. ISPMs are available on the International Phytosanitary Portal (IPP) at <https://www.ippc.int/core-activities/standards-setting/ispms>.

Definitions

- [5] Definitions of phytosanitary terms used in this standard can be found in ISPM 5 (*Glossary of phytosanitary terms*).

Outline of requirements

- [6] A PFA is a phytosanitary measure that may be used to facilitate safe trade and protect plant resources. National plant protection organizations (NPPOs) should consider a PFA to be a phytosanitary measure that, when used alone, is sufficient for managing pest risk and meeting an importing country's appropriate level of protection.
- [7] When initiating, establishing or maintaining a PFA, NPPOs should follow the requirements outlined in this standard. Requirements include systems to establish pest freedom, systems to maintain pest freedom, verification that pest freedom has been attained or maintained, appropriate corrective actions for pest detections, proper documentation of these systems and appropriate record keeping, and transparency and stakeholder communication. The phytosanitary measures used to establish or maintain the PFA should be based on an assessment of pest risk.

BACKGROUND

- [8] A PFA is recognized as one of the phytosanitary measures that may be used to facilitate safe trade and protect the plant resources of an area for agricultural, forestry or ecological conservation purposes.
- [9] This establishes the linkage of PFAs to pest risk management and is outlined as one of the operational principles in ISPM 1 (*Phytosanitary principles for the protection of plants and the application of phytosanitary measures in international trade*). Where economically beneficial, PFAs can also offer a cost-effective risk mitigation option for NPPOs and industry in both importing and exporting countries. One of the responsibilities of NPPOs, according to Article IV.2(e) of the IPPC, is the designation, maintenance and surveillance of PFAs.
- [10] A PFA may be established as a phytosanitary measure for various purposes, including:
- protecting areas of plant production or ecological conservation in importing or exporting countries;
 - increasing the market-access opportunities for exporting countries.
- [11] A PFA may be applied to an entire country or part of it. A PFA may, as appropriate, include the territory of all or parts of several countries. Within a single country, more than one PFA may be established for the same pest, depending on the geographical nature of the country, the distribution of the pest and its hosts and the biology of the pest.
- [12] When a PFA is established it is usually for one specific pest, but a PFA may also be established for a group of pests with similar biology. In this standard, “pest” is used hereafter to refer to “pest or group of pests”.

IMPACTS ON BIODIVERSITY AND THE ENVIRONMENT

- [13] This standard may contribute to the protection of biodiversity and the environment by preventing the introduction of regulated pests into an area (either a whole country or part of a country). When establishing and maintaining PFAs, countries are encouraged to consider phytosanitary procedures that minimize impact on the environment.

REQUIREMENTS

- [14] A PFA should be considered a phytosanitary measure that, when used alone, is sufficient for managing the pest risk associated with a specific pest. Where a PFA has been established in full conformity with this standard, additional phytosanitary measures in relation to the specified pest should not be required.
- [15] There are several requirements that should be met for a PFA to be established and to be used as a phytosanitary measure for trade, as detailed below. Depending on the pest concerned, an individual or a combination of phytosanitary measures may be used to meet each requirement. The selection of these phytosanitary measures should be risk-based and in accordance with the principles of the IPPC.
- [16] Requirements for the establishment and maintenance of a PFA as a phytosanitary measure by an NPPO include:
- systems to establish pest freedom;
 - systems to maintain pest freedom;
 - verification that pest freedom has been attained or maintained;
 - corrective actions for detections of the pest;
 - documentation of these systems and appropriate record keeping;
 - transparency and stakeholder communication.
- [17] Pest free areas may take significant time and resources to establish and maintain. To ensure that a PFA achieves its objectives, the following elements should be considered:
- the requirement that measures used to establish and maintain a PFA should be based on the biology of the pest of concern, the relevant pathways and the characteristics of the PFA;
 - the existence of an appropriate legislative framework to support the establishment and maintenance of the PFA;
 - the feasibility of the PFA in terms of resources:
 - economic considerations based on a cost-benefit analysis,
 - the availability of human resources and technical expertise;
 - the availability of stable funding over the long term;
 - the support from relevant stakeholders, such as domestic industries and local regulatory bodies;
 - the importance of communicating with and raising awareness among other NPPOs, stakeholders and the general public.

1. Initiation of a pest free area

1.1 Pest and area to be controlled

- [18] When initiating a PFA, an NPPO should first characterize the pest – including the scientific name of the pest, valid identification methods and relevant aspects of its biology – and identify the area that is being considered for pest freedom. The area may be the entire country, a part of a country, or all or part of several countries.

1.2 Suitability of ecological conditions in the area

- [19] The NPPO of the country in which the area is situated should determine the presence of host plants in the area. Potential differences in host susceptibility in the specified area, the climatic suitability of the area, and the potential for entry and establishment of the pest in the area should also be considered.

1.3 Identification of the area

- [20] The area being considered for pest freedom should be described specifically enough to allow it to be readily identified. This is important when NPPOs are providing evidence to support the claim that the

area is free of the pest, but also when NPPOs are subsequently reporting the pest status of the PFA and when raising public awareness.

- [21] Pest free areas may be delimited by natural barriers such as bodies of water, mountains, deserts or other geographical features that prevent pest movement from one area to another.

2. Establishment of the pest free area

2.1 Surveillance activities before establishment

- [22] Once the target pest has been characterized and the area identified, the NPPO should determine the pest status in the area. To do this, the NPPO should conduct surveillance in accordance with the requirements outlined in both ISPM 6 (*Surveillance*) and ISPM 8 (*Determination of pest status in an area*). These standards describe how surveillance should be conducted and how to establish the evidence necessary to determine the status of a pest in an area.
- [23] In certain cases, such as for the establishment of a pest free country, general surveillance as referred to in ISPM 6 may be sufficient if the NPPO has concluded that the information is reliable and relevant.
- [24] Where more reliable evidence is needed to demonstrate pest absence in an area, specific surveillance should be established. The level of surveillance should be based on the results of a pest risk assessment, and a delimiting survey conducted to justify the area that is being proposed as a PFA.
- [25] If the pest status is “absent: pest not recorded” as defined in ISPM 8 and this is supported by current scientific evidence – such as from continued surveillance for pest absence in the area, the results of which are made available on request – then establishing an official PFA should not be required.
- [26] In addition to determining pest presence or absence, surveillance in the context of PFAs may also be used to:
- determine pest distribution and abundance;
 - delimit a pest population;
 - assess the effectiveness of pest eradication measures;
 - provide data to report to other NPPOs.

2.2 Controls on the movement of regulated articles

- [27] To prevent the entry of the pest into the PFA, the potential entry pathways should be identified and appropriate controls on the movement of regulated articles should be established. The movement controls should depend on the assessed pest risk, including the probability of pest establishment. Such controls should include:
- inclusion of the pest on a list of regulated pests;
 - regulation of the import pathways and articles that require control;
 - imposition of domestic restrictions or other measures to control the movement or transit of regulated articles into or through the PFA;
 - inspection of regulated articles, examination of the relevant documentation and, where necessary for cases of non-compliance, the application of appropriate phytosanitary measures.

2.3 Establishment of buffer zones, if appropriate

- [28] Where the geographical isolation of the PFA is not considered adequate to prevent the natural spread of the pest into the area, the implementation of a buffer zone should be considered. The population of the pest in the buffer zone should be maintained at or below a low pest tolerance level, which should be verified by surveillance. The extent of the zone is determined by the NPPO, based on the distance over

which the likely natural spread of the pest population to the PFA could not occur during the growing season. The NPPO should describe, with the use of supporting maps, the boundaries of the buffer zone.

2.4 National declaration of the pest free area

- [29] When the pest status is confirmed as absent (according to ISPM 8), or eradication of the pest from the prospective PFA is achieved for the first time (according to ISPM 9 (*Guidelines for pest eradication programmes*)), the NPPO should make a national declaration that the area is free from the pest. All internal management procedures and phytosanitary measures to maintain the PFA (see section 3) should be in place before this declaration is made.

3. Maintenance of the pest free area

- [30] A risk-based programme to ensure maintenance of the PFA should be based on at least the following elements: a legal framework to control the movement of regulated articles; routine pest monitoring and collection of relevant data to inform the management of the PFA, including outbreak management; and contingency plans for corrective action in the event of an outbreak, with associated rules for suspension and reinstatement of the PFA.

3.1 Legal framework

- [31] The pest should be regulated in such a way that it may not be brought into the PFA through movement of regulated articles (see section 2.2). Where appropriate, buffer zones may be established with rules for intensified surveys to ensure early detection of natural spread of the pest into the vicinity of the PFA. The phytosanitary measures should also allow trace-back of regulated articles introduced into the PFA or moving within the PFA, so that the appropriate corrective actions can be taken in a timely manner.

Pest detections in the PFA should be immediately notified to the NPPO (or other competent authority delegated by the NPPO).

3.2 Surveillance for the maintenance of the PFA

- [32] Surveillance on a regular basis should be conducted to verify that the absence of the pest from the PFA is maintained.
- [33] The decision about whether general surveillance for the pest is sufficient or specific surveillance is needed should be based on the results of a pest risk assessment.
- [34] General surveillance may be sufficient in cases where the pest has never been introduced into the PFA, nor in the surrounding areas, and there have been no records of the pest's presence in the PFA.
- [35] Specific surveillance to detect possible incursions of the pest at an early stage should be the standard procedure in all other cases. The type and frequency of the surveys should be based on a pest risk assessment and should allow detection of the pest with an appropriate level of confidence.

3.3 Data collection and record keeping

- [36] The data from the surveillance (e.g. time of surveillance, number and type of plants inspected, number of samples taken for inspection, number of samples taken for laboratory analysis, analytical methods used, results of the analysis) should be stored and kept available for a sufficient time to ensure the possibility of trace-back and verification.

3.4 Notification of detection of the pest

- [37] A reporting framework should be established to ensure that detections of the pest, including interceptions, incursions and outbreaks, are immediately notified to the NPPO (or other competent authority delegated by the NPPO) and confirmed.

3.5 Corrective action plans, including response to an outbreak

- [38] In the event of the pest being detected in the PFA, the NPPO should determine, based on ISPM 6 and ISPM 8, the type of corrective action to be taken. An eradication programme should be activated, unless the pest can be eliminated immediately or evidence indicates that there is no risk of the pest establishing.
- [39] Preparedness for rapid intervention may be ensured by developing a contingency plan in advance, including plans for rapid technical assessment of the situation, mobilizing financial and human resources, the roles and responsibilities of executive services, and the operational activities that are likely to be needed (in the form of a draft action plan). Regular simulation exercises may ensure that the contingency plan is effective and remains current.
- [40] The eradication programme should include the following steps.

