REPORT

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26-30 April
2004

Standards Committee
Fourth meeting

Meeting Report
AGP/2004

REPORT OF THE FOURTH MEETING OF THE STANDARDS COMMITTEE

Rome, Italy: 26–30 April 2004

FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS
Rome, 2004

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1. OPENING OF THE MEETING

The meeting was opened by Mr Niek van der Graaff (IPPC Secretary) who welcomed the participants to the Fourth Meeting of the Standards Committee (SC). He noted that it was the first time that the composition of the SC had been partially renewed and welcomed the new SC members. He emphasized the essential role of the SC and the importance of participation of its members in regional workshops on draft ISPMs.

2. SELECTION OF SC CHAIRPERSON AND VICE-CHAIRPERSON

Mr Marc Vereecke was elected as Chairperson of the SC and Mr Odilson Ribeiro e Silva as Vice-Chairperson.

3. ADOPTION OF THE AGENDA

The SC reviewed the agenda (see Appendix 1) and proposed that the report of the 3rd meeting of the SC should be put on the agenda. The amended agenda was adopted. The SC decided that the report of the previous meeting should be a standing agenda item for all SC meetings.

4. REPORT OF THE THIRD MEETING

No remarks were made and the SC noted the report.

5. EXPECTATIONS AND CONDUCT OF THE MEETING

The SC agreed that the finalized versions of documents (e.g. standards and specifications) would be agreed on by the end of the week. The SC also agreed to separate into two subgroups for review of individual draft ISPMs, and agreed not to have a complete redrafting of the texts, but rather to identify and address the main concerns. The SC also decided to work in 2 subgroups to consider the large number of specifications; one group worked on specifications for technical panels and associated standards, and the other group worked on other specifications. The SC also agreed to consider how it should operate for its next meetings (see section 20.2).

6. BRIEF OVERVIEW OF THE DEVELOPMENT OF ALL CURRENT DRAFT STANDARDS

Stewards or an Expert Working Group participant briefly reported on the draft standards which are currently on the work programme. The SC noted these presentations.

In relation to the drafts which are still under development, the following points were noted:

- *Efficacy of measures*. a meeting would take place later during the year to further develop the draft
- *Systems approaches for citrus canker and surveillance for citrus canker*. An EWG had met on systems approaches for citrus canker. Consensus had not been reached on the inclusion of statistical tables, and another meeting was needed. The link between the two proposed standards, one on systems approaches for citrus canker and the other on surveillance for citrus canker needed to be considered.
- *Formatting of diagnostic protocols*. The possibility that the development of a format for diagnostic protocols could be given to the Technical Panel (TP) to develop diagnostic protocols for specific pests was raised. However, it was noted that TPs could not produce general standards but these would go through the normal standard-setting process.

7. DETAILED REVIEW OF DRAFT STANDARDS PROPOSED FOR COUNTRY CONSULTATION

The SC separated into 2 subgroups to review the individual draft standards. These subgroups finalized the texts for country consultation, and reported to the full meeting. Two draft standards, ISPM No. 1 and ISPM No. 2, were not considered ready to be sent for country consultation.

7.1 GUIDELINES ON THE CONCEPT OF EQUIVALENCE OF PHYTOSANITARY MEASURES AND ITS APPLICATION IN INTERNATIONAL TRADE

The SC discussed the use of the terms “appropriate level of protection” and “acceptable level of risk” in ISPMs. The SC recommended that the two terms should be used together for the time being. The SC recommended that the GWG should consider these terms or that the EWG should be reconvened, and that a supplement to the Glossary should be drafted to explain these terms. It was noted that a group had previously met on this issue. It was also noted that the EWG on revision of ISPM No. 1 had provided a definition of acceptable level of risk, which had been added to the draft standard.

The steward (John Hedley) agreed to consider suggestions for merging paragraphs and to ensure that the wording in section 3.4 was clear. The SC discussed whether to include section 4 as an appendix rather than part of the text, but it was considered to be one of the most important parts of the standard by some members. The SC agreed to consider whether the wording could be moderated to take into account situations when it was not appropriate or necessary to go through all the steps. This will be dealt with at the country comment stage.

The SC decided that this text should be sent for country consultation (see Appendix 2).

7.2 REQUIREMENTS FOR THE ESTABLISHMENT, MAINTENANCE AND VERIFICATION OF AREAS OF LOW PEST PREVALENCE

The SC noted that, whereas bilateral work plans and agreements may be involved in the creation of ALPPs, bilateral arrangements may not be the only way in which they are established. It was agreed that there would be only one mention of bilateral plans in this standard. The SC also modified the draft standard to ensure that measures were appropriate for a range of pests, rather than only for insects, and also to reflect the different ways of implementing measures around the globe.

It was noted that ALPP may be used to protect plant production from the introduction of pests into an area, rather than just as a mechanism to facilitate exports, although it was acknowledged that it was not the intention of the draft to create opportunities for barriers to trade.

It was agreed that the definition of buffer zone needed to be modified to include ALPPs.

A useful checklist of information of relevance to some insect pests was included as an appendix. The SC recommended that in the future more detailed guidance may be required for specific pests, similar to that provided in this appendix and that a technical panel may be the forum for development of such guidance.

The SC decided that this text should be sent for country consultation (see Appendix 3).

7.3 REVISION OF ISPM NO. 3

The SC discussed how this standard was within the scope of the IPPC, and agreed to an additional section "background" to explain that better. A completely new structure was proposed for this standard. Although the alternative proposed was discussed, the subgroup mostly favoured the current structure.

The SC decided that this text should be sent for country consultation (see Appendix 4).

7.4 REVISION OF ISPM NO. 2

The SC recognized the urgent need to revise ISPM No. 2 to provide appropriate guidance on PRA. It recognized the good work achieved by the EWG in following the specification given to it, in integrating the new concept of hazard identification and risk communication and in establishing a link with the more specific standards on PRA (ISPM No. 3, No. 11 and No. 21). It realized the potential value of the document and noted that the language used in the draft was very satisfactory.

The SC noted that the EWG had chosen to produce a completely stand-alone document, but believed that duplication and overlap should be avoided. It therefore suggested that some sections could be shortened or deleted, and already made suggestions which could be passed on. In discussing the interrelation between ISPMs No. 2, 3 (biocontrol agents), 11 (quarantine pests) and 21 (regulated non-quarantine pests), the SC thought that ISPM No. 2 should cover only general elements of PRA, and hazard identification and risk communication; it could refer to ISPM No. 11 and No. 21 in relation to risk assessment and risk management. It also noted that ISPM No. 3 would use both ISPM No. 2 (for hazard identification) and ISPM No. 11 (for pest risk assessment). This decision to avoid overlap would have consequences for ISPMs 11 and 21, which would need to be revised to contain only assessment and management. Finally, the SC noted some technical issues still to be resolved, such as the fact that environmental risks were linked to others but that this relation was not fully integrated in the draft.

The SC decided that it did not have the time and mandate to review and rewrite the text submitted and that whereas it might envisage solving the structural issues, it could not address technical issues. It debated at length whether the text should be sent for country consultation, noting these shortcomings, but thought that it would be confusing and wished to avoid technical problems.

Consequently, the SC was disappointed to have to decide that the draft should not go for country consultation but should be sent back to an EWG for further review. It therefore revised the specification for this standard to address the concerns raised. The SC agreed that a small EWG should be constituted and nominated Mr Ebbe Nordbo (Denmark), Mr Moses Kairo (CABI), Mr Hedley (IPPC Secretariat - New Zealand) and Mrs Velia Arriagada (Chile) to take part in this subgroup. Mrs Arriagada was not able to attend the meeting at the only dates possible for the rest of the members, and was later replaced by Mr Alan Auclair (US), but was given the opportunity to send her comments.

7.5 GUIDELINES FOR CONSIGNMENTS IN TRANSIT

The draft was amended to focus on consignments in transit and a new definition for consignments in transit was proposed. The SC noted that the standard should clarify that NPPOs and Customs have separate responsibilities within the transit system. The NPPO has phytosanitary responsibility and Customs has responsibility for control of consignments in transit. The carrier has responsibility for compliance with requirements of both services.

It was noted that the draft standard did not address occasions where a consignment passes through a transit country, but is then rejected by the importing country. The SC considered that there may be many different scenarios that could not be adequately covered in a standard.

The SC decided that this text should be sent for country consultation (see Appendix 5).

7.6 AMENDMENTS TO ISPM NO. 5 (GLOSSARY OF PHYTOSANITARY TERMS)

The SC reviewed the proposals made by the Glossary Working Group regarding new or revised definitions. The SC decided that this text should be sent for country consultation (see Appendix 6).

7.7 REVISION OF ISPM NO. 1

The subgroup considering the proposed revision of ISPM No. 1 noted several difficulties with the revised text proposed. It also noted that ISPM No. 1 had been drafted before the IPPC was approved, and before the SPS Agreement came into force, and wondered if it was still relevant to produce an ISPM on principles, or if this standard could be removed. Alternatively, the text could be reworked to make it more consistent and aligned on the IPPC. However, the subgroup felt that it could not decide on this, required legal advice and reported to the main session of the SC.

During the discussions, it appeared that although the text offered good guidance on the IPPC, there were some difficulties to be resolved:

- The text went further than the principles stated in the IPPC. The EWG had elaborated on some principles and had also added or renamed some principles. Such information could be given as guidance, but not as an obligation.
- The text used "should" consistently with normal policy for ISPMs, but some principles in the Convention referred to "shall". The SC noted that ISPM No. 1 had been drafted before the 1997 amendments to the IPPC had been approved, and some principles which were recommendations in the original ISPM No. 1 were now binding under the IPPC. The current text thus appeared as a weakening of the IPPC. If IPPC obligations were mentioned, they should be stated by directly quoting the IPPC.
- The text included some SPS principles which are not in the IPPC and, although these principles are important, they should be mentioned in a way which does not contradict the IPPC.
- It might be more appropriate to call the text "operational guidance" than "principles"
- The redrafting might not be possible, and in this case the text could be considered as an explanatory document in relation to the IPPC.
- The original ISPM No. 1, and its proposed revision, contains language approved before the SPS Agreement and subsequent revision to the IPPC (1997).
- the SC noted that this standard was useful and still wondered whether it would be possible to redraft it in a way which would be suitable.