3.5.1 Delimiting survey to demarcate the outbreak area

- [41] As soon as the pest has been confirmed in the PFA, a delimiting survey should be conducted to determine the infested area. Based on this determination and a pest risk analysis identifying the suitability of the infested area for pest establishment, an outbreak area within the PFA should be demarcated and the PFA status should be temporarily suspended therein. This demarcated outbreak area should consist of the infested area surrounded by a buffer zone, the size of which should depend on the biology of the pest, the presence of host plants and the environmental conditions.

3.5.2 Increased surveillance in the demarcated outbreak area

- [42] An intensive detection survey should be conducted in the demarcated outbreak area to determine and record the distribution of the pest and its population dynamics in the demarcated area, and to assess the effectiveness of the eradication measures. This intensive survey should be maintained until the pest is eradicated from the outbreak area.

3.5.3 Implementation of control measures

- [43] Control measures should be applied to prevent the pest moving out of the demarcated outbreak area by human activities (movement of host plants) or, to the extent that is reasonably achievable, by natural spread.
- [44] Measures to eradicate the pest should be implemented. This may include destruction of infested and possibly infested plants and plant products.

3.5.4 Provisions for suspension, reinstatement or withdrawal of pest free area status

- [45] Criteria for successful eradication in accordance with ISPM 9 should be established before the start of the eradication programme, including the intensity of the detection survey in the demarcated outbreak area and the minimum period that the demarcated area needs to be free from the pest before the suspension of its PFA status can be lifted.
- [46] If the criteria are fulfilled, then eradication may be officially declared successful and the temporary control and eradication measures may be lifted. The full PFA may then be reinstated.
- [47] If the criteria for eradication within the demarcated outbreak area cannot be fulfilled within a reasonable timeframe to be determined by the NPPO, then either the PFA status should be withdrawn or the delimitation of the PFA should be reviewed.

4. Verification and regular review

- [48] Once the PFA is established, a regular review of the performance of the PFA maintenance programme should be carried out. This review should allow the NPPO to find and correct deficiencies, incorporate any new and relevant information on the pest or associated pathways, and adjust and improve the management programmes accordingly.

- [49] The correct implementation of the programme, including the administrative activities, should be verified by audit.
- [50] Trace-back procedures for the movement of regulated articles should allow the verification of their origin and conformity with the phytosanitary requirements set for the PFA.

5. Documentation and record keeping

- [51] The phytosanitary measures used for the establishment and maintenance of the PFA should be adequately documented. The documentation should be reviewed and updated regularly, and include any corrective actions taken. National plant protection organizations should ensure that records are kept for a minimum of 24 months, or longer depending on the biology of the pest.

6. Communication and stakeholder engagement

- [52] To ensure transparency, information about the establishment of the PFA should be communicated to the NPPOs of importing countries as part of the evidence provided to support the claim that the area is free from the pest. Information about the methodology, results of surveys and pest diagnostics, and other relevant information supporting the claim of pest freedom, should be made available on request to interested stakeholders and NPPOs.
- [53] Information about the maintenance of the PFA status should be made available on request to the NPPOs of importing countries. Maps and information about the measures applied to maintain the PFA status should be communicated to producers and stakeholders. Information about outbreaks should also be communicated to relevant stakeholders and contracting parties.
- [54] Individuals, groups or organizations other than the NPPO of the country in which the PFA is situated can also affect, or be affected, by the actions of the NPPO. The NPPO should establish partnerships with stakeholders, which may include seeking contributions of resources.
- [55] National plant protection organizations are encouraged to raise public awareness about PFAs in their territory, including the framework for reporting sightings of the pest, the phytosanitary measures established, and the importance of maintaining the PFA status, to achieve the support of the community.

7. Recognition of pest free areas

- [56] Recognition of PFAs based on bilateral negotiations should take place in accordance with ISPM 29 (*Recognition of pest free areas and areas of low pest prevalence*).

Appendix 5: Draft annex Use of specific import authorization (2008-006) to ISPM 20 (Guidelines for a phytosanitary import regulatory system) as modified in this meeting for submission to the first consultation

DRAFT ANNEX TO ISPM 20: Use of specific import authorizations (2008-006)

Status box

This is not an official part of the standard and it will be modified by the IPPC Secretariat after adoption.	
Date of this document	2021-05-18
Document category	Draft annex to ISPM
Current document stage	To first consultation
Major stages	2008-04 CPM-3 added the topic <i>Use of specific import authorization (Annex to ISPM 20: Guidelines for a phytosanitary import regulatory system)</i> with priority 4. 2016-11 Standards Committee (SC) approved Specification 64 (<i>Use of specific import authorizations</i>) via e-decision (2016_eSC_May_05). 2021-02 Expert working group met virtually and drafted the annex. 2021-05 SC revised and approved for first consultation.
Steward history	2019-05 SC Ezequiel FERRO (AR, Lead Steward) 2016-05 SC Moses Adegboyega ADEWUMI (NG, Assistant Steward)
Notes	2021-03 Edited 2021-03 review by Lead Steward 2021-05 Edited

This annex was adopted by the XXX Session of the Commission on Phytosanitary Measures in XXX 20XX.

This annex is a prescriptive part of the standard.

ANNEX 2: Use of specific import authorizations

- [1] Specific import authorizations (SIAs) as referred to in this standard (section 4.2.2) provide official consent for the import of specific regulated articles and specify phytosanitary import requirements for those articles. Specific import authorizations may be used when official consent for import is necessary, or when phytosanitary import requirements have not been established, or when import would otherwise be prohibited. Specific import authorizations do not replace the obligation of the national plant protection organization (NPPO) of the importing country to communicate the phytosanitary import requirements to the NPPO of the exporting country.
- [2] This annex describes situations where the use of SIAs may be required by an NPPO, the information that should be included on SIAs, and the respective responsibilities of the various parties involved. Specific import authorizations are generally applied on a case-by-case basis and tailored to each specific import situation. They may be issued for individual consignments or a series of consignments.
- [3] Although it is noted that some countries include non-phytosanitary requirements in their SIAs, this annex addresses only import requirements that lie within the scope of the IPPC. This annex does not cover transit authorization.

1. The types of specific import authorizations

- [4] Specific import authorizations may be provided in the form of import permits, licences or other types of written authorization as determined by the NPPO, and may be in either paper or electronic format.

2. The elements of specific import authorizations

2.1 Addressee or consignee

- [5] When SIAs are used, they should be issued by the NPPOs of importing countries to importers.

2.2 Minimum information requirements

[6] The following information should be included in SIAs:

- importer's information;
- date of issuance;
- description of commodity or commodities covered by the SIA;
- country of origin and country of export;
- intended use of the commodity or commodities;
- phytosanitary import requirements;
- period of validity.

2.3 Additional information that may be included

[7] In addition, the following information may also be included in SIAs:

- identifier or authorization number;
- quantity of the commodity or commodities (number or weight);
- whether the authorization is for a single or multiple consignments;
- means of conveyance;
- point of entry;
- authorizing officer;
- exporter's information.

2.4 Language

[8] The NPPOs of importing countries may choose the language or languages in which their SIAs are issued but are encouraged to also use one of the languages of the Food and Agriculture Organization of the United Nations.

3. Possible uses of specific import authorizations

[9] The following examples of purposes, articles and situations related to import indicate where use of SIAs may be appropriate:

- research and scientific purposes;
- exhibition purposes;
- educational purposes;
- religious or cultural purposes (e.g. religious festivals, ancestral customs);
- articles for which the NPPO of the importing country requires the ability to trace and manage over a period of time after entry (e.g. articles subject to post-entry quarantine or processing);
- emergency situations;
- biological control agents and other beneficial organisms;
- situations where general import authorizations have not been developed;
- situations where it is not possible to develop general phytosanitary import requirements that can manage the relevant pest risk.

[10] The list above is not intended to be exhaustive and countries are not required to use SIAs for the examples provided.

4. Responsibilities

4.1 The NPPO of the importing country

[11] When using SIAs, the NPPO of the importing country should comply with the principles described in the IPPC and ISPM 1 (*Phytosanitary principles for the protection of plants and the application of phytosanitary measures in international trade*), such as those relating to minimal impact, transparency, non-discrimination, technical justification, cooperation and use of languages.

[12] The responsibilities of the NPPO of the importing country should include elements such as:

- publishing information on the regulated articles and intended uses for which an SIA is required;
- having a process in place for assessing and setting up SIAs (identifying the information that will be needed, etc.);
- publishing the process by which an importer can apply for an SIA and the application form that the importer needs to complete;
- communicating requirements to the importer;
- considering requests or applications for SIAs, providing responses and, if the requirements for the SIA are met, issuing an SIA without undue delay;
- defining the language used in SIAs;
- publishing the official format of SIAs;
- clearly specifying phytosanitary import requirements in SIAs;
- providing the NPPOs of exporting countries, on request, with information to verify the authenticity of SIAs and provide clarification as needed;
- monitoring trade under SIAs and considering transferring SIAs to general import authorisations where appropriate.

4.2 Importers

[13] The responsibilities of importers, as determined by the NPPO of the importing country, may include:

- applying for an SIA before import in situations where an SIA is required;
- complying with the requirements of the SIA;
- providing the SIA to the exporter;
- if required, notifying the NPPO of the importing country of the timing of the import or other information;
- when necessary, providing a translation of the SIA in a language that the NPPO of the exporting country can understand.

4.3 Exporters

[14] The responsibilities of exporters, as determined by the NPPO of the importing country, may include:

- obtaining an SIA from the importer before export if an SIA is required;
- submitting a legible SIA and communicating the phytosanitary import requirements to the NPPO of the exporting country;
- applying for a phytosanitary certificate from the NPPO of the exporting country;
- when necessary, providing a translation of the SIA in a language that the NPPO of the exporting country can understand.

4.4 NPPOs of exporting countries

[15] The responsibilities of the NPPOs of exporting countries may include:

- obtaining the phytosanitary import requirements of the importing country for the SIA;
- when a request for export phytosanitary certification is accompanied by an SIA with phytosanitary import requirements, certifying the compliance of plants, plant products or other regulated articles with these phytosanitary import requirements.

5. General import authorizations

[16] Guidance on general import authorizations is provided in section 4.2.2 of this standard. The following examples describe circumstances under which SIAs may be transferred to general import authorizations:

- when SIAs become routine;
- when an SIA has been issued as a result of an emergency situation but appropriate phytosanitary measures have been established;
- when monitoring of trade confirms the effectiveness of phytosanitary import requirements set in an SIA.

Appendix 6: Draft revision of ISPM 18 (Requirements for the use of irradiation as a phytosanitary measure) (2014-007) as modified in this meeting for submission to the first consultation

DRAFT Revision of ISPM 18: Requirements for the use of irradiation as a phytosanitary measure (2014-007)

Status box

This is not an official part of the standard and it will be modified by the IPPC Secretariat after adoption.	
Date of this document	2021-05-21
Document category	Draft revision of ISPM
Current document stage	To first consultation
Major stages	<p>2014-05 IPPC Secretariat, supported by the Technical Panel on Phytosanitary Treatments (TPPT), developed the generic specification (2014-008) for the development of five standards; Standard Committees (SC) agreed to this approach.</p> <p>2014-03 CPM-09 added topic <i>Requirements for the use of irradiation as a phytosanitary measure (Revision to ISPM 18)</i> (2014-007) to the work programme with priority 2 (subsequently changed to priority 3 by CPM-10 (2015) and to priority 1 by SC (e-decision 2020_eSC_Nov_02)).</p> <p>2015-05 SC approved Specification 62 (<i>Requirements for the use of phytosanitary treatments as phytosanitary measures</i>).</p> <p>2020-12 TPPT started the revision.</p> <p>2021-02 (two meetings) TPPT revised the draft.</p> <p>2021-05 SC revised and approved for first consultation.</p>
Steward history	<p>2016-11 David OPATOWSKI (IL, Steward)</p> <p>2020-10 Guy HALLMAN (US, Assistant Steward)</p>
Notes	<p>2021-03 Edited</p> <p>2021-05 Edited</p>

CONTENTS [to be inserted]

Adoption [to be revised following adoption]

- [1] This standard was adopted by the [Fifth] Session of the Commission on Phytosanitary Measures in [April 2003].

INTRODUCTION

Scope

- [2] This standard provides technical guidance on the application of ionizing radiation as a phytosanitary measure. This standard does not provide details on specific irradiation treatments, such as specific schedules for specific regulated pests on specific commodities, or treatments used for the production of sterile organisms for pest control.

References

- [3] The present standard refers to ISPMs. ISPMs are available on the International Phytosanitary Portal (IPP) at <https://www.ippc.int/core-activities/standards-setting/ispms>.

APPPC (Asia and Pacific Plant Protection Commission). 2014. *Approval of irradiation facilities. Regional Standard for Phytosanitary Measures (RSPM) 9*. Bangkok, APPPC, FAO Regional Office for Asia and the Pacific. 20 pp.

IAEA (International Atomic Energy Agency). 2015. *Manual of good practice in food irradiation: Sanitary, phytosanitary and other applications*. Technical Reports Series No. 481. Vienna, IAEA. 85 pp.

ISO 14470:2011. *Food irradiation – Requirements for the development, validation and routine control of the process of irradiation using ionizing radiation for the treatment of food*. Geneva, International Organization for Standardization.

ISO/ASTM 51261:2013. *Practice for calibration of routine dosimetry systems for radiation processing*, 2nd edn. United States of America, International Organization for Standardization and ASTM International.

Definitions

- [4] Definitions of phytosanitary terms used in this standard can be found in ISPM 5 (*Glossary of phytosanitary terms*).

Outline of requirements

- [5] This standard provides guidance on how irradiation treatments may be used for pest management to comply with phytosanitary import requirements.
- [6] The roles and responsibilities of parties involved in phytosanitary irradiation are described. Guidance is provided to national plant protection organizations (NPPOs) on responsibilities for approving treatment facilities, and for monitoring and auditing treatment facilities and providers.
- [7] The NPPO is responsible for ensuring that the minimum absorbed dose has reached the required level to achieve the stated efficacy.
- [8] Application of the treatment requires dosimetry and dose mapping to ensure that the treatment is effective with specific commodity configurations.
- [9] The NPPO is responsible for ensuring that treatment facilities are appropriately designed for phytosanitary treatments. Procedures should be in place to ensure that the treatment can be conducted properly and consistently. Systems should be implemented to prevent the infestation or contamination of the irradiated commodity, including accidental mixing with untreated commodities.
- [10] Record keeping and documentation requirements should be met to enable auditing and trace-back.

BACKGROUND

- [11] The purpose of this standard is to provide generic requirements for the application of ionizing radiation as a phytosanitary measure, specifically for those treatments adopted under ISPM 28 (*Phytosanitary treatments for regulated pests*).
- [12] ISPM 28 was adopted to harmonize effective phytosanitary treatments over a wide range of circumstances and to enhance the mutual recognition of treatment efficacy by NPPOs, which may facilitate trade. ISPM 28 provides requirements for submission and evaluation of efficacy data and other relevant information on phytosanitary treatments, and annexes with specific irradiation treatments that have been evaluated and adopted by the Commission on Phytosanitary Measures.
- [13] Irradiation is considered to be effective when the phytosanitary treatment dose of ionizing radiation (hereafter referred to as the “phytosanitary treatment dose”) required by the treatment schedule is absorbed at the location in the process load (as defined in ISPM 5) that receives the lowest dose of radiation. Therefore, process control relies on identifying the minimum dose location for a specific

commodity configuration and routinely delivering to this location a dose of ionizing radiation (a minimum dose) that is equal to or greater than the required phytosanitary treatment dose. The effectiveness of the treatment process as a whole also includes measures applied to prevent infestation or contamination after irradiation.

IMPACTS ON BIODIVERSITY AND THE ENVIRONMENT

- [14] The use of irradiation as a phytosanitary measure has a beneficial impact on biodiversity and the environment by preventing the introduction and spread of regulated pests with the trade of plants and plant products.

REQUIREMENTS

1. Irradiation objective

- [15] The objective of using irradiation as a phytosanitary measure is to achieve at a specified efficacy certain pest responses, such as:
- mortality;
 - inability to develop successfully (e.g. non-emergence of adults);
 - inability to reproduce (e.g. sterility);
 - inactivation; or
 - devitalization of plants as pests (e.g. seeds may germinate but seedlings do not grow; or tubers, bulbs or cuttings do not sprout).
- [16] A range of specific options may be specified where the required response is the inability of the pest to reproduce. These may include:
- complete sterility;
 - limited fertility of only one sex;
 - egg laying or hatching without further development;
 - sterility of F₁ generation.

2. Irradiation application

- [17] Ionizing radiation may be provided by radioactive isotopes (gamma rays from cobalt-60 or caesium-137), electrons (up to 10 MeV) or X-rays (up to 7.5 MeV) generated from machine sources. The unit of measurement for absorbed dose is the gray (Gy).
- [18] The phytosanitary treatment dose is the minimum dose required to achieve pest management at a specified efficacy. The treatment is entirely dependent upon the understanding of dose distribution within the commodity configuration and consistent presentation of the process load to the ionizing radiation. Factors that may alter the effectiveness of the treatment may include erratic commodity configurations in the process load and variable levels of oxygen (O₂).
- [19] To ensure that the phytosanitary treatment dose has been attained throughout the process load, treatment procedures should ensure that the minimum absorbed dose (D_{\min}) is at least equal to the required phytosanitary treatment dose. The intended use of the commodity should be considered. For example, although appropriate for foods and agricultural products for processing or consumption, irradiation may not be appropriate for plants for planting as it may devitalize them.
- [20] In irradiation treatments, it is rare that mortality is technically justified as the required response. It is therefore possible that live, though non-viable target pests may be found in correctly treated commodities. This does not imply a failure of the treatment. It does mean, however, that it is essential for the treatment to be applied correctly to ensure that any live target-pests are unable to complete

development or otherwise reproduce. In addition, it is preferable that such pests are unable to escape into the environment unless they can be distinguished from non-irradiated pests.

[21] Irradiation may be applied:

- as an integral part of packing operations;
- to bulk unpackaged commodities;
- to packaged or palletized commodities.

[22] Irradiation may take place where the commodity originates. When it is operationally feasible to prevent the escape of any pests during transport of the untreated commodity, treatment may alternatively be conducted at:

- the point of entry;
- a designated location in a third country;
- a designated location within the country of final destination.

[23] Treated commodities should be certified and released only after dosimetry measurements confirm that D_{\min} was equal to, or above, the required phytosanitary treatment dose and therefore that the dose requirement has been met throughout the process load. Where a pest species requiring a higher dose is found upon inspection and that dose requirement has not been met, consignments may be re-treated, provided the maximum absorbed dose (D_{\max}) total from all treatments is within the limits allowed by the importing country.

[24] Depending on the pest risk to be addressed, the tolerance of the commodity to treatment, and the availability of other pest risk management options, irradiation may be used either as a single treatment or combined with other measures as part of a systems approach to meet the efficacy required (see ISPM 14 (*The use of integrated measures in a systems approach for pest risk management*)).

3. Dosimetry

[25] Irradiation does not deliver a uniform dose throughout a process load but a continuum of doses. The dose range may increase as the size or density of the treated material increases. Therefore, it is important that an accurate measurement of the absorbed dose in a process load can be readily determined to ensure that D_{\min} is greater than or equal to the phytosanitary treatment dose required.

[26] Dosimetry provides assurance that D_{\min} is equal to, or above, the required phytosanitary treatment dose and therefore that the dose requirement has been met throughout the process load. Properly designed systems for treatment delivery and protection against infestation and contamination, together with continual checking and regular monitoring of those systems, provide assurance that treatments are properly conducted. Dosimetry is highly specialized. National plant protection organizations unfamiliar with phytosanitary irradiation should collaborate with technical experts from their national nuclear agencies when approving facilities to be used for phytosanitary irradiation.

[27] Dosimetry should be performed on a routine basis to ensure that for each batch of process loads treated the doses delivered equal or exceed the required D_{\min} .

3.1 Dosimetry systems

[28] A dosimetry system consists of dosimeters, instruments that read dosimeters and procedures. A dosimeter is a device with a reproducible response to irradiation that can be used to measure the absorbed dose. The dosimeter responds to the radiation and the response is measured by instruments to calculate the amount of ionizing radiation that the product has absorbed (expressed as absorbed dose).

[29] The selection and use of specific dosimetry systems should be appropriate for both the dose range and the type of radiation. It should take into account the influence of factors such as dose rates, the minimum level of uncertainty deemed to be acceptable and the required spatial resolution. Examples of dosimetry

systems that can be used for gamma ray, electron beam and X-ray facilities can be found in ISO/ASTM 51261:2013.

3.2 Dose mapping

[30] Dose mapping is performed by placing dosimeters throughout the process load, irradiating the process load and reading the dosimeter values. Further information on the practices used for electron beams and X-rays are described in ISO 14470:2011 and ISO/ASTM 51261:2013.