The SC and the IPPC legal adviser, Peter Lallas, noted that there would be two possible options for the redrafted ISPM No 1:

1. Add some explanatory text to indicate that the standard provides additional guidance on the principles of the IPPC. This would also require revising the draft standard to include direct quotations from the Convention.
2. Change the status of the draft text to an explanatory document.

The SC did not reach an agreement on the options, but acknowledged that ISPM No. 1 is a useful summary of the provisions of the IPPC and is widely used by contracting parties. It was however agreed that it would not be possible to send the current draft text for country consultation. The SC decided that the Secretariat should envisage two possible options while trying to tackle the above issues: develop the standard in a way that is compatible with the IPPC (1997 revised text) and produce an explanatory document. .

7.8 GUIDELINES FOR INSPECTION OF CONSIGNMENTS

The SC noted that the draft standard covered more than simply the inspection (visual examination) of consignments and an alternative title was envisaged: *Guidelines for checking compliance of consignments*. The draft included additional activities, including document checking and integrity checking that inspectors would do at import and export.

The SC proposed that the GWG look at whether definitions of visual inspection or visual examination were required.

Following a discussion on the concepts covered by this standard, the SC decided to remove text on the design of sampling strategies from the draft. The SC considered that the design of sampling strategies and inspection of consignments may be done by different personnel within the NPPO and that it may be more useful to have the two elements separated into two standards. ICPM-6 had recognized that more detailed guidance on sampling was required and had put the development of a standard on sampling on the work programme.

The SC therefore limited the focus of the draft standard to be sent for country consultation to practical aspects of the inspection of consignments, with an introduction to theoretical aspects of sampling and introduction of the term detection threshold. A specific task on consideration of the detailed guidance on sampling strategies was included in Specification No. 20. The SC recommended that the text removed from this draft should be considered by the expert working group on sampling

The figures were amended to reflect the processes at import and export and to delete theoretical elements of sampling design.

The SC decided that this text should be sent for country consultation (see Appendix 7).

8. INTEGRATION OF SUPPLEMENT ON LMOS INTO ISPM NO. 11

The ICPM requested the Secretariat to integrate the supplement to ISPM No. 11 Rev. 1 on pest risk analysis for living modified organisms into ISPM No. 11 Rev. 1 and identify clearly the sections arising from the supplement on analysis of environmental risks and PRA for LMOs, and requested the SC to approve the final text before publication.

The SC agreed to use the letters S1 and S2 in the margin of ISPM No. 11 to denote the revisions to the text introduced in supplements No. 1 and 2. It reviewed the editorial changes made to the text to integrate the boxes originally present in the supplement approved at ICPM-6, and validated them. A few additional editorials were also proposed.

The legal officer also offered advice on how revised standards should be named. The term Rev. had already been used in a previous version of ISPM No. 11, and this option was not ruled out. The alternative would be to refer to the standards by their number and date of approval, e.g. ISPM No. 11 (2004). The SC also agreed that in future ISPMs the revised versions of ISPM No. 11 would not be referred to as “Rev. 1” or “Rev. 2”, but by the new title and date of approval by the ICPM, i.e. ISPM No. 11 would be referred to as ISPM No. 11 (2004) *Pest risk analysis for quarantine pests including analysis of environmental risks and living modified organisms*. The date would always appear when citing the revised ISPM No. 11.

9. ADMINISTRATIVE GUIDELINES FOR THE STRUCTURE OF STANDARD-SETTING DOCUMENTATION

The SC reviewed the draft on administrative guidelines for the structure of standard-setting documentation and made detailed modifications. The text would be redrafted by the steward before the November meeting with the aim of presenting it for approval to ICPM-7 as an administrative procedure to be included in the IPPC’s Procedural Manual. In the meantime, the draft document could be provided to expert working groups as a draft still under discussion.

Some further points of discussion were:

- The draft proposed that specifications are developed by the Secretariat or under the auspices of the Secretariat. It was noted that this was in contradiction with the procedures for the elaboration of ISPMs approved at ICPM-2, which stated that specifications are drafted by the Secretariat. The SC suggested that step 3 of the procedures for the elaboration of ISPMs should be modified to read "Specifications for the standards identified as priorities by the ICPM are drafted by or under the auspices of the Secretariat".
- The text suggests that only “should” and “may” are used in standards. The SC added flexibility to the text to provide for cases when “must” can be used. The proposed text would be submitted to the legal office for verification.
- The draft allowed for sections on "background" in the main text, and "revision" in the introduction. The SC noted that these sections were equivalent, and should appear only at one place. It suggested that each standard should include a section on “background”. In case of a revision, this section could include elements on the reasons for revision. It was suggested that this section should be included at the beginning of the main text of the standard.

10. SPECIFIC ISSUES IN RELATION WITH ISPM NO. 5 (GLOSSARY OF PHYTOSANITARY TERMS)

Mr Ian Smith (steward) reported on the last meeting of the Glossary Working Group, and items others than amendments to the Glossary. He noted that work was continuing on the environmental terms in relation with the CBD, and that the next meeting of the GWG would consider a paper on interpretations of CBD terms. The GWG still favoured the publication of ISPMs as a book format, as well as the maintenance of the Glossary as a multilingual standard.

The GWG had noted that all new terms in new ISPMs were transferred to the Glossary, and that sometimes terms which had no special meaning in phytosanitary context were included and should not be. It was proposed that the Definitions section of standards should contain only terms of phytosanitary relevance and that other definitions could, if needed, be mentioned in footnotes. The SC preferred to avoid the use of footnotes, and thought that, when needed, ISPMs could contain two sections on definitions: Glossary definitions (including only terms of phytosanitary relevance) and, where appropriate, technical terms which are used specifically in the standard but are not specifically of phytosanitary relevance.

The SC accepted the GWG's offer to produce a first draft of a supplement to the glossary on "country of origin", to be considered by the SC at a later stage.

The SC noted that several new definitions which appeared in drafts for country consultation had not been considered by the GWG yet, and that it would be useful if the GWG could offer its opinion on these terms at the November meeting of the SC.

11. SPECIFICATIONS

11.1 SPECIFICATIONS FOR STANDARDS

11.1.1 Alternative strategies to methyl bromide (Specification No. 16)

The SC discussed the possible overlap between this proposed standard and the TP on treatments. If possible, it was suggested that the meetings of the TP on treatments and this EWG be organized so that experts from one group might be able to participate in the other group.

This specification was approved by the SC (see Appendix 8).

11.1.2 Classification of commodities by phytosanitary risk related to level of processing and intended use (Specification No. 18)

The SC agreed that this standard should help to clarify the different phytosanitary risks associated with different classes of commodity and different levels of processing. The standard should describe the concept and the different stages of the process to assess the risks and identify whether any phytosanitary measures might be required to mitigate the risks.

The Canadian SC member considered that it was important that the concept of pathway analysis was considered by the expert working group convened to draft the standard, because this concept is not fully explored in ISPMs.

This specification was approved by the SC (see Appendix 9).

11.1.3 Import of plant breeding material (Specification No. 19)

The SC considered the requirements for a concept standard on import of plant breeding material, but was not able to make a decision on the elements to include in the specification. Although the proposal for a concept standard had been considered by the SPTA, the SC and the ICPM, and approved as part of the work programme, the concept could be interpreted in several ways.

The SC considered that it should obtain guidance from the ICPM on the concept before a specification for the standard could be completed. There could be 3 interpretations of the concept, to provide guidelines:

- on the import of plant material for breeding, research or germplasm
- for the production and trade in nursery stock, or
- on determining potential invasiveness of plants.

In discussing the concept, the SC considered that a commodity ISPM on the production of nursery stock, in particular requirements for the production of propagation material such as cuttings would be the highest priority. Propagation material is often produced in very large quantities and may provide a large potential for introduction of pests. It is also traded widely internationally. However, the SC also recognized that the other two concepts could also have a large potential impact and decided to seek further guidance on the topic from the ICPM.

11.1.4 Guidelines on Sampling of consignments (Specification No. 20)

The SC agreed that the standard on sampling should focus on sampling of consignments for import, export and transit and that the expert working group convened to draft the standard should consider theoretical elements on sampling design removed from the draft standard on inspection methodology. The tasks also included considering providing additional guidance on statistics, sampling rate tables, and sampling for audit or testing.

This specification was approved by the SC (see Appendix 10).

11.1.5 Debarking of wood

The SC agreed that the standard should cover debarking of wood in a general way, and that the proposed specification needed to be reworded. This specification would be revised and considered by the extraordinary working group in July (see section 20.1) and be presented to at the November SC meeting for final approval.

11.1.6 Export certification for potato mini tubers and micropropagative material (Specification No. 21)

The SC reviewed the specification for the commodity standard on guidelines for regulating mini tubers and micropropagation material of potato. The SC noted that the original proposal had been for a standard on the import of

potatoes, but it had been recognized by the ICPM that this task would be too large for a single EWG and the scope of the specification had been restricted to mini tubers and micropropagation material of potato.

The group decided that the EWG should be asked to take into account relevant international and regional standards and also to consider national regulations if they are appropriate. There was discussion on whether commonly associated pests or regulated pests associated with this material should be considered by the EWG. It was noted that the material would normally not contain any pests and it was decided that one of the tasks of the EWG would be to consider whether to include pest lists.