[31] The objectives of dose mapping are:

- to determine the dose distribution throughout the process load and in particular where D_{\min} and D_{\max} are found;
- to demonstrate that the required dose range can be attained for the process load;
- to establish the process parameters that will lead to doses within the required range;
- to assess the variability of the particular process;
- to establish how routine dose measurements will be made.

[32] The dose distribution in a process load is specific to the irradiator, the product path (the path that the commodity takes through the irradiator), the process load and the characteristics of the commodity. If any of these change, dose mapping should be repeated, as such changes affect dose distribution.

3.3 Routine dosimetry

[33] Accurate measurements of absorbed dose in a process load are critical for determining the effectiveness of the treatment and are part of the validation process. The required number, location and frequency of these measurements should be prescribed based on the specific equipment, processes, commodities, relevant standards and phytosanitary requirements.

[34] When the position of D_{\min} or D_{\max} is inside the process load and it is not practical to place dosimeters there routinely, a dosimeter may be placed in a reference location on the surface of the process load or on the irradiation container in a location that is readily accessible and easily reproducible for the operator (see Appendix 1). For a given load configuration, a given path through the irradiator or given machine settings, the relationship between the dose measured at the reference location (D_{ref}) and D_{\min} and D_{\max} is arithmetic and constant. The coefficient representing this relationship should be established by dose mapping and may then be used to calculate D_{\min} and D_{\max} from D_{ref} during routine dosimetry.

4. Validation

[35] Validation encompasses a series of checks designed to verify that a treatment facility meets its installation requirements (installation qualification), operates to its design specification (operational qualification) and will consistently deliver the required dose to a given process load within predetermined tolerances (performance qualification).

[36] Installation qualification and operational qualification validate the irradiator and may be performed by the treatment provider with the technology suppliers. National plant protection organizations are typically not involved with installation- or operational-qualification activities, but the treatment provider should inform the NPPO if major changes have been made to the facility that would require dose mapping to be repeated (e.g. replenishment of gamma sources or major changes to conveyor-belt systems or speeds).

[37] The way in which the commodity is loaded and irradiated is based on the results of the performance qualification. Therefore, the NPPO should review the performance-qualification activities that are undertaken with the actual commodity and commercial-product configuration (e.g. full pallet or half pallet). The objective of performance qualification is to demonstrate that the equipment, as installed and properly operated, consistently performs as expected and that the treatment schedule can be met. Dose

mapping of the actual commodity to define the configuration of the process load is a key activity to ensure that D_{\min} is achieved.

5. Adequate systems for treatment facilities

- [38] Confidence in the adequacy of an irradiation treatment as a phytosanitary measure is primarily based on assurance that the treatment is effective against the target pests under specific conditions and the treatment has been properly applied. Systems for treatment delivery should be designed, used and monitored to ensure that treatments are properly conducted and commodities are protected from infestation and contamination after treatment.
- [39] The NPPO of the country in which the treatment facility is located is responsible for ensuring that the facility system requirements are met.

5.1 Approval of facilities and authorization of treatment providers

- [40] Treatment facilities should be approved by the NPPO of the country in which the facility is located before phytosanitary treatments are applied there, such approval thereby authorizing the treatment provider responsible for the facility (APPPC, 2014). This approval should be subsequent to authorization from competent authorities for safety (e.g. radiation safety authority, nuclear regulatory authority) where appropriate and be based on a set of criteria that include both criteria common to all irradiation facilities and those that are specific to the site and commodity (see Annex 1).
- [41] Phytosanitary re-approval should be done by the NPPO on a regular basis at appropriate intervals.

5.2 Prevention of infestation and contamination after treatment

- [42] At the treatment facility, the necessary measures should be implemented to prevent possible infestation or contamination of the commodity after treatment. The following measures may be required:
- keeping the commodity in a pest free enclosure under conditions that protect it from infestation and contamination;
 - packing the commodity immediately after irradiation;
 - identifying irradiated commodities to prevent mixing with non-irradiated commodities;
 - ensuring that irradiated commodities are separated from non-irradiated commodities;
 - dispatching the commodity as soon as possible after irradiation.
- [43] The use of pest-proof packaging before irradiation may help to prevent possible infestation or contamination if irradiation is done before export, or to prevent the accidental escape of the target pest if the treatment is done at the destination.

5.3 Labelling

- [44] Commodities should be labelled with treatment lot numbers or other identifying features allowing trace-back for non-compliant consignments. The labels should be easily identifiable and placed on visible locations.

5.4 Monitoring and auditing

- [45] The NPPO of the country in which the irradiation is conducted is responsible for the monitoring and auditing of treatment facilities and providers. The NPPO should maintain an audit schedule and ensure that such audits are conducted by appropriately trained personnel. Continuous supervision of irradiation should not be necessary, provided treatment procedures are properly designed and can be verified to ensure a high degree of system integrity for the facility, process and commodity in question. The monitoring and auditing should be sufficient to detect and correct deficiencies promptly.
- [46] Treatment providers should meet monitoring and auditing requirements set by the NPPO. These requirements may include:

- access for the NPPO to conduct audits, including unannounced visits;
- a system to maintain and archive treatment records and provide the NPPO with access to these;
- corrective action to be taken in the event of nonconformity.

[47] The NPPO of the importing country may establish approval and audit procedures with the NPPO of the exporting country to verify conformity with requirements.

6. Documentation

[48] The NPPO of the country in which the irradiation is conducted is responsible for ensuring that treatment providers keep appropriate records, such as raw data on dosimetry readings recorded during treatments. Accurate record keeping is essential to enable auditing and trace-back.

6.1 Documentation of procedures

[49] Procedures should be documented to ensure that commodities are consistently treated as required. Process controls and operational parameters should be established to provide the details necessary for a specific approval of a treatment facility. Calibration and quality control procedures should be documented by the treatment provider. The documented procedures should include the following:

- commodity handling procedures before, during and after irradiation;
- orientation and configuration of the commodity during irradiation;
- critical process parameters and the means for measuring and recording them;
- dosimetry and calibration of dosimetry system;
- contingency plans and corrective actions to be taken in the event of treatment failure or problems with critical treatment processes;
- procedures for handling rejected lots;
- labelling, record keeping and documentation requirements;
- training of personnel.

6.2 Record keeping

[50] The treatment provider should keep appropriate records for each treatment application. These records should be made available to the NPPO of the country in which the treatment facility is located for auditing and verification purposes or when a trace-back is necessary.

[51] Appropriate treatment records for irradiation as a phytosanitary measure should be retained by the treatment provider for at least one year to enable the trace-back of treated lots. Information that may be required to be recorded includes:

- identification of facility and responsible parties;
- commodity treated;
- target regulated pest;
- owner, packer, grower and place of production of the commodity;
- lot size and volume, including number of articles or packages;
- identifying markings or characteristics;
- absorbed doses (required doses and measured doses), dosimetry calibration records;
- date of treatment;
- any observed deviation from treatment schedule and, where appropriate, subsequent actions taken;
- orientation and configuration of the commodity during irradiation (including dose mapping).

6.3 Documentation by the NPPO

- [52] All NPPO procedures should be appropriately documented and records, including those of monitoring inspections made and phytosanitary certificates issued, should be maintained for at least one year. In cases of non-compliance or new or unexpected phytosanitary situations, documentation should be made available upon request as described in ISPM 13 (*Guidelines for the notification of non-compliance and emergency action*).

7. Inspection

- [53] Inspection should be carried out by the NPPO of the exporting country and inspection at import may be carried out by the NPPO of the importing country to determine compliance with phytosanitary import requirements.
- [54] Live target pests may be found after treatment, but this should not result in the refusal to issue a phytosanitary certificate. Where mortality is the required response, live target-pests may be found during the period immediately following the irradiation; in such cases, phytosanitary certification should be based on confirmation from audit checks that mortality is attained for the specific commodity and treatment conditions concerned. Where mortality is not the required response, it is more likely that live target pests may persist in the treated consignment; in such cases, phytosanitary certification should be based on confirmation from the normal validation programme that the required response is achieved for the specific commodity and treatment conditions concerned.

8. Responsibilities

- [55] The NPPO of the country in which the irradiation treatment is conducted is responsible for the evaluation, approval and auditing of the application of irradiation as a phytosanitary measure.

To the extent necessary, the NPPO should cooperate with other national regulatory agencies concerned with the development, approval and safety of irradiation treatments, including the training and certification of personnel conducting the treatment and the approval of treatment facilities. The respective responsibilities of the NPPO and the other regulatory agencies should be identified to avoid requirements that are overlapping, conflicting, inconsistent or unjustified.

This annex is a prescriptive part of the standard.

ANNEX 1: Checklist for facility approval

[56] The following checklist is intended to assist persons inspecting or monitoring facilities for which the treatment provider is seeking to establish or maintain facility approval and phytosanitary certification of irradiated commodities for international trade.

Criteria	Yes	No
1. Premises		
The treatment facility meets the approval of the national plant protection organization (NPPO) as regards phytosanitary requirements, and the NPPO has reasonable access to the facility and appropriate records as necessary to validate phytosanitary treatments		
Facility buildings are designed and built to be suitable in size, materials and placement of equipment to facilitate proper maintenance and operations for the lots to be treated		
Appropriate means, integral to the facility design, are available to maintain non-irradiated lots separate from irradiated lots		
Buildings, equipment and other physical facilities are maintained in a sanitary condition and in repair sufficient to prevent contamination of the lots being treated		
Effective measures are in place to protect against the infestation or contamination of consignments or lots being stored or processed		
Adequate measures are in place to handle breakages, spills or other damage to lots		
Adequate systems are in place to dispose of lots that are improperly treated or unsuitable for treatment		
Adequate systems are in place to control non-compliant lots and when necessary to suspend facility approval		
2. Personnel		
The facility is adequately staffed with trained personnel		
Personnel are aware of requirements for the proper handling and treatment of commodities for phytosanitary purposes		
3. Commodity handling, storage and segregation		
Commodities are inspected upon receipt to ensure that they are suitable for irradiation		
Commodities are handled in an environment that does not increase the risk of dangerous physical, chemical or biological contaminants		
Commodities are appropriately stored and adequately identified		
Procedures and facilities are in place to ensure the segregation of treated and untreated lots, including physical separation between incoming and outgoing holding areas		
4. Irradiation treatment		
The facility is suitably designed and equipped to allow required treatments to be conducted in conformity with a treatment schedule		
A process control system is in place providing criteria to assess irradiation effectiveness		
Proper process parameters are established for each type of commodity to be treated		
Written procedures have been submitted to the NPPO and are well known to appropriate treatment facility personnel		

Criteria	Yes	No
The absorbed dose delivered to each type of commodity is verified by proper dosimetric measurement practices using calibrated dosimetry, and dosimetry records are kept and made available to the NPPO as needed		
5. Packaging and labelling		
Each commodity is packaged using materials suitable for the commodity and process		
Treated lots are adequately identified or labelled and adequately documented		
Each lot carries identification to distinguish it from all other lots		
6. Documentation		
All records about each lot irradiated are retained at the facility for the period of time specified by relevant authorities and are available for inspection by the NPPO as needed		

This appendix is for reference purposes only and is not a prescriptive part of the standard.

APPENDIX 1: Example of a dosimeter in a reference location

- [57] The relationship between minimum (D_{\min}) and maximum (D_{\max}) absorbed doses and the dose in the reference location (D_{ref}) in Figure 1 has been calculated as 0.8 and 1.4, respectively. For further examples, please refer to IAEA (2015).

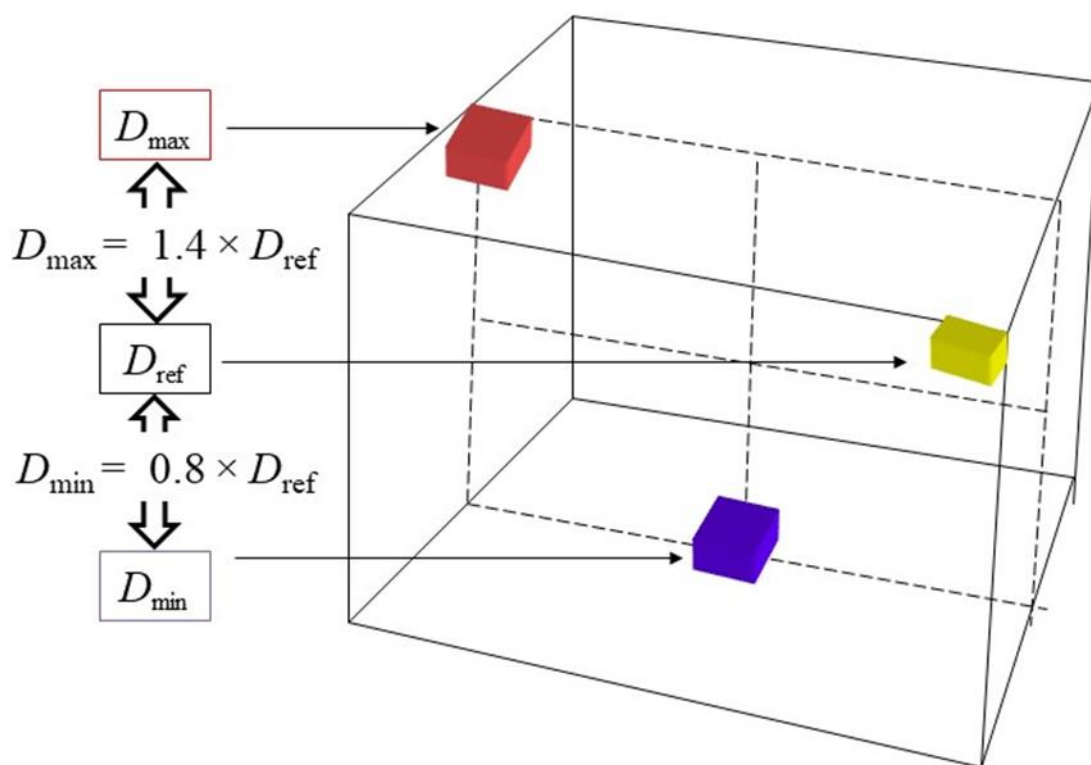


Figure 1. Example of relationship between minimum and maximum doses and the dose in the reference position. Blue box, position of minimum absorbed dose (D_{\min}); red box, position of maximum absorbed dose (D_{\max}); yellow box, position of dosimeter in the reference location (dose measured is D_{ref}).
Source: IAEA, 2015.

Appendix 7: Draft 2021 amendments to ISPM 5 (Glossary of phytosanitary terms) (1994-001) as modified in this meeting for submission to the first consultation

DRAFT 2021 AMENDMENTS TO ISPM 5: GLOSSARY OF PHYTOSANITARY TERMS (1994-001)

Publication history

(This is not an official part of the standard)

Date of this document	2020-06-08
Document category	Draft 2021 Amendments to ISPM 5 (<i>Glossary of phytosanitary terms</i>) (1994-001)
Current document stage	To first consultation
Major stages	CEPM (1994) added topic: 1994-001, Amendments to ISPM 5: Glossary of phytosanitary terms 2006-05 Standards Committee (SC) approved specification TP5 2012-10 Technical Panel for the Glossary (TPG) revised specification 2012-11 SC revised and approved revised specification, revoking Specification 1 2021-01 TPG proposed 2021 amendments below 2021-05 SC revised the 2021 amendments via the Online Comment System and approved the 2021 amendments for the first consultation via e-decision (2021_eSC_MayXX)/virtual meeting.
Notes	Note to Secretariat formatting this paper: formatting in definitions and explanations (strikethrough, bold, italics) needs to remain.

[1] IPPC Official Contact Points are asked to consider the following proposals for revision of terms and definitions to ISPM 5 (*Glossary of Phytosanitary Terms*). A brief explanation is given for each proposal. For revision of terms and definitions, only the proposed changes are open for comments. For full details on the discussions related to the specific terms, please refer to [the TPG meeting reports on the IPP](#).

[2] Guiding note: In the draft 2021 Amendments to the Glossary, certain terms and definitions are being proposed as a ‘package’ in the sense that the proposals are interlinked. Therefore, it is suggested that proposals within each ‘package’ be read in conjunction. ‘Packages’ are:

- The inter-linked definitions of the terms *identity (of a consignment)*, *integrity (of a consignment)* and *phytosanitary security (of a consignment)*;
- The inter-linked definitions of the terms *inspection*, *test*, *compliance procedure (for a consignment)*, *clearance (of a consignment)* and *release (of a consignment)*;
- The inter-linked definitions of the terms *general surveillance*, *specific surveillance* and *surveillance*;
- The inter-linked definitions of the terms *emergency measure* and *provisional measure*.

1. ADDITION

1.1. “identity (of a consignment)” (2011-001)

- [3] The term ‘*identity (of a consignment)*’ has been used frequently in ISPMs, notably in the context of the so-called ‘*identity check*’ performed at export, import or transit. However, the use and meaning of this term and ‘*integrity (of a consignment)*’, often used together, has been inconsistent, unclear and seemingly overlapping. At the request from the CPM-6 in 2011, the SC in 2012 had added the term to the List of topics for IPPC standards.
- [4] An approach to defining the term had been submitted by the TPG and approved by the SC in 2013, implying that a consignment’s identity is equivalent to information on the phytosanitary certificate. However, it remained unresolved which particular aspects of the phytosanitary certificate should be emphasized in a definition of ‘identity’. The SC agreed to combine the work on definitions for the inter-related terms ‘*identity (of a consignment)*’, ‘*integrity (of a consignment)*’ and ‘*phytosanitary security (of a consignment)*’.
- [5] A first TPG draft ‘package’ of those definitions had been discussed by the SC in 2014, but the further development process put on hold, awaiting the output from the Expert Drafting Group on “*Focused revision of ISPM 12 (Phytosanitary certificates) in relation to re-export*” that met in December 2019. Subsequently, the TPG in January 2021 had submitted a new proposal, reviewed by the SC in May 2021, and sent for consultation.
- [6] The following explanatory points may be considered when reviewing the proposal:
- (1) The identity of a consignment relates to certain consignment characteristics attested in its accompanying phytosanitary certificate, namely those characteristics that are not supposed to change from the time of phytosanitary certification in a country until import into another country. When considering whether simply the *number* of the phytosanitary certificate is the same as the consignment’s identity, it had been concluded that not all elements of the phytosanitary certificate could reasonably be considered part of the consignment’s identity. Then, to decide which elements are relevant for the identity and which not, the line of logic has been to reply to the question: what is the core phytosanitary concern of the importing NPPO when performing an ‘identity check’? The reply is: to reassure that *exactly those specimens* of plants, plant products or other articles (i.e. *components from a particular place of origin*) that are about to be imported are *exclusively those that had been certified*;
 - (2) Thus, the *identity* of a consignment is: its components (being the core *material* content) and its origin (being the core *immaterial* characteristic);
 - (3) In broad terms, the ‘*components*’ corresponds to the sections in phytosanitary certificates on ‘*Name of produce and quantity declared*’ and ‘*Botanical name of plants*’, as expressed in the definition;
 - (4) In contrast, descriptions provided in the phytosanitary certificate sections on ‘*Number and description of packages*’ and ‘*Distinguishing marks*’ may certainly be helpful for the practical spotting of one particular consignment among others, but are not considered part of the consignment’s identity;
 - (5) The quantity of items in the consignment is referred to in the definition. Obviously, the identity would have changed if any item was *added* to a consignment after phytosanitary certification, corresponding to the fact that the certifying statement of the phytosanitary certificate would then no longer cover all components of the consignment. In contrast, it cannot be generalized whether any (unintentional) *loss* or (intentional) *subtraction* of items from the consignment after phytosanitary certification would change the consignment’s identity. The SC, therefore, has concluded that the issue of quantity cannot possibly be explained to all detail in a definition. Referring to ‘*the components*’ is sufficient to indicate that any quantity *above* the declared quantity would certainly be deemed a change of identity;

- (6) The consignment's origin is also an important part of consignment's identity and it corresponds to the section in phytosanitary certificates on '*Place of origin*', as expressed in the definition and explained in ISPM 12 (*Phytosanitary certificates*);
- (7) The number of the phytosanitary certificate is implicit and need not be mentioned in the definition, as the identity refers to a specific phytosanitary certificate;
- (8) The sections of phytosanitary certificates on '*Name and address of exporter*', '*Declared name and address of consignee*', '*Declared means of conveyance*' and '*Declared point of entry*' are not considered part of the consignment's identity;
- (9) The proposed definition of '*identity (of a consignment)*' does not conflict with current uses of the term 'identity' (in relation to a consignment) in adopted ISPMs. It is noted that in the draft revised ISPM 12 currently sent for second consultation, the use of the term 'identity' (in relation to a consignment) has been omitted;
- (10) Defining '*identity (of a consignment)*' facilitates the revision of the definitions of '*integrity (of a consignment)*' and '*phytosanitary security (of a consignment)*'.