This specification was approved by the SC (see Appendix 11).

11.1.7 Revision of ISPM No. 2, Guidelines for Pest Risk Analysis (Specification No. 3, rev 3)
The specification for redrafting ISPM no 2 was revised to ensure that the current draft was made more concise and to increase the emphasis on the new elements: hazard identification and risk communication, while risk assessment and risk management would be covered in other standards (ISPMs No. 11, 21 and 3) (see also section 7.4).

This revised specification was approved by the SC (see Appendix 12).

11.2 SPECIFICATIONS FOR TECHNICAL PANELS
11.2.1 Technical Panel to develop diagnostic protocols for specific pests (Technical Panel Specification No. 1)

This Technical Panel specification was approved by the SC (see Appendix 13).

11.2.2 Technical panel on pest free areas and systems approaches for fruit flies (Technical Panel Specification No. 2)
It was proposed that an effort should be made to involve the International Atomic Energy Agency in this panel.

This Technical Panel specification was approved by the SC (see Appendix 14).

11.2.3 Technical panel on treatments (Technical Panel Specification No. 3)
There was a discussion of the possible overlap of work of this TP and the EWG on Alternatives to methyl bromide. It was recommended that this TP meeting should be organized to facilitate good communication with the EWG on methyl bromide. It was also noted that there would be a need to be coordination between this TP's work and the work being done on a treatment manual.

This Technical Panel specification was approved by the SC (see Appendix 15).

11.2.4 Technical panel on forest quarantine issues (Technical Panel Specification No. 4)
The SC did not have time to study this draft specification, and decided that it would be studied by the extraordinary working group in July and be presented to at the November SC meeting for final approval.

11.3 PROPOSED SPECIFICATION FOR A TREATMENT SCHEDULE MANUAL
It was noted that other work in the standard setting area would need to begin before a specification for a treatment schedule manual could be developed.

11.4 NOMINATION OF STEWARDS IN RELATION TO SPECIFICATIONS FOR STANDARDS AND TECHNICAL PANELS
The SC approved stewards for all the proposed standards, including for specifications to be reviewed at the July meeting, apart from for specification No. 19 (import of plant breeding material), which would be returned to the ICPM for discussion, and also the proposed standard on electronic certification which was a low priority on the work programme. If required, a decision on a steward for the electronic certification standard would be made at the November meeting. Stewards are listed in Appendix 16. The SC agreed to select a member of the SC as steward whenever possible, because stewards have to take part in relevant SC meetings and no additional funding would then be needed.

12 SUBMISSION OF TOPICS AND PRIORITIES FOR FUTURE STANDARDS
Mr Vereecke noting that the development of some specifications had been difficult due to uncertainties on what the countries wished, suggested that any topic proposed should be accompanied by minimal information on its expected scope and content. The SC was informed that the Secretariat would draft a format for the submission of topics and priorities for standards, and would request such details. The Secretariat will seek input from the extraordinary working group in July. Proposals for topics and priorities should be submitted to the Secretariat by 1 October in order to be considered by the SPTA.

13 TERMS OF REFERENCE AND RULES OF PROCEDURE OF TECHNICAL PANELS

The SC reviewed and agreed to modifications to the proposed terms of reference and rules of procedure of technical panels. These will be presented to the SPTA at its next meeting.

14 TERMS OF REFERENCE AND RULES OF PROCEDURE OF THE STANDARDS COMMITTEE

ICPM-6 requested that the Standards Committee Terms of Reference and Rules of Procedure be analyzed by the Standards Committee and SPTA, before being presented to ICPM-7. The SC proposed amendments to the Rules of Procedure and Terms of Reference of the Standards Committee, taking account of decisions made at ICPM-6, including the change in membership from 20 to 25, and the increase of the term of membership to 3 years.

The SC considered the suggestion from Chile on replacement and substitution of members. The suggestion for substitution was integrated into the draft, with some amendments, and with a maximum of 2 nominations for substitutes per FAO region. The SC considered that it was not necessary to have a provision for replacement of SC members because new nominations for the SC could be approved once a year at the ICPM. The Secretariat was asked to provide wording for section on Sessions which details the timing of meetings, in order to provide flexibility in the timing and number of full meetings.

Regarding the rules for holding meetings, the SC agreed to leave some flexibility, both for the timing and nature of the meeting, with at the minimum 1 meeting per year. However, the general pattern would normally be that, unless otherwise decided by the ICPM, meetings of the Standards Committee would be held twice per year, usually after the ICPM and after comments have been received on standards that have been sent for country consultation. There should also be flexibility to allow for the use of working groups.

The proposed revised terms of reference and rules of procedure will be submitted to the SPTA in October.

15 OTHER ISSUES ARISING FROM ICPM-6

15.1 IN RELATION TO THE IMPROVEMENT OF THE CURRENT STANDARD SETTING PROCESS

As part of the improvement of the standard setting process, the ICPM agreed that a number of guidelines should be developed (see Appendix IX of ICPM-6 report):

- criteria for the formation of annexes
- guidelines for the operation of expert working groups
- guidelines on the role and responsibilities of SC members and the SC procedures.

These issues would be considered at the extraordinary meeting of the SC in July.

15.2 COUNTRY CONSULTATION AND GUIDELINES FOR COUNTRY COMMENTS

The ICPM-6 agreed that the Secretariat should provide a format/matrix for the submission of country comments. Guidelines for the submission of country comments had also been adjusted. The Secretariat introduced the formats and guidelines. It was hoped that they would facilitate consistency in the submission of comments. In addition, they would facilitate the compilation of comments in a format easier for the SC to review. It was also hoped that as many comments as possible would be received by e-mail. As agreed by the ICPM, country comments would also be posted on the IPP.

16 ISSUES ARISING FROM THE PREVIOUS MEETING

16.1 Publication of ISPMs in book format

At its meeting in November, the SC agreed to consider further the possibility to publish all ISPMs in a book format. A proposal, including costing, would be finalized for the November meeting, with the aim of finalizing a proposal for ICPM-7.

17. OPERATION OF THE SC AND PARTICIPATION ON A REGIONAL LEVEL

Mr Larson, Standards Officer, introduced some roles that SC members might want to play in their regions. He suggested that SC members should make themselves known within their region, and might serve to ensure that countries in regions are better informed about the standard development. He also noted that SC members are encouraged to take part in regional workshops on draft ISPMs in their region and the Secretariat would try to ensure that at least one SC member was at each regional workshop. He encouraged SC members to acknowledge receipt of invitations and documents to the Secretariat, noting that it was sometimes difficult to know whether SC members had received these documents. In addition, because the time available for sending documents to the SC was sometimes very short, he encouraged members to report any problems in receiving documents, so that courier services could be used as appropriate. He also noted that the Secretariat would ask for nominations for Expert Working Groups, from RPPOs, and invited SC members to reflect on expertise in their region for the standards to be developed and to submit appropriate nominations of experts. Mr. Larson also explained that the IPP was the main source of information on activities of the IPPC and encouraged SC members to obtain current information on meetings from the IPP. In addition the Secretariat is in the process of setting up a work area on the IPP, where SC meeting documents will be posted.

18. SELECTION OF SC 7 AND SC 7 CHAIR

The SC elected Mr Challaoui (Morocco), Mr Wang Fuxiang (China), Mr Jens Unger (Germany), Mr Odilson Ribeiro e Silva (Brazil), Mr Mohammad Katbeh Bader (Jordan), Mr Narcy Klag (USA) and Mr Hedley (New Zealand) to the SC7. The SC7 will elect its Chair when it meets in November.

19. FUTURE MEETINGS

19.1 SELECTION AND AGENDA OF THE EXTRAORDINARY WORKING GROUP

Due to the large number of draft standards, specifications and other items on its agenda, the SC did not have time to discuss all topics and agreed that an extraordinary working group of the SC should meet in July. The SC nominated Mr Ringolds Arnitis (Latvia), Mrs Asna Booty Othman (Malaysia), Mr Hedley (New Zealand) and Mr Odilson Ribeiro e Silva (Brazil) to take part in this working group. The outcome of that meeting will be presented to the SPTA in October or to the next meeting of the SC in November, as appropriate. The agenda for the extraordinary working group is given in Appendix 19.

19.2 NEXT MEETING SC7/SC

The SC discussed how the November meeting should be organized, envisaging alternatives such as successive meetings of the SC7/SC, or having the SC convened for a longer period and working in subgroups. Considering costs and other practical issues, the SC supported that the SC7 and the SC should meet successively in November.

The SC was informed of the dates of the next meeting. The Standards Committee Working Group will meet on 8-12 November, followed by the regular session of the Standards Committee on 15-19 November. The Secretariat reminded the SC that the 5 additional members of the SC would be invited to take part in the November meeting as observers.

20. CLOSE

The Chairperson thanked the participants for their active participation in the meeting, in ensuring that so many standards and specifications had been finalized.

APPENDIX 1

PROVISIONAL AGENDA

4TH MEETING OF THE STANDARDS COMMITTEE
26-30 April 2004
Rome, Italy

1. Opening of the meeting
2. Selection of SC chairperson and vice-chairperson
4. Adoption of the agenda
5. Report of the third meeting
5. Expectations and conduct of the meeting
6. Discussion of the selection of SC7 and SC7 chair
7. Discussion on how to proceed and discussion of schedule
8. Brief overview of the developments of all draft standards by Expert Working Group Steward or alternative.

9 Administration Guidelines for the ISPM docs

10. Detailed review of draft standards that are proposed for country consultation:
    - 10.1 Equivalence
    - 10.2 Area of low pest prevalence
    - 10.3 ISPM No. 3 (Revision)
    - 10.4 ISPM No. 2 (Revision)
    - 10.5 Guidelines for consignments in transit
    - 10.6 Amendments to ISPM No. 5 (Glossary of phytosanitary terms)
    - 10.7 ISPM No. 1 (Revision)
    - 10.8 Inspection methodology

11. Specific issues in relation to the Glossary

12. Integration of the supplement on living modified organisms into ISPM No. 11

13. Specifications for standards:
    - 13.1 Alternative strategies to methyl bromide (No 16).
    - 13.2 Classification of commodities by level of processing and intended use and phytosanitary risk (No 18).
    - 13.3 Import of plant breeding material (No 19).
    - 13.4 Sampling (No 20).
    - 13.5 Commodity - Debarking of wood to be included as an annex to ISPM 15 (No 17).
    - 13.6 Commodity – Export certification fro potato mini tubers and micropropagative material (No 21).

14. Specifications for technical panels
    - 14.1 Overview of the proposed function of a technical panel, general specification, Terms of Reference and Rules of Procedure
    - 14.2 Technical Panel (No 1) to develop diagnostic protocols for specific pests.
    - 14.3 Technical panel (No 2) on pest free areas and systems approaches for fruit flies.
    - 14.4 Technical panel (No 3) on treatments.
    - 14.5 Technical panel (No 4) on forest quarantine issues

15. Proposed Specification for a Treatment Schedule Manual

16. Assigning Stewards to each EWG

17. Assigning Stewards to draft additional specifications for November SC meeting
    - 17.1 Electronic certification
    - 17.2 Post-entry quarantine facilities
    - 17.3 Research protocols for Phytosanitary measures
    - 17.4 Guidelines for the formatting/drafting of commodity ISPMs
    - 17.5 Guidelines for the formatting/drafting of pest specific ISPMs

18. Other business:
    - 18.1 SC participation on a regional level (Workshops on draft standards, liaison with RPPOs and regional NPPOs, networking, preparation for SC meetings, soliciting experts

18.2 ICPM-6 Requests:

Analysis and make recommendations on the Terms of Reference and Rules of Procedure to the SPTA. (6 years removed, 3 year term, replacement and substitution, fast track, number of meetings per year, conducting business with WG etc.)

Country consultation and Guidelines for country comments

18.3 Review Focus Group on Standard Setting Process Report:

Point 37, Develop guidelines for the roles and responsibilities of a steward

Point 46, Develop criteria for the formation and content of annexes

Point 48, Develop brief guidelines for the operation of expert working groups in consultation with the Secretariat.

Point 53, Develop brief guidelines on the role and responsibilities of SC members and the SC procedures in consultation with the Secretariat.

18.4 Issues arising from Nov 2003 SC Report

Sending out notifications by e-mail listserve

Publication of ISPMs in book format

19. Selection of SC 7 and SC 7 chair
20. Next meeting SC 7 / SC 25

APPENDIX 2

Draft ISPM
May 2004
For country consultation

INTERNATIONAL STANDARDS FOR PHYTOSANITARY MEASURES

GUIDELINES ON THE CONCEPT OF EQUIVALENCE OF PHYTOSANITARY MEASURES AND ITS APPLICATION IN INTERNATIONAL TRADE

Secretariat of the International Plant Protection Convention
FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS
Rome, ----

CONTENTS

INTRODUCTION

SCOPE

This standard describes the principles and requirements that apply to the concept of equivalence of phytosanitary measures. It also describes a procedure for equivalence determinations in international trade.

REFERENCES

Agreement on the Application of Sanitary and Phytosanitary Measures, 1994. World Trade Organization, Geneva.
Export certification system, 1997. ISPM No. 7, FAO Rome.
Glossary of phytosanitary terms, 2004. ISPM No. 5, FAO, Rome.
Guidelines for pest risk analysis, 1996. ISPM No. 2, FAO, Rome.
Guidelines for regulating wood packaging material in international trade, 2002. ISPM No. 15. FAO, Rome.
Guidelines for the notification of non-compliance and emergency action, 2001. ISPM No. 13, FAO, Rome.
International Plant Protection Convention, 1997. FAO, Rome.
Pest risk analysis for quarantine pests including analysis of environmental risks and living modified organisms, 2004. ISPM No. 11, FAO, Rome.
Principles of plant quarantine as related to international trade, 1995. ISPM No. 1, FAO, Rome.
The use of integrated measures in a systems approach for pest risk management, 2002. ISPM No. 14, FAO, Rome.

DEFINITIONS[1]

acceptable level of risk*	Level of risk above which a contracting party applies phytosanitary measures
commodity	A type of plant, plant product, or other article being moved for trade or other purpose [FAO, 1990; revised ICPM, 2001]
consignment	A quantity of plants, plant products and/or other articles being moved from one country to another and covered, when required, by a single phytosanitary certificate (a consignment may be composed of one or more commodities or lots) [FAO, 1990; revised ICPM, 2001]
emergency action	A prompt phytosanitary action undertaken in a new or unexpected [phytosanitary situation [ICPM, 2001]
equivalence (of phytosanitary measures)**	The situation where, for a specified pest risk, different phytosanitary measures achieve a contracting party's appropriate level of protection/ acceptable level of risk.
fumigation	Treatment with a chemical agent that reaches the commodity wholly or primarily in a gaseous state [FAO, 1990; revised FAO, 1995]
IPPC	International Plant Protection Convention, as deposited in 1951 with FAO in Rome and as subsequently amended [FAO 1990; revised ICPM, 2001]
ISPM	International Standard for Phytosanitary Measures [CEPM, 1996; revised ICPM, 2001]
inspection	Official visual examination of plants, plant products or other regulated articles to determine if pests are present and/or to determine compliance with phytosanitary regulations [FAO, 1990; revised FAO, 1995; formerly inspect]
pest	Any species, strain or biotype of plant, animal or pathogenic agent injurious to plants or plant products [FAO, 1990; revised FAO, 1995; IPPC, 1997]
pest risk assessment (for quarantine pests)	Evaluation of the probability of the introduction and spread of a pest and of the associated potential economic consequences [FAO, 1995; revised ISPM No 11, 2001]
phytosanitary measure (agreed interpretation)	Any legislation, regulation or official procedure having the purpose to prevent the introduction and/or spread of quarantine pests, or to limit the economic impact of regulated non-quarantine pests [FAO, 1995; revised IPPC, 1997; ICPM, 2002]

[1] Terms marked with (*) are new; terms marked with (**) are revised

The agreed interpretation of the term phytosanitary measure accounts for the relationship of phytosanitary measures to regulated non-quarantine pests. This relationship is not adequately reflected in the definition found in Article II of the IPPC (1997).

PRA	Pest Risk Analysis [FAO, 1995; revised ICPM, 2001]
regulated pest	A quarantine pest or a regulated non-quarantine pest [IPPC, 1997]
required response	A specified level of effect for a treatment [ISPM No. 18, 2003]
surveillance	An official process which collects and records data on pest occurrence or absence by survey, monitoring or other procedures [CEPM, 1996]
systems approach(es)	The integration of different pest risk management measures, at least two of which act independently, and which cumulatively achieve the appropriate level of phytosanitary protection [ISPM No. 14, 2002]
treatment	Officially authorized procedure for the killing, inactivation or removal of pests, or for rendering pests infertile or for devitalization [FAO, 1990, revised FAO, 1995; ISPM No. 15, 2002; ISPM No. 18, 2003]

OUTLINE OF REQUIREMENTS

Equivalence is one of the IPPC general principles (ISPM No. 1: *Principles of plant quarantine as related to international trade*).

Equivalence generally applies to cases where phytosanitary measures already exist for a specific pest associated with a trade in a specific commodity. Equivalence determinations are based on the specified pest risk and equivalence may apply to individual measures, a combination of measures or integrated measures in a systems approach.

An equivalence determination normally involves a sequential process of information exchange and evaluation and is generally an agreed procedure between importing and exporting contracting parties. Information is provided in a form that allows the evaluation of existing and proposed measures for their ability to meet the importing contracting party's appropriate level of protection/acceptable level of risk.

The exporting contracting party may request information from the importing contracting party on the contribution that its current measures make to meeting its appropriate level of protection/acceptable level of risk. The exporting contracting party may propose an alternative measure, indicating how these measures achieve the required level of protection and this is evaluated by the importing contracting party. In some cases, such as where technical assistance is provided, importing contracting parties may make proposals for alternative phytosanitary measures. Contracting parties should endeavour to undertake equivalence determinations and resolve any differences within a reasonable period of time.

REQUIREMENTS

1. General Considerations

Equivalence is described as general principle no. 7 in ISPM No. 1: *Principles of plant quarantine as related to international trade*: "*Equivalence: Countries shall recognize as being equivalent those phytosanitary measures that are not identical but which have the same effect*". In addition, equivalence is described in Article 4 of the WTO-SPS *A*greement.

Contracting parties recognize that alternative phytosanitary measures can achieve their appropriate level of protection/acceptable level of risk. Therefore, while not formalized under the title of "equivalence", there is widespread application of equivalence in current phytosanitary practices. Furthermore, the concept of equivalence and the obligation of contracting parties to observe the principle of equivalence is an integral element in existing ISPMs. For example, section 10 of ISPM No. 14 (*The use of integrated measures in a systems approach for pest risk management*) states: "*Countries share the obligation to observe the principle of equivalence by considering risk management alternatives that will facilitate safe trade.*".

Equivalence may be applied for:

- an individual measure,

- a combination of measures, or
- integrated measures in a systems approach,

to manage a specified pest risk and achieve a contracting party's appropriate level of protection/acceptable level of risk. In the case of a systems approach, alternative measures may be proposed for consideration as equivalent to one or more of the integrated measures. Because equivalence determinations place demands on the resources of the importing contracting party, equivalence requests are normally for commodities rather than for individual consignments.