Proposed addition

identity (of a consignment)	The components of a consignment as covered by its phytosanitary certificate and described in the sections "name of produce and quantity declared", "botanical name of plants " and "place of origin"
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1.2. "general surveillance" (2018-046)

- [7] During their December 2018 meeting, the TPG noted that the revised ISPM 6 (*Surveillance*) had resulted in a slight change in the meaning of general and specific surveillance, with the previous version of ISPM 6 referring to "specific surveys" for what is now called "specific surveillance". The TPG had proposed that the terms "*general surveillance*" and "*specific surveillance*" be added to the TPG work programme for inclusion in the Glossary, to provide clarity without having to read ISPM 6, and the terms had been added to the work programme by the SC at its meeting in May 2019.
- [8] During their November 2019 meeting, the TPG discussed the definitions of both terms "*general surveillance*" and "*specific surveillance*" together with an analysis of the use of these terms in adopted ISPMs. The TPG considered various options for a definition for "*general surveillance*".
- [9] In their January 2021 meeting, the TPG had submitted a definition proposal, reviewed by the SC in May 2021, and sent for consultation.
- [10] The following explanatory points may be considered when reviewing the proposal for the addition of the term:
 - It is useful to add the term and definition in the Glossary to clarify its meaning in ISPM 6 and other adopted ISPMs;
 - It is noted that in the current definition of *surveillance*, the "*survey*" and "*monitoring*" refer to specific surveillance and the "*other procedures*" to general surveillance;
 - The proposed definition refers to "*various sources*" rather than "*procedures*" to allow for sources of data that are not procedures. These various sources of data can be official or unofficial, as explained in ISPM 6;
 - "*Pests*" is used rather than "*pest presence or absence*" to allow for surveillance of other characteristics of pests;
 - With reference to the "*data*" or "*information*" resulting from the surveillance, "*data*" refers to the raw collected material, which then becomes "*information*" once it has been analysed and verified. The word "*data*" is therefore appropriate in the context of *general surveillance*;
 - Data resulting from general surveillance are not official until they have been approved by the NPPO; therefore, the process does not stop with the collection of data, as analysis and

verification are also key important parts of the process when non-official data-sources are being used.

Proposed addition

general surveillance	An official process whereby data on pests in an area are collected from various sources other than surveys , analysed and verified.
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1.3. “specific surveillance” (2018-047)

[11] During their December 2018 meeting, the TPG noted that the revised ISPM 6 (*Surveillance*) had resulted in a slight change in the meaning of general and specific surveillance, with the previous version of ISPM 6 referring to “specific surveys” for what is now called “specific surveillance”. The TPG had proposed that the terms “*general surveillance*” and “*specific surveillance*” be added to the TPG work programme for inclusion in the Glossary, to provide clarity without having to read ISPM 6, and the terms had been added to the work programme by the SC at its meeting in May 2019. The TPG in its January 2021 meeting had submitted a proposal, reviewed by the SC in May 2021, and sent for consultation.

[12] The following explanatory points may be considered when reviewing the proposal for the addition of the term:

- The only distinction between general and specific surveillance is the source of the data, as both types of surveillance can be directed to specific pests;
- Specific surveillance is achieved through surveys;
- With reference to the “*data*” or “*information*” resulting from the surveillance, “*data*” refers to the raw collected material, which then becomes “*information*” once it has been processed; data are not official until approved by the NPPO. The word “*information*” is therefore appropriate in the context of *specific surveillance*;
- Reference to “*presence or absence*” of a pest in the definition would be too restrictive as it would exclude seeking information on other characteristics of a pest population, such as pest biology or distribution, as allowed by the Glossary definitions of “*survey (of pests)*” and “*monitoring survey*”;
- The TPG considered whether the definition should refer to surveys of specific pests because the Glossary term “*survey*” has the qualifier “*(of pests)*”. In ISPM 6, the target of the specific surveillance may be a pest, a host, a commodity, a pathway or a combination of these, so plural is considered appropriate for “*pests*” because it allows, for example, a survey on potato pests.

Proposed addition

specific surveillance	An official process whereby information on pests in an area is obtained through surveys .
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2. REVISION

2.1. “surveillance” (2020-009)

[13] During their December 2018 meeting, the TPG noted that the revised ISPM 6 (*Surveillance*) had resulted in a slight change in the meaning of general and specific surveillance, with the previous version of ISPM 6 referring to “specific surveys” for what is now called “specific surveillance”. The TPG had proposed that the terms “*general surveillance*” and “*specific surveillance*” be added to the TPG work programme for inclusion in the Glossary, to provide clarity without having to read ISPM 6, and the terms had been added to the work programme by the SC at its meeting in May 2019.

[14] During their November 2019 meeting, the TPG also discussed the definition of “*surveillance*” and invited the SC to add it to the TPG work programme. The SC in November 2020 reviewed the TPG

work programme and agreed to add the term. The TPG in its January 2021 meeting had submitted a proposal, reviewed by the SC in May 2021, and sent for consultation.

[15] The following explanatory points may be considered when reviewing the proposal for the revision of the definition:

- The TPG considered various possible modifications of the current Glossary definition of “*surveillance*”, but considering the proposed definitions of “*general surveillance*” (cf. section 1.2) and “*specific surveillance*” (cf. section 1.3), is finally proposing a definition that simply says that surveillance is “*general surveillance, specific surveillance or a combination of both*”.

Current definition

Surveillance	An official process which collects and records data on pest presence or absence by survey, monitoring or other procedures [CEPM, 1996; revised CPM, 2015]
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Proposed revision

Surveillance	General surveillance, specific surveillance or a combination of both An official process which collects and records data on pest presence or absence by survey, monitoring or other procedures
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2.2. “integrity (of a consignment)” (consequential)

[16] The SC in 2013 agreed to combine the work on definitions for the inter-related terms ‘*identity (of a consignment)*’, ‘*integrity (of a consignment)*’ and ‘*phytosanitary security (of a consignment)*’, and added *integrity (of a consignment)* to the TPG work programme.

[17] While the use and meaning of the terms ‘*identity*’ and ‘*integrity*’ in adopted ISPMs have been inconsistent, unclear and seemingly overlapping, the matter could be appropriately clarified by defining *identity (of a consignment)* and revising the definition of *integrity (of a consignment)*, relating it to the term *identity*.

[18] A first TPG draft ‘package’ of definitions including ‘*integrity (of a consignment)*’ had been discussed by the SC in 2014, but the further development process put on hold, awaiting the output from the Expert Drafting Group on “*Focused revision of ISPM 12 (Phytosanitary certificates) in relation to re-export*” that met in December 2019. Subsequently, the TPG in January 2021 had submitted a new proposal, reviewed by the SC in May 2021, and sent for consultation.

The following explanatory points may be considered when reviewing the proposal:

- (1) By referring to the proposed definition of *identity (of a consignment)* (cf. section 1.1), the relationship between the two concepts is clarified and the definition of *integrity (of a consignment)* simplified;
- (2) Consequently, the wording ‘*composition...as described by its phytosanitary certificate*’ is deleted as redundant because that aspect is already included in the proposed definition of the term ‘*identity*’, which is inserted instead;
- (3) The wording ‘*maintained without loss, addition or substitution*’ is substituted by the wording ‘*is unchanged*’, with the intent that such simplification more strongly emphasizes the core phytosanitary concern, namely: that the identity has remained unchanged, i.e. that exactly those specimens of plants, plant products or other articles (i.e. *components from a particular place of origin*) that are about to be imported are exclusively those that had been certified (cf. the deliberation in section 1.1 regarding the proposed definition of *identity (of a consignment)*, in particular, the SC conclusion regarding *loss or subtraction*);

- (4) While the unchanged *identity* is one major element of the consignment's integrity, also concerns that '*any seals or packaging are undamaged*' is considered an important element of integrity and is therefore added to the definition;
- (5) The introductory wording '*State of*' is added to emphasize that integrity is a (desirable) state of a consignment, not an action to the consignment, and also added with the intent to provide a simple sentence;
- (6) The wording '*or other officially accepted document*' is deleted because ISPMs deal with the harmonization of phytosanitary measures (in this case: as regards phytosanitary certification), whereas any other, bilateral arrangement is irrelevant for the definition;
- (7) The proposed definition of *integrity (of a consignment)* does not conflict with current uses of the term in adopted ISPMs. It is noted that in the draft revised ISPM 12 currently sent for the second consultation, the use of the term '*integrity (of a consignment)*' has been avoided.

Current definition

Integrity (of a consignment)	Composition of a consignment as described by its phytosanitary certificate or other officially acceptable document, maintained without loss, addition or substitution [CPM, 2007]
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Proposed revision

Integrity (of a consignment)	Composition <u>State of a consignment when its identity is unchanged and any seals or packaging are undamaged as described by its phytosanitary certificate or other officially acceptable document, maintained without loss, addition or substitution</u>
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2.3. “phytosanitary security (of a consignment)” (2013-008)

- [19] The SC in 2013 agreed to combine the work on definitions for the inter-related terms ‘identity (of a consignment)’, ‘integrity (of a consignment)’ and ‘phytosanitary security (of a consignment)’, and added ‘phytosanitary security (of a consignment)’ to the TPG work programme.
- [20] A first TPG draft ‘package’ of definitions including *phytosanitary security (of a consignment)* had been discussed by the SC in 2014, but the further development process put on hold, awaiting the output from the Expert Drafting Group on “*Focused revision of ISPM 12 (Phytosanitary certificates) in relation to re-export*” that met in December 2019. Subsequently, the TPG in January 2021 had submitted a new proposal, reviewed by the SC in May 2021, and sent for consultation.
- [21] *Phytosanitary security* is the term used for the (desirable) state of a consignment for which the *integrity* (cf. section 2.2) has been maintained and its infestation and contamination prevented.
- [22] The proposed revision does not change the substantial meaning of the term but aims at providing correct grammar, simplification, and consistency with the proposed definitions of *identity (of a consignment)* and *integrity (of a consignment)*.

The following explanatory points may be considered when reviewing the definitions:

- (1) ‘*Maintenance of integrity*’ has been substituted to ‘*State...when...integrity has been maintained*’ to correctly reflect that phytosanitary security is a *state*, not an action (in analogy to the original and revised definition of ‘*integrity (of a consignment)*’);
- (2) Similarly, ‘*prevention of its infestation and contamination...*’ has been substituted to ‘*infestation and contamination...prevented*’;
- (3) The word ‘*appropriate*’ qualifying the ‘*phytosanitary measures*’ in the original definition is considered unnecessary and inappropriate for a definition and is therefore deleted;

- (4) It is noted that in the draft revised ISPM 12 currently sent for the second consultation, uses of the term ‘*phytosanitary security (of a consignment)*’ have been retained with the expectation that the substantial meaning of the revised term would not change.