The evaluation for equivalence of phytosanitary measures may not be limited to an assessment of the measure alone, but may also involve consideration of aspects of the export certification system (see ISPM No. 7: *Export certification system*) or other factors associated with the implementation of pest risk management measures (see ISPM No. 11: *Pest risk analysis for quarantine pests including analysis of environmental risks and living modified organisms*, 2004, and ISPM No. 14: *The use of integrated measures in a systems approach for pest risk management*).

This standard provides guidelines for situations where an importing contracting party has a phytosanitary measure in place, or is proposing a new measure, and an exporting contracting party proposes an alternative measure to achieve the importing contracting party's appropriate level of protection/acceptable level of risk. The alternative measure is then evaluated for equivalence. In some cases importing contracting parties list a number of phytosanitary measures that are considered to achieve their appropriate level of protection/acceptable level of risk. These measures may differ in the extent to which they achieve or exceed the contracting party's appropriate level of protection/acceptable level of risk. The evaluation of the equivalence of such measures listed by the importing contracting party is not the primary subject of this standard.

2. General Principles and Requirements

2.1. Sovereign authority

As part of a contracting party's sovereign authority to regulate plants, plant products and other regulated articles (Article VII.1 of the IPPC, 1997), an importing contracting party has the obligation to consider and evaluate the equivalence of phytosanitary measures. The importing contracting party, however, has the sovereign right to take decisions relating to such determinations of equivalence.

2.2. Other relevant principles of the IPPC

In equivalence evaluations, contracting parties should take into account the following principles:

- minimal impact (Article VII.2g of the IPPC, 1997)
- modification (Article VII.2h of the IPPC, 1997)
- transparency (Articles VII.2b, 2c, 2i and VIII.1a of the IPPC, 1997)
- harmonization (Article X.4 of the IPPC, 1997)
- cooperation (Preamble, Article I.1 and Articles VIII and IX of the IPPC, 1997)
- risk analysis (Articles II and VI.1b of the IPPC, 1997)
- managed risk (Article VII.2a and 2g, of the IPPC, 1997)
- non-discrimination (Article VI.1a of the IPPC, 1997).

2.3 Agreed procedure

Contracting parties should agree on a procedure to determine equivalence. This may be based on the procedure described in section 4 of this standard or another agreed procedure.

2.4 Information exchange

Contracting parties have obligations under the IPPC to provide and exchange information, which should be made available for equivalence determinations. This includes making available, on request, the rationale for phytosanitary requirements (Article VII.2c of the IPPC, 1997) and cooperating to the extent practicable in providing technical and biological information necessary for pest risk analysis (Article VIII of the IPPC, 1997). Contracting parties should aim to limit any data requests associated with an evaluation of equivalence to those which are necessary in order to minimize administrative burdens.

2.5 Timeliness

Contracting parties should endeavour to determine the equivalence of phytosanitary measures and resolve any differences within a reasonable period of time.

2.6 Technical assistance

In accordance with Article XX of the IPPC (1997), importing contracting parties are encouraged to consider providing technical assistance if requested by an exporting contracting party. This may include helping to identify and develop equivalent measures.

2.7 Non-disruption of trade

A submission of a request for recognition of equivalence should not in itself alter the way in which trade occurs; it is not a justification for disruption or suspension of trade. This does not preclude a contracting party from taking appropriate action in the case of an emergency in accordance with Article VII.6 of the IPPC (1997) or associated with a non-compliance with existing measures (see ISPM No. 13: *Guidelines for the notification of non-compliance and emergency action*).

3. Specific Requirements

3.1 Existing measures

Equivalence generally applies to cases where the importing contracting party has already established measures for the trade concerned. However it may also apply where new measures are proposed by the importing contracting party. Usually an exporting contracting party presents an alternative measure(s) that is intended to achieve the importing contracting party's appropriate level of protection/acceptable level of risk. In some cases, such as where technical assistance is being provided, importing contracting parties may propose alternative measure(s) for the exporting contracting party to consider.

Where new commodities are presented for importation and no measures exist, contracting parties should refer to ISPM No. 11 (*Pest risk analysis for quarantine pests including analysis of environmental risks and living modified organisms*, 2004) and ISPM No. 21 (*Pest risk analysis for regulated non-quarantine pests*) for the normal PRA procedure.

3.2 Specific pests and commodities

The process of comparing alternative phytosanitary measures for the purpose of determining their equivalence usually relates to a specific commodity export and specified regulated pest(s) identified through risk analysis.

The process of assessing alternative measures for their equivalence is generally a bilateral process between importing and exporting contracting parties, although it may be a multilateral process when new measures are proposed by an importing contracting party. It may also be a multilateral process in the context of ISPMs. Multilateral arrangements for comparing alternative measures take place as part of the standard setting process of the IPPC, for example the measures approved in ISPM No 15: *Guidelines for regulating wood packaging material in international trade.*

3.3 Technical basis for comparison

To facilitate discussions on equivalence the importing contracting party should, on request, provide information describing how its existing measure(s) reduce the risk of the specified pest and how the measure(s) achieve its appropriate level of protection/acceptable level of risk. This information may be provided in either quantitative or qualitative terms. Such information should assist the exporting contracting party in understanding the existing measure(s). It may also help the exporting contracting party to explain how its proposed alternative measure(s) reduces the pest risk and achieves the importing contracting party's appropriate level of protection/acceptable level of risk.

3.4 Pest risk analysis

Assessments of equivalence should be risk based, using an evaluation of available scientific information, either through PRA or by evaluation of the existing measures and the proposed measures. Although the alternative measures require to be examined, a new pest risk assessment may not necessarily be required.

3.5 Technical justification of equivalence

Consideration of alternative measures and their potential equivalence normally depends on information and data supplied by the exporting contracting party. The exporting contracting party has the responsibility for providing the technical justification to demonstrate that the alternative measures reduce the specified pest risk and that they achieve the appropriate level of protection/acceptable level of risk of the importing contracting party. In some cases (e.g. as described in section 3.1), however, importing contracting parties may propose alternative measure(s) for the exporting contracting party to consider. This information may be qualitative and/or quantitative as long as comparison is possible.

The determination of the equivalence of phytosanitary measures depends on a number of factors. These may include the effect of the measure as demonstrated in laboratory or field conditions, results of experience in their practical application and factors affecting the implementation of the measure (e.g. the policies and procedures of the contracting party). Phytosanitary measures may have various effects, such as reduction in pest prevalence in the exporting contracting party or pest mortality in a consignment. The information is used by the importing contracting party to assess the contribution of the alternative measure in reducing the pest risk to an acceptable level.

3.6 Knowledge of the phytosanitary systems of contracting parties

Where trade is already established between contracting parties, this provides knowledge about and experience with the exporting contracting party's phytosanitary systems (e.g. legal, surveillance, inspection, certification, etc.). This is an essential part of cooperation between contracting parties in trading plants and plant products so that confidence is developed between the importing and exporting parties. This knowledge and experience should assist with the evaluation of an equivalence proposal and strengthen confidence between the parties.

In the case of contracting parties that have no or little previous history of significant trade in plant products, information concerning the procedures of the exporting contracting party may be sought by the importing contracting party. The determination of equivalence for specific phytosanitary measures may include, as part of the evaluation, consideration of the exporting contracting party's phytosanitary systems or programmes that support those measures.

3.7 Provision of access

In order to support an importing contracting party's consideration of an equivalence request, the exporting contracting party should facilitate access by the importing contracting party to relevant sites to conduct any reviews, inspections or verifications for an equivalence determination.

3.8 Comparison of existing and proposed measures

When comparing existing and proposed measures, importing and exporting contracting parties should assess the ability of the measures to reduce a specified pest risk. The proposed measure(s) should be assessed for its ability to achieve the importing contracting party's appropriate level of protection/acceptable level of risk. In cases where the effects of both the existing measure(s) and the proposed measure(s) are expressed in the same way (i.e. the same type of required response), the effects may be compared directly for their ability to reduce the pest risk. For example, a fumigation treatment and a cold treatment may be compared for their effects based on mortality.

Where measures are expressed differently, they may be difficult to compare directly. In such cases, the proposed measures should be assessed for their ability to achieve the importing contracting party's required level of protection. This may require data to be converted or extrapolated so that common units are used before comparison is possible. For example, effects such as mortality and low pest prevalence may be compared if considered in relation to pest freedom at an agreed level of confidence (for example per shipment or per year).

3.9 Additional factors for determining the equivalence of phytosanitary measures

When determining equivalence, a comparison of specific technical requirements of the existing and proposed measures may suffice. In some circumstances, however, a determination of whether a proposed measure achieves the appropriate level of protection/acceptable level of risk may need to be considered in relation to relevant components of an exporting contracting party's phytosanitary system. For example, the final acceptance of a proposed measure may depend on factors such as availability/approval of the technology, phytotoxicity, and operational and economic feasibility.

3.10 Assurance through audits and monitoring

After the recognition of equivalence and to provide continued confidence in the equivalence arrangements, contracting parties should implement the same review and monitoring procedures as for other phytosanitary measures. These may include assurance procedures such as audits, periodic checks, reporting of non-compliances (see also ISPM No. 13: *Guidelines for the notification of non-compliance and emergency action*) or other forms of verification.

3.11 Non-discrimination in the application of the equivalence of phytosanitary measures

An importing contracting party which recognizes the equivalence of alternative phytosanitary measures of an exporting contracting party should ensure that it acts in a non-discriminatory manner both with regard to applications from third countries for recognition of equivalence applying to the same or similar measures, and with regard to the equivalence of any domestic measures.

Equivalence of phytosanitary measures does not, however, means that when a specific measure is granted equivalence for one exporting contracting party, this applies to another contracting party for the same commodity or pest. Phytosanitary measures should always be considered in the context of the pest status and phytosanitary regulatory system of the exporting contracting party, including the policies and procedures.

4. Procedure for Equivalence Determination

The procedure that trading partners utilise may vary depending on the circumstances. However, the interactive procedure described below is recommended for assessing phytosanitary measures that are proposed as equivalent.

Recommended steps are:

4.1 The exporting contracting party communicates its interest in an equivalence determination to its trading partner, indicating the specific commodity, the regulated pest(s) of concern and the current and proposed alternative measures. At the same time it may request from the importing contracting party the technical justification for the measure(s).

4.2. The importing contracting party should describe its current measures in terms that will help to facilitate a comparison with alternative phytosanitary measures. To the best of its ability, the information provided by the importing contracting party should include the following:

a) the purpose of the phytosanitary measures, including identification of the specific pest risk(s) that the measures are intended to mitigate
b) to the extent possible, how the current phytosanitary measures achieve the importing contracting party's appropriate level of protection/acceptable level of risk
c) the technical justification for the current phytosanitary measures, including the PRA where appropriate
d) any additional information that may assist the exporting contracting party in demonstrating that the proposed measures achieve the importing contracting party's appropriate level of protection/acceptable level of risk.

4.3 The exporting contracting party makes a request for equivalence of phytosanitary measures. The exporting contracting party should submit its request in a form suitable for comparison with the information provided by the importing contracting party and which therefore facilitates the necessary evaluation by the importing contracting party. This should include the following elements:

a) a description of the proposed alternative measures
b) the purpose of the measures
c) to the extent possible, the contribution of the proposed alternative measures in achieving the importing contracting party's appropriate level of protection/acceptable level of risk
d) information on how the measures were evaluated (e.g. laboratory testing, statistical analysis, practical operational experience). The performance of the measures in practice
e) a comparison between the proposed alternative measures and the importing contracting party's current measures for same pest risk and
f) information on technical and operational feasibility of the proposed alternative measures.

4.4 The importing contracting party receives and evaluates the proposed alternative phytosanitary measures, taking into account:

a) the submission from the exporting contracting party, including supporting information regarding the effectiveness of the proposed alternative measures
b) the degree to which the alternative phytosanitary measures achieves its appropriate level of protection/acceptable level of risk, either on the basis of qualitative or quantitative information
c) information regarding the method, action and operation of the proposed alternative phytosanitary measures in preventing or reducing the specified pest risk
d) the operational and economic feasibility of adopting the proposed alternative phytosanitary measures.

During the review process further clarification may be required. Additional information and/or access to operational procedures may be requested by the importing contracting party in order to complete the assessment. The exporting contracting party should respond to any technical concerns raised by the importing contracting party by providing relevant information and/or providing access to relevant information or sites to facilitate reviews, inspections or other verifications necessary for making an equivalence determination.

4.5 The importing contracting party should notify the exporting contracting party of its decision and provide, upon request, an explanation and technical basis for its determination as quickly as possible.

4.6 In the event of a rejection of the request for equivalence, efforts should be made to resolve differences of opinion through bilateral dialogue.

4.7 If equivalence is recognized by the importing contracting party, to facilitate transparency implementation should be achieved by amendment to the import regulations and any associated procedures of the importing contracting party. This should be completed as quickly as possible.

4.8 An audit and monitoring procedure may be established and included in the plan or arrangement which implements any recognized equivalence measures or programmes.

APPENDIX 3

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For country consultation

INTERNATIONAL STANDARDS FOR PHYTOSANITARY MEASURES

REQUIREMENTS FOR THE ESTABLISHMENT, MAINTENANCE AND VERIFICATION OF AREAS OF LOW PEST PREVALENCE

Secretariat of the International Plant Protection Convention
FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS
Rome, ----

CONTENTS

INTRODUCTION

SCOPE

This standard describes the requirements for the establishment, maintenance, verification and use of areas of low pest prevalence (ALPP) for regulated pests. An ALPP may be used in conjunction with other phytosanitary measures.

REFERENCES

Determination of pest status in an area, 1998. ISPM No. 8, FAO, Rome.
Glossary of phytosanitary terms, 2004. ISPM No. 5, FAO, Rome.
Guidelines for pest eradication programmes, 1998. ISPM No. 9, FAO, Rome.
Guidelines for the notification of non-compliance and emergency action, 2001. ISPM No. 13, FAO, Rome.
Guidelines for surveillance, 1997. ISPM No. 6, FAO, Rome.
Pest risk analysis for regulated non-quarantine pests, 2004. ISPM No. 21, FAO, Rome.
Regulated non-quarantine pests: concept and application, 2002. ISPM No. 16, FAO, Rome.
Requirements for the establishment of pest free areas, 1996. ISPM No. 4, FAO, Rome.
Requirements for the establishment of pest free places of production and pest free production sites, 1999. ISPM No. 10, FAO, Rome.
The use of integrated measures in a systems approach for pest risk management, 2002. ISPM No. 14, FAO, Rome.

DEFINITIONS[2]

area	An officially defined country, part of a country or all or parts of several countries [FAO, 1990; revised FAO, 1995; CEPM, 1999; based on the World Trade Organization Agreement on the Application of Sanitary and Phytosanitary Measures]
area of low pest prevalence	An area, whether all of a country, part of a country, or all or parts of several countries, as identified by the competent authorities, in which a specific pest occurs at low levels and which is subject to effective surveillance, control or eradication measures [IPPC, 1997]
buffer zone**	An area in which a specific pest does not occur or occurs at a low level and is officially controlled, that either encloses or is adjacent to an infested area, an infested place of production, an area of low pest prevalence, a pest free area, a pest free place of production or a pest free production site, and in which phytosanitary measures are taken to prevent spread of the pest
containment	Application of phytosanitary measures in and around an infested area to prevent spread of a pest [FAO, 1995]
delimiting survey	Survey conducted to establish the boundaries of an area considered to be infested by or free from a pest [FAO, 1990]
emergency action	A prompt phytosanitary action undertaken in a new or unexpected phytosanitary situation [ICPM, 2001]
IPPC	International Plant Protection Convention, as deposited in 1951 with FAO in Rome and as subsequently amended [FAO, 1990; revised ICPM, 2001]
monitoring survey	Ongoing survey to verify the characteristics of a pest population [FAO, 1995]
National Plant Protection Organization	Official service established by a government to discharge the functions specified by the IPPC [FAO, 1990; formerly Plant Protection Organization (National)]
official	Established, authorized or performed by a National Plant Protection Organization [FAO, 1990]
Pest Free Area	An area in which a specific pest does not occur as demonstrated by scientific evidence and in which, where appropriate, this condition is being officially maintained [FAO, 1995]

[2] Term marked with (**) is revised

phytosanitary action	An official operation, such as inspection, testing, surveillance or treatment, undertaken to implement phytosanitary regulations or procedures [ICPM, 2001]
phytosanitary measure (agreed interpretation)	Any legislation, regulation or official procedure having the purpose to prevent the introduction and/or spread of quarantine pests, or to limit the economic impact of regulated non-quarantine pests [FAO, 1995; revised IPPC, 1997; ICPM, 2002]

The agreed interpretation of the term phytosanitary measure accounts for the relationship of phytosanitary measures to regulated non-quarantine pests. This relationship is not adequately reflected in the definition found in Article II of the IPPC (1997).

phytosanitary procedure	Any officially prescribed method for implementing phytosanitary regulations including the performance of inspections, tests, surveillance or treatments in connection with regulated pests [FAO, 1990; revised FAO, 1995; CEPM, 1999; ICPM, 2001]
phytosanitary regulation	Official rule to prevent the introduction and/or spread of quarantine pests, or to limit the economic impact of regulated non-quarantine pests, including establishment of procedures for phytosanitary certification [FAO, 1990; revised FAO, 1995; CEPM, 1999; ICPM, 2001]
place of production	Any premises or collection of fields operated as a single production or farming unit. This may include production sites which are separately managed for phytosanitary purposes [FAO, 1990; revised CEPM, 1999]
quarantine pest	A pest of potential economic importance to the area endangered thereby and not yet present there, or present but not widely distributed and being officially controlled [FAO, 1990; revised FAO, 1995; IPPC 1997]
regulated article	Any plant, plant product, storage place, packaging, conveyance, container, soil and any other organism, object or material capable of harbouring or spreading pests, deemed to require phytosanitary measures, particularly where international transportation is involved [FAO, 1990; revised FAO, 1995; IPPC, 1997]
regulated non-quarantine pest	A non-quarantine pest whose presence in plants for planting affects the intended use of those plants with an economically unacceptable impact and which is therefore regulated within the territory of the importing contracting party [IPPC, 1997]
regulated pest	A quarantine pest or a regulated non-quarantine pest [IPPC, 1997]
standard	Document established by consensus and approved by a recognized body, that provides, for common and repeated use, rules, guidelines or characteristics for activities or their results, aimed at the achievement of the optimum degree of order in a given context [FAO, 1995; ISO/IEC GUIDE 2:1991 definition]
suppression	The application of phytosanitary measures in an infested area to reduce pest populations [FAO, 1995; revised CEPM, 1999]
surveillance	An official process which collects and records data on pest occurrence or absence by survey, monitoring or other procedures [CEPM, 1996]
survey	An official procedure conducted over a defined period of time to determine the characteristics of a pest population or to determine which species occur in an area [FAO, 1990; revised CEPM, 1996]
systems approach(es)	The integration of different pest risk management measures, at least two of which act independently, and which cumulatively achieve the appropriate level of phytosanitary protection [ISPM No. 14, 2002]
treatment	Officially authorized procedure for the killing, inactivation or removal of pests, or for rendering pests infertile or for devitalization [FAO, 1990, revised FAO, 1995; ISPM No. 15, 2002; ISPM No. 18, 2003]

OUTLINE OF REQUIREMENTS

This standard provides procedures for establishment, maintenance, verification and use of areas of low pest prevalence (ALPP) for regulated pests. The standard outlines measures for maintaining the population at low levels, monitoring the pest, phytosanitary operations, and emergency planning and response. The criteria for suspension and reinstatement of the ALPP are included.