Current definition

Phyosanitary security (of a consignment)	Maintenance of the integrity of a consignment and prevention of its infestation and contamination by regulated pests , through the application of appropriate phytosanitary measures [CPM, 2009]
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Proposed revision

Phyosanitary security (of a consignment)	Maintenance of the integrity State of a consignment <u>when its integrity has been maintained</u> and prevention of its infestation and contamination by regulated pests; prevented through the application of appropriate phytosanitary measures
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2.4. “germplasm” (2020-005)

- [23] “*Plants for planting*” and “*germplasm*” are noted to have entered the Glossary independently. The distinction between the terms in practice has not been closely considered. “*Germplasm*” is considered to present a higher pest risk than other “*plants for planting*”, since it may originate relatively recently from wild plants, and information on its possible infestation by pests may be limited and based on a relatively short period of observation.
- [24] During their November 2019 meeting, the TPG recognized the definition of the term “*germplasm*” as being completely included within the definition of “*plants for planting*” and invited to add the term to the TPG work programme. In November 2020, the SC added “*germplasm*” to the list of topics for IPPC standards.
- [25] The TPG in January 2021 proposed the revision of the definition of “*germplasm*” to refer to “*plants for planting*” and not just “*plants*”. The proposal was reviewed by the SC in May 2021 and sent for consultation. The following revision is proposed.

Current definition

Germplasm	Plants intended for use in breeding or conservation programmes [FAO, 1990]
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Proposed revision

Germplasm	Plants <u>for planting</u> intended for use in breeding or conservation programmes
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2.5. “emergency measure” (2020-004)

- [26] At its meeting in November 2019, the TPG had proposed the revision of “*emergency action*” in the draft 2020 Amendments to the Glossary and had invited the SC to add the terms “*emergency measure*” and “*provisional measure*” to the TPG work programme. In November 2020, the SC added both terms to the List of topics for IPPC standards.
- [27] At its January 2021 meeting, the TPG considered whether the definition of “*emergency measure*” needed amending because it refers to “*phytosanitary measure*” and “*provisional measure*”, which in turn relates to “*phytosanitary regulation*”, which relates to regulated pests.
- [28] During the 2001 meeting of the Interim Commission on Phytosanitary Measures Working Group on the Glossary of Phytosanitary Terms (GWG), it was noted that Article VII.6 of the Convention referred to “*emergency action*”, but no article referred to “*emergency measure*”. It was suggested that no particular distinction between “*emergency action*” and “*emergency measure*” was being made at the time the

revised text was adopted. However, if the terms were to be adopted now by the ICPM, Article VII.6 should most probably refer to “*emergency measure*” and not to “*emergency action*”. It drew this point to the attention of the Interim Standards Committee. It noted further that the French text uses “mesures” and the Spanish text “medidas”.

- [29] The GWG, during its 2004 meeting, noted the difference which was made between emergency measure / phytosanitary measure, emergency action / phytosanitary action, mostly in relation to the notification provisions. Some participants believed that emergency action is a type of phytosanitary measure, but others noted that it was not covered under the definition of phytosanitary measure, which refers to regulated pests, and emergency action could be taken on pests not regulated at all or regulated but not for the commodity concerned. The GWG noted that emergency action / emergency measure and their relation to regulated pests should be considered further since it seemed that this left no place for action against pests which are not specifically regulated.
- [30] The Expert Working Group for the revision of ISPM 1 (*Phytosanitary principles for the protection of plants and the application of phytosanitary measures in international trade*) in 2004 discussed that emergency action is done on a single occasion and that an emergency measure is an established procedure of what would be done if an emergency situation arose. Therefore, emergency measures encompass emergency actions. It was indicated that the term was being used in the standard in a way not consistent with the Convention, so an explanatory note was included to highlight this.
- [31] The explanatory note in section 2.11 (Emergency measures) of ISPM 1 states that: “The term emergency actions in Article VII.6 of the IPPC is interpreted to include emergency measures as defined in ISPM 5.”
- [32] The TPG in its January 2021 meeting had submitted a proposal for a revised definition of “*emergency measure*”, reviewed by the SC in May 2021, and sent for consultation.
- [33] The following explanatory points may be considered when reviewing the proposal for the revision of the definition:
- (1) The use of “*emergency measure*” in adopted ISPMs is in relation to a new or unexpected phytosanitary situation:
 - A *new* phytosanitary situation results when a pest, not listed as a regulated pest, may require an emergency action because it has not been previously assessed. At the time of interception, it may be categorized as a regulated pest on a preliminary basis because the NPPO has a cause to believe it poses a pest risk.
 - An *unexpected* phytosanitary situation may arise when a pest, although regulated, is detected in an imported consignment and has not been listed or otherwise specified because it was not anticipated for the origin, commodity or circumstances for which the list or phytosanitary measure was developed, or is detected in an area and needs to be prevented from establishing or spreading following its recent entry;
 - (2) The use of “*phytosanitary measure*” in the current definition of “*emergency measure*” would imply that an emergency measure can only be used in relation to a regulated pest. However, this current definition contradicts the Convention text (Article VII.6), section 2.11 of ISPM 1, section 4.2 of ISPM 13 and section 5.1.6.2 of ISPM 20. In all these instances, emergency action/measure can be taken/applied on the detection of a pest, not regulated yet but that could pose a potential threat;
 - (3) “*Phytosanitary measure*” is replaced with “*official rule or procedure*” as a rule encompasses legislation, regulation, statute, etc., and procedure indicates a method or process; furthermore, the rule or procedure is official as it is established, authorized or performed by the NPPO;
 - (4) “*Established*” is replaced with “*introduced*” to emphasize the rapid or quick response to address the urgent situation;

- (5) The text “*to prevent the entry, establishment or spread of a pest*” is inserted to replace “*phytosanitary*” and thus allows the deletion of “*phytosanitary measure*”; it qualifies the phytosanitary nature of the situation and the intent of the rule or procedure;
- (6) The text “*not addressed by existing phytosanitary measures*” clarifies that the situation is critical from a phytosanitary standpoint and needs to be addressed.

Current definition

Emergency measure	A phytosanitary measure established as a matter of urgency in a new or unexpected phytosanitary situation. An emergency measure may or may not be a provisional measure [ICPM, 2001; revised ICPM, 2005]
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Proposed revision

Emergency measure	An phytosanitary measure official rule or procedure established as a matter of urgency introduced to prevent the entry, establishment or spread of a pest in a new or unexpected phytosanitary situation not addressed by existing phytosanitary measures . An emergency measure may or may not be a provisional measure
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2.6. “provisional measure” (2020-008)

- [34] At its meeting in November 2019, the TPG had proposed the revision of “*emergency action*” in the draft 2020 Amendments to the Glossary and had invited the SC to add the terms “*emergency measure*” and “*provisional measure*” to the TPG work programme. In November 2020, the SC added both terms to the List of topics for IPPC standards. At its January 2021 meeting, the TPG discussed the term “*provisional measure*”.
- [35] As per its current definition, a “*provisional measure*” is a phytosanitary regulation established without full technical justification. However, phytosanitary regulation is established to prevent the introduction or spread of quarantine pests or limit the economic impact of regulated non-quarantine pests.
- [36] Pest risk analysis (PRA) provides the technical justification for the regulation of a pest. Therefore the current definition of “*provisional measure*” contradicts the principle of establishing a phytosanitary regulation, which should be based on technical justification.
- [37] In reality, a provisional measure is applied following the detection of a new pest which, based on preliminary information, could be considered a potential quarantine pest. Further information in the form of completion of the PRA is required to determine the regulatory status of the pest and the appropriate phytosanitary measures. Provisional measures are established to prevent the introduction or spread of the pest for the duration it takes to complete the PRA. However, the inclusion of “*phytosanitary regulation*” in the current definition of “*provisional measure*” contradicts the use of provisional measures, which are established without full technical justification.
- [38] In order to address the discrepancy, the TPG looked into amending the definition of “*provisional measure*”. The TPG in its January 2021 meeting had submitted a proposal, reviewed by the SC in May 2021, and sent for consultation.
- [39] The following explanatory points may be considered when reviewing the proposal for the revision of the definition:
- (1) The term “*phytosanitary regulation*” is replaced by “*temporary official rule*” in order to emphasize that a provisional measure is temporary in nature; rule encompasses legislation, regulation, statute, etc.; furthermore, the rule or procedure is official as it is established, authorized or performed by the NPPO;

- (2) The text “to prevent the entry, establishment or spread of a pest” further enables the deletion of “phytosanitary regulation” and qualifies the phytosanitary nature and intent of the rule or procedure;
- (3) The term “established” is replaced by “set up” in order to further support the temporary nature of the measure; “established” would indicate that a rule is set up on a permanent basis, which is not the case for the provisional measure.

Current definition

Provisional measure	A phytosanitary regulation or procedure established without full technical justification owing to current lack of adequate information. A provisional measure is subjected to periodic review and full technical justification as soon as possible [ICPM, 2001]
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Proposed revision

Provisional measure	A phytosanitary regulation temporary official rule or procedure to prevent the entry, establishment or spread of a pest , set up established without full technical justification owing to current lack of adequate information; and A provisional measure is subjected to periodic review and full technical justification as soon as possible
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2.7. “inspection” (2017-005)

- [40] During the revision of the definitions for ‘*test*’ and ‘*visual examination*’, the TPG in 2015 recognized that the definition of ‘*inspection*’ might be considered partly outdated due to technological advances. In 2017, the SC, therefore, added the term ‘*inspection*’ to the List of topics for IPPC standards for a possible revision. Subsequently, the TPG considered possible modifications to the definition to take into account the use of olfactory, acoustic or other types of tools that may assist inspectors in performing inspections.
- [41] A revised definition was presented to and considered by the SC in 2018. While confirming the need for retaining the distinction between the definitions of ‘*inspection*’ and ‘*test*’ (as often distinguished in ISPMs and phytosanitary legislation), the SC queried the need and feasibility of including other tools than ‘*visual examination*’ into ‘*inspection*’. Furthermore, noting that ISPM 23 (*Guidelines for inspection*) actually deals with the inspection of ‘*consignments*’ only, the SC noted two different uses of ‘*inspection*’ in ISPM 23: in some parts ‘*inspection*’ is used congruent to its current definition, in other parts explicitly stating that inspection also includes the processes of examination of documents and verification of identity and integrity of the consignment.
- [42] The SC did not reach consensus on the way forward and referred the term ‘*inspection*’ back to the TPG, to particularly evaluate the term in relation to ‘*test*’, the uses of ‘*inspection*’ in ISPM 23 and the possible future revision of that standard.
- [43] The TPG continued its discussion in its 2018, 2019 and 2021 meetings, also awaiting the parallel considerations of the consignment-related terms ‘*identity (of a consignment)*’, ‘*integrity (of a consignment)*’ and ‘*phytosanitary security (of a consignment)*’. In this process, the TPG concluded to dismiss proposed amendments to include other examination tools in the definition of inspection and reconfirmed that the distinction between ‘visual’ versus ‘other than visual’ examination in *inspection* and *test*, respectively, remains to be most important.
- [44] The TPG considered various ways to overcome the discrepancy between the current definition of ‘*inspection*’ and the broader use of the term (in less than 10 of altogether approximately 70 cases) in certain parts of ISPM 23. Considerations included:
- creating a supplementary definition of ‘*phytosanitary inspection*’ to include the processes of examination of documents and verification of the consignment’s identity and integrity,
 - broadening the definition of ‘*inspection*’ to include those processes.