REQUIREMENTS

1. Background

1.1 Description of an area of low pest prevalence (ALPP)

An ALPP is "an area, whether all of a country, part of a country, or all or parts of several countries, as identified by the competent authorities, in which a specific pest occurs at low levels and which is subject to effective surveillance, control or eradication measures" (Article II of the IPPC, 1997).

An ALPP is a risk management option to maintain or improve the phytosanitary status in an area. It may be used to facilitate the movement of commodities out of areas where the pest(s) is present or to justify import requirements into such areas. An ALPP can be established for regulated pests across a broad range of environmental and host conditions and is dependent on the biology of the pest and the characteristics of the places of production.

Where the concept of ALPP is applied and host materials are intended to be exported, they may be subject to additional phytosanitary measures so that a systems approach is established. Systems approaches are detailed in ISPM No. 14: *The use of integrated measures in a systems approach for pest risk management.* Such a system is intended to be sufficient to mitigate the pest risk to a level acceptable for the importing country.

In addition, imports of commodities into the ALPP may be subject to equivalent phytosanitary measures if the specified pest is associated with the pathway.

1.2 Benefits of areas of low pest prevalence

Examples of benefits include:

- removal of the need for post-harvest treatment when infestation levels remain below the threshold level
- maintenance of an existing area of low pest impact
- for some pests, possibility to use non-toxic control measures in the field, e.g. sterile insect technique
- facilitation of market access for products from areas that were previously excluded.
- less restrictive movement controls including movement of commodities from:
  - an ALPP to a pest free area (PFA)
  - one ALPP to another ALPP
  - an ALPP through a PFA
  - an ALPP through another ALPP.

1.3 Distinction between a pest free area and an area of low pest prevalence

The main difference between an ALPP and a PFA is that the presence of the pest below a specified population level is accepted in an ALPP, whereas the pest is absent from the PFA. When the pest is present in an area, the choice of establishing an ALPP or PFA as a risk management option will depend on the characteristics of the pest, its distribution in the country and the overall feasibility of the programme.

1.4 Bilateral operational plans

In some cases an operational plan based on a bilateral agreement may need to be developed if it is intended to use an ALPP to trade with another country. An operational plan is an official document specifying the phytosanitary measures agreed to by the NPPOs of both importing and exporting countries. It is recommended that the exporting country consults with the importing country in the early stages of the process in order to ensure that importing country requirements are met.

2. Specific Requirements

2.1 Establishment of an ALPP

Low pest prevalence can occur naturally or be achieved through the development and application of phytosanitary measures aimed at control of the pest(s).

Examples of where an ALPP may be established by an NPPO according to this standard are:

- an area of production where products are intended for export
- an area under an eradication programme
- an area acting as a buffer zone to protect a PFA

- an area within a PFA that is under an emergency action plan.

A checklist for establishing an ALPP for some insect pests is provided for information purposes in Appendix 1.

2.2 Geographic description

The NPPO should describe the proposed ALPP with supporting maps demonstrating the boundaries of the area. The description may also include the places of production, the host plants in proximity to commercial production areas, and the natural barriers and buffer zones which may isolate the area.

2.3 Quality management system

The NPPO should establish a quality management system to verify and document that all procedures are implemented. The key elements of a quality management system normally include:

- documenting procedures (i.e. procedural manuals)
- implementing procedures and keeping records
- auditing of procedures
- developing and implementing corrective actions.

2.4 Phytosanitary procedures

2.4.1 Surveillance activities

The NPPO where the ALPP is located should establish threshold levels for the specified pest(s).

The status of the area, and when appropriate of the buffer zone, should be confirmed by surveillance (see ISPM No. 6: *Guidelines for surveillance*) during appropriate periods of time and at a level of sensitivity that will detect the specified pest(s) at the appropriate threshold. Surveillance should be conducted according to protocols for the specified pest(s).

Surveillance data should be documented to demonstrate that populations of the specified pest(s) do not exceed threshold levels in any areas of the proposed ALPP and include surveys of commercial, non-commercial and wild hosts. The surveillance data should be relevant to the life cycle of the specified pest(s).

When establishing an ALPP, technical reports of pest detections, phytosanitary procedures applied and results of the surveillance activities should be produced for at least the previous year. However to supplement this information, data should be provided for as many years as possible, prior to the recognition of the ALPP. One year of data may be insufficient, depending on the biology, reproductive potential, and host range of the specified pest(s).

2.4.2 Reducing pest(s) levels and maintaining low prevalence

Phytosanitary procedures should be documented and applied to meet pest(s) threshold levels in commercial, non-commercial or wild hosts in the proposed ALPP. Phytosanitary procedures should be relevant to the biology, behaviour and life cycle of the specified pest(s).

Prior to the establishment of the ALPP, records should be kept for the previous year and preferably for longer.

2.4.3 Reducing the risk of entry of specified pest(s)

Effective phytosanitary procedures are required to restrict the entry of the specified pest(s) into the ALPP. These may include:

- regulation of the pathways and articles that require control to maintain the ALPP
- establishment of a programme to control the movement of regulated articles moving into the ALPP
- maintenance of sampling records, identification of intercepted specimens, verification of documents, confirmation that required treatments occurred and documentation of any other phytosanitary procedures.

2.4.4 Emergency action plan

The NPPO should have a documented plan of emergency actions to be implemented if the specified pest(s) exceeds the threshold level in the ALPP. The emergency action plan should include delimiting survey, commodity sampling and other phytosanitary procedures.

2.5 Verification of an area of low pest prevalence

The NPPO of the country where the ALPP is to be established should verify that the requirements to meet the ALPP are in place.

3. Maintenance of an Area of Low Pest Prevalence

Once an ALPP is established, the NPPO should maintain the established quality management system, and continue following phytosanitary procedures and movement control and keep records. Records should be retained for at least the two previous years or as long as necessary to support the programme.

In addition, established procedures should be routinely audited.

4. Change in the Status of an Area of Low Pest Prevalence

The main cause leading to a change in the status of the ALPP is the detection of the specified pest(s) at a level exceeding the threshold level within the ALPP. This should result in the implementation of the emergency action plan as specified in Section 2.4.4 of this standard. The emergency actions should be initiated as soon as possible after confirmation that the threshold level has been exceeded in the ALPP or detection of pest(s) during inspection of host products.

Other examples that may cause a change in status of an ALPP and lead to the need to take action are:

- repeated failure of regulatory procedures
- incomplete documentation that jeopardises the integrity of the ALPP.

Depending on the outcome of the actions taken, the ALPP may be:

- Continued if the phytosanitary actions taken (as part of the emergency action plan in the case of detection of specified pests above a threshold) have been successful
- Redefined to exclude a certain area, if the threshold level of the pest(s) is exceeded in a limited area that can be identified and isolated
- Suspended.

5. Reinstatement of the Status of an Area of Low Pest Prevalence

If an ALPP is suspended, an investigation should be initiated to determine the cause of the failure. Corrective actions should be implemented to prevent recurrence of the failure. The suspension of ALPP will remain in effect until it is demonstrated that populations are below the specified threshold level or that the other deficiencies have been corrected. Once the failure has been corrected and the integrity of the system is verified, the ALPP can be reinstated. NPPOs should act upon any obligation to report the change in status or suspension to trading partners that form part of bilateral arrangements that include the ALPP.

APPENDIX 1- ELEMENTS REQUIRED FOR ESTABLISHMENT OF AN ALPP FOR SOME INSECTS

The following is a list of elements that may be considered in order to determine if an ALPP meets the conditions of this standard:

1. Geographic description of the proposed ALPP
   - maps
   - places of production
   - natural barriers
   - buffer zone
   - size
   - location of regulatory control checkpoints.

2. Surveillance protocols for establishment and maintenance of ALPP
   - pest
   - surveillance time period
   - reporting of surveillance results
   - trapping
   - trap type
   - bait or lure type
   - density of traps
   - trap servicing intervals
   - visual surveillance
   - host or commodity sampling
   - surveillance intervals.

3. Quality control protocols for surveillance
   - validation of surveillance activities
   - trapping
   - visual surveillance
   - verification of lure efficacy
   - placement and recovery of marked pests
   - regular reviews of surveillance documentation
   - audits of trap placement and servicing
   - confirmation of identifier competency.

4. Phytosanitary procedures
   - appropriate to pest(s) and hosts
   - chemical
   - biocontrol agents
   - agronomic practices
   - documentation of measures employed
   - monitoring programme for application of phytosanitary procedures.

5. Movement controls
   - identification of pathways
   - establishment of inspection programme
   - sampling rates and records
   - identification of intercepted specimens
   - verification of documents
   - confirmation that required treatments occurred
   - documentation of any other phytosanitary procedures.

6. Emergency action plan
   - grounds for plan implementation
   - delimiting survey
   - mitigation measures
   - failure analysis
   - corrective actions.

APPENDIX 4

Draft ISPM
May 2004
For country consultation

INTERNATIONAL STANDARDS FOR PHYTOSANITARY MEASURES

GUIDELINES FOR THE EXPORT, SHIPMENT, IMPORT AND RELEASE OF BIOLOGICAL CONTROL AGENTS AND BENEFICIAL ORGANISMS

Secretariat of the International Plant Protection Convention
FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS
Rome, 20...