[45] However, the TPG finally concluded that, in particular given that:

- ‘*inspection*’ in its current narrow sense, i.e., referring only to the official visual examination of plants etc., is being used widely in many ISPMs, including in far the most of the cases within ISPM 23; and
- the Glossary term ‘*compliance procedure (for a consignment)*’, already covering the verification of compliance with phytosanitary import requirements, would fit as the overarching term to be used in the particular parts of ISPM 23,

[46] it would be appropriate to:

- retain the current, narrow definition of ‘*inspection*’; and
- adjust the very limited number of cases in ISPM 23 where ‘*inspection*’ had been used beyond its current definition by referring instead to ‘*compliance procedure (for a consignment)*’, as proposed for revision (cf. section 2.9).

[47] Following that approach, the proposed revision of ‘*inspection*’ only aims at improving the wording and consistency with other definitions. The SC reviewed the proposal at its meeting in May 2021 and sent it for consultation.

[48] The following explanatory points may be considered when reviewing the proposal for revision:

- (1) Through Article VII.2f of the Convention and the definition of ‘*compliance procedure (for a consignment)*’, the terms ‘*compliance*’ and ‘*non-compliance*’ are linked with consignments, and the ‘General recommendations on use of terms in ISPMs’ stipulates ‘*conformity*’ be used in other cases. As *inspection* has a broader scope than only consignments, ‘*compliance*’ is therefore substituted by ‘*conformity*’;
- (2) The word ‘*determine*’ is substituted by ‘*check*’ to reflect the change from ‘*compliance*’ to ‘*conformity*’; also avoids redundancy as ‘*determine*’ is used earlier in the sentence;
- (3) The term ‘*regulations*’ is substituted by ‘*requirements*’, as phytosanitary regulations are at a higher level and refer to regulated pests. However, inspection can be carried out in scenarios other than at import, like at place of production or production site or at export, and inspection in such scenarios may not be always be related to regulated pests;
- (4) While the term ‘*inspection*’ needs substitution by ‘*compliance procedure*’ in a few cases in ISPM 23 (irrespective of the proposed revision), the use of the revised definition of ‘*inspection*’ does not conflict with the current uses of the term in adopted ISPMs.

Current definition

Inspection	Official visual examination of plants, plant products or other regulated articles to determine if pests are present or to determine compliance with phytosanitary regulations [FAO, 1990; revised FAO, 1995; formerly “inspect”]
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Proposed revision

Inspection	Official visual examination of plants, plant products or other regulated articles to determine if pests are present or to determine compliance <u>check conformity</u> with phytosanitary <u>requirements</u> regulations
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2.8. “test” (2021-XXX)

[49] In January 2021, when concluding the proposed revision of ‘*inspection*’ (cf. section 2.7), the TPG recommended the consequential consistency revision of the definition of the related term ‘*test*’. The SC reviewed the proposal at its meeting in May 2021 and sent it for consultation.

[50] The proposed revision does not change the substance but merely aims at the consistency of wording.

[51] The following explanatory points may be considered when reviewing the proposal for revision:

- (1) Through Article VII.2f of the Convention and the definition of *compliance procedure (for a consignment)*, the terms ‘*compliance*’ and ‘*non-compliance*’ are linked with consignments, and the ‘General recommendations on use of terms in ISPMs’ stipulates ‘*conformity*’ be used in other cases. As *test* has a broader scope than only consignments, the term ‘*compliance*’ is therefore substituted by ‘*conformity*’;
- (2) The word ‘*determine*’ is substituted by ‘*verify*’ in order to highlight that in the case of testing, the use of appropriate methods and technology would ensure that the result of the test leads to a decision. In this case, *test* is a decisive action, and the use of the word ‘*verify*’ to describe the action would be more appropriate;

Current definition

Test	Official examination of plants, plant products or other regulated articles , other than visual, to determine if pests are present, identify pests or determine compliance with specific phytosanitary requirements [FAO, 1990; revised CPM, 2018]
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Proposed revision

Test	Official examination of plants, plant products or other regulated articles , other than visual, to determine if pests are present, identify pests or determine compliance <u>verify conformity</u> with specific phytosanitary requirements
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2.9. “compliance procedure (for a consignment)” (2021-XXX)

[52] In May 2019, the SC added ‘*clearance (of a consignment)*’ to the List of topics for IPPC standards for a possible revision. Subsequently, a proposed revised definition to clarify that ‘*clearance (of a consignment)*’ is a process rather than a result of such a process was sent for consultation in 2020. In response to comments received from several countries, the TPG recommended to the SC that the consignment-related terms ‘*clearance (of a consignment)*’ (cf. section 3.1), ‘*compliance procedure (for a consignment)*’ and ‘*release (of a consignment)*’ (cf. section 2.10) be considered together.

[53] At the same time, in the continued TPG discussions on how to resolve the discrepancy between certain parts of ISPM 23 and the definition of ‘*inspection*’ (cf. section 2.7), the TPG concluded that the Glossary term ‘*compliance procedure (for a consignment)*’ would fit as the overarching term to be used in those parts of ISPM 23, whereby the discrepancy would be resolved through a very limited number of adjustments to ISPM 23. The SC reviewed the proposal at its meeting in May 2021 and sent it for consultation.

[54] The proposed revision in particular aims at expanding on the possible elements (as outlined in ISPM 23) of a compliance procedure by explicitly including and creating links to ‘*inspection*’, ‘*test*’, and the examination of documents and verification of the consignment’s ‘*integrity*’.

[55] The following explanatory points may be considered when reviewing the proposal for revision:

- (1) The addition of ‘*of document checks, verification of consignment integrity, and inspection or testing of plants, plant products or other regulated articles*’ serves to more specifically explain which elements a compliance procedure may consist of, and thereby creating a clear link to those concepts and definitions. It is noted that the proposed revised definition of *integrity (of a consignment)* includes the ‘*identity is unchanged*’ so that verification of integrity includes verification of identity;

- (2) ‘*Procedure*’ is substituted by ‘*process*’ in order to highlight that it is a series of steps or actions that are performed and, when completed, leads to the release of a consignment or transit through a country;
- (3) The wording ‘*used to verify*’ is substituted by ‘*to check*’ in order to highlight that there may be additional steps or actions needed prior to completing the compliance procedure; for example, an inspection may identify the need to test. Verification would be a decisive step, and in the case of compliance procedure, considering the potential for additional steps or actions, “check” is more appropriate than “verify”;
- (4) As the definition of ‘*phytosanitary measure*’ includes ‘*any...official procedure*’, the notion of a consignment complying with phytosanitary measures is inadequate. The wording ‘*...or phytosanitary measures related to transit*’ is therefore changed to ‘*or if phytosanitary measures related to transit have been applied*’;
- (5) The proposed definition of ‘*compliance procedure (for a consignment)*’ does not conflict with the current uses of the term in ISPMs.

Current definition

compliance procedure (for a consignment)	Official procedure used to verify that a consignment complies with phytosanitary import requirements or phytosanitary measures related to transit [CEPM, 1999; revised CPM, 2009]
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Proposed revision

compliance procedure (for a consignment)	Official procedure used to verify that <u>process of document checks, verification of consignment integrity, and inspection or testing of plants, plant products or other regulated articles to check if a consignment</u> complies with phytosanitary import requirements or <u>if phytosanitary measures related to transit have been applied</u>
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2.10. “release (of a consignment)” (2021-XXX)

[56] In January 2021, when discussing the proposed deletion of ‘*clearance (of a consignment)*’, the TPG recommended the consequential revision of the definition of ‘*release (of a consignment)*’. The SC reviewed the proposal at its meeting in May 2021 and sent it for consultation.

[57] The following explanatory points may be considered when reviewing the proposal for revision:

- (1) The revision does not change the substance of the definition but merely links *release* to *compliance procedure* rather than to *clearance* (as proposed for deletion, cf. section 3.1);
- (2) The revised definition of *release (of a consignment)* does not conflict with the current uses of the term in adopted ISPMs.

Current definition

release (of a consignment)	Authorization for entry after clearance [FAO, 1995]
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Proposed revision

release (of a consignment)	Authorization for entry after <u>completion of the compliance procedure</u> clearance
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3. DELETIONS

3.1. “clearance (of a consignment)” (2018-045)

[58] In 2018, the TPG had noted that the definition of ‘*clearance (of a consignment)*’ is unclear as to whether clearance is a particular *process* or the *result* of a process and recommended the definition be revised. In May 2019, the SC added ‘*clearance (of a consignment)*’ to the List of topics for IPPC standards. Subsequently, a revised definition to clarify that clearance is a *process* rather than a result of such process and that such process is ‘*official*’ was sent for the first consultation in 2020. In response to comments received from several countries, the TPG recommended to the SC that the consignment-related terms ‘*clearance (of a consignment)*’, ‘*compliance procedure (for a consignment)*’ (cf. section 2.9) and ‘*release (of a consignment)*’ (cf. section 2.10) be considered together.

[59] Discussing the Glossary terms ‘*clearance (of a consignment)*’ (in its prospective revised form) and ‘*compliance procedure (for a consignment)*’ in its meeting in December 2020 / January 2021, the TPG concluded that the two terms, in essence, are almost synonymous, given the general agreement at the consultation that clearance is an ‘official process’. The TPG concluded that the term is redundant, both in its current and revised version, and therefore recommended the term and definition be deleted from the Glossary. Consequential to the proposed deletion, the definition of ‘*release (of a consignment)*’ would need a slight revision (as proposed, cf. section 2.10), and some very few ink amendments in adopted ISPMs are recommendable.

[60] The SC reviewed the proposal at its meeting in May 2021 and sent it for consultation.

Definition to be deleted

Clearance (of a consignment)	Verification of compliance with phytosanitary regulations [FAO, 1995]
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