CONTENTS

INTRODUCTION

SCOPE

This standard[3] provides guidelines for risk management related to the export, shipment, import and release of biological control agents and beneficial organisms. It lists the related responsibilities of contracting parties, NPPOs, importers and exporters. The standard addresses the importation of biological control agents capable of self-replication (including parasitoids, predators, parasites, nematodes, phytophagous organisms and pathogens), as well as sterile insects and beneficial organisms, and includes those packaged or formulated as commercial products (i.e. biopesticides). It covers import for purposes including research in quarantine facilities and release into the environment.

The scope of this standard does not extend to cover living modified organisms, nor issues related to product registration.

REFERENCES

Glossary of phytosanitary terms, 2004. ISPM No. 5, FAO, Rome.
Guidelines for pest risk analysis, 1996. ISPM No. 2, FAO, Rome.
Guidelines for phytosanitary certificates, 2001. ISPM No. 12, FAO, Rome.
Guidelines for a phytosanitary import regulatory system, 2004. ISPM No. 20, FAO, Rome.
International Plant Protection Convention, 1997. FAO, Rome.
Pest reporting, 2002. ISPM No. 17, FAO, Rome.
Pest Risk Analysis for quarantine pests including analysis of environmental risks and living modified organisms, 2004. ISPM No. 11, FAO, Rome.

DEFINITIONS[4]

antagonist	An organism (usually pathogen) which does no significant damage to the host but its colonization of the host protects the host from significant subsequent damage by a pest [ISPM N° 3, 1996]
area	An officially defined country, part of a country or all or parts of several countries [FAO, 1990; revised FAO, 1995; CEPM, 1999; based on the World Trade Organization Agreement on the Application of Sanitary and Phytosanitary Measures]
authority**	The National Plant Protection Organization, or other entity or person officially designated by the government to deal with matters arising from the responsibilities set forth in the Standard.
beneficial organism*	Any species, strain or biotype of plant, micro-organism or animal beneficial under specific circumstances to plants or plant products
biological control**	Pest control strategy making use of living natural enemies, antagonists or competitors and other biotic entities. [formerly *biological control (biocontrol)*]
biological control agent**	A natural enemy, antagonist or competitor, and other biotic entity, used for pest control.
biological pesticide (biopesticide)**	A biological control agent, or a macrobial agent such as a parasitoid or predator, or a naturally occurring biological substance, mass-produced or mass-multiplied, formulated and applied in a manner similar to a chemical pesticide, and normally used for the rapid reduction of a pest population for short-term pest control.
classical biological control**	The intentional introduction of a non-indigenous biological agent for long-term pest control.
competitor	An organism which competes with pests for essential elements (e.g. food, shelter) in the environment.[ISPM N° 3, 1996]
consignment	A quantity of plants, plant products and/or other articles being moved from one country to another and covered, when required, by a single phytosanitary certificate (a consignment may be composed of one or more commodities or lots) [FAO, 1990; revised ICPM, 2001]

[3] Nothing in this standard shall affect the rights or obligations of contracting parties under other international agreements.
[4] Terms marked with an (*) are new, terms marked with an (**) are revised

contamination**	Presence in a commodity, consignment of a regulated organism, storage place, conveyance or container, of pests, or other regulated articles, not constituting an infestation (see infestation)
control (of a pest)	Suppression, containment or eradication of a pest population [FAO, 1995]
ecosystem	A complex of organisms and their environment, interacting as a defined ecological unit (natural or modified by human activity, e.g. agroecosystem), irrespective of political boundaries [ISPM N° 3, 1996].
entry (of a consignment)	Movement through a point of entry into an area [FAO, 1995]
establishment (agreed interpretation)**	Perpetuation, for the foreseeable future, of a pest within an area after entry.

Agreed interpretation: the term establishment can apply equally to any organism, whether considered to be a pest or not. This is not adequately reflected in the definition found in Article II of the IPPC (1997).

host range**	Organisms capable, under natural conditions, of sustaining a specific pest or other organism
introduction (agreed interpretation)**	The entry of a pest resulting in its establishment.

Agreed interpretation: the term introduction can apply equally to any organism, whether considered to be a pest or not. This is not adequately reflected in the definition found in Article II of the IPPC (1997).

infestation (of a commodity)	Presence in a commodity of a living pest of the plant or plant product concerned. Infestation includes infection [CEPM, 1997; revised CEPM, 1999].
inundative release**	The release of large numbers of a mass-produced biological control agent or beneficial organism without necessarily achieving continuing impact and, in the case of biological control agents, with the expectation of achieving a rapid effect.
IPPC	International Plant Protection Convention, as deposited in 1951 with FAO in Rome and as subsequently amended [FAO, 1990; revised ICPM, 2001].
legislation	Any act, law, regulation, guideline or other administrative order promulgated by a government [ISPM N° 3, 1996].
micro-organism	A protozoan, fungus, bacterium, virus or other microscopic self-replicating biotic entity [ISPM N° 3, 1996].
National Plant Protection Organization (NPPO)	Official service established by a government to discharge the functions specified by the IPPC[FAO, 1990; formerly Plant Protection Organization (National)].
natural enemy**	An organism which lives at the expense of another organism and which may help to limit the population of that organism. This includes parasitoids, parasites, predators, phytophagous organisms and pathogens.
naturally occurring	A component of an ecosystem or a selection from a wild population, not altered by artificial means [ISPM N° 3, 1996].
organism**	Any biotic entity capable of reproduction or replication in its naturally occurring state.
parasite	An organism which lives on or in a larger organism, feeding upon it [ISPM N° 3, 1996].
parasitoid**	An organism, most commonly an insect, parasitic usually only in its immature stages, killing a single host individual in the process of its development.
pathogen**	Micro-organism capable of causing disease.
pest	Any species, strain or biotype of plant, animal or pathogenic agent injurious to plants or plant products [FAO, 1990; revised FAO, 1995; IPPC, 1997].
Phytosanitary Certificate	Certificate patterned after the model certificates of the IPPC [FAO, 1990]
phytosanitary measure	Any legislation, regulation or official procedure having the purpose to prevent the

(agreed interpretation)	introduction and/or spread of quarantine pests, or to limit the economic impact of regulated non-quarantine pests [FAO, 1995; revised IPPC, 1997; ICPM, 2002]

The agreed interpretation of the term phytosanitary measure accounts for the relationship of phytosanitary measures to regulated non-quarantine pests. This relationship is not adequately reflected in the definition found in Article II of the IPPC (1997).

predator	A natural enemy that preys and feeds on other animal organisms, more than one of which are killed during its lifetime [ISPM N° 3, 1996].
quarantine**	Official confinement of regulated articles or regulated organisms for observation and research or for further inspection, testing and/or treatment.
reference specimen(s)*	Individual specimen(s) from a specific population deposited in a publically available collection(s), as well as reference culture collection(s).
regulated organism*	An organism deemed to require phytosanitary measures
release (into the environment)	Intentional liberation of an organism into the environment (see also "introduction" and "establishment") [ISPM N° 3, 1996].
specificity**	A measure of the host range of an organism on a scale ranging from a specialist organism only affecting a single species or strain to a generalist organism with many hosts ranging over several groups of organisms
sterile insect*	An insect that, as a result of an appropriate treatment, is unable to produce viable offspring.
sterile insect technique (SIT)*	Method of pest control using area-wide inundative release of sterile insects to reduce fertility of a field population of the same species.

OUTLINE OF REQUIREMENTS

This standard is intended to facilitate the safe export, shipment, import and release of biological control agents and beneficial organisms. Responsibilities relating to this are held by contracting parties, NPPOs, importers and exporters.

Contracting parties, or their designated authorities, should consider phytosanitary measures related to the export, shipment, import and release of biological control agents and beneficial organisms, and issue related import permits.

NPPOs should:
- carry out pest risk analysis prior to release of biological control agents and beneficial organisms;
- ensure, when certifying exports, that the regulations of importing countries are complied with;
- provide and assess documentation as appropriate, relevant to the export, shipment, import and release of biological control agents and beneficial organisms;
- ensure that biological control agents and beneficial organisms are taken either directly to designated quarantine facilities or, if appropriate, passed directly for release into the environment.

Responsibilities of exporters include ensuring that consignments of biological control agents and beneficial organisms comply with regulations of importing countries and relevant international agreements, and providing appropriate documentation relating to biological control agent or beneficial organisms.

Responsibilities of importers include providing appropriate documentation relating to the target pest(s) and biological control agent or beneficial organisms.

REQUIREMENTS

1. Background

In consideration of the contents of this standard, the following comments on its relationship to the scope of the IPPC may be helpful.

The scope of the IPPC is based on securing common and effective action to prevent the spread and introduction of pests of plants and plant products, and to promote appropriate measures for their control (Article I of the IPPC, 1997). In this context, the provisions of the IPPC extend to any organism capable of harbouring or spreading plant pests, particularly where international transportation is involved (Article I of the IPPC, 1997).

The IPPC (1997) contains the following provision in relation to the regulation of biological control agents and beneficial organisms. Article VII.1 of the IPPC (1997) states:

"With the aim of preventing the introduction and/or spread of regulated pests into their territories, contracting parties shall have sovereign authority to regulate, in accordance with applicable international agreements, the entry of plants and plant products and other regulated articles and, to this end, may: ...
c) prohibit or restrict the movement of regulated pests into their territories;
d) prohibit or restrict the movement of biological control agents and other organisms of phytosanitary concern claimed to be beneficial into their territories."

Section 4.1 of ISPM No. 20 (*Guidelines for a phytosanitary import regulatory system*), contains a reference to the regulation of biological control agents; it states:

"*Imported commodities that may be regulated include articles that may be infested or contaminated with regulated pests. ... The following are examples of regulated articles: ... pests and biological control agents.*"

This revision of ISPM No. 3 provides guidelines related strictly to phytosanitary measures, as well as recommended guidelines for good management practices for, and safe usage of, biological control agents and beneficial organisms. In some cases, the scope of these guidelines may be deemed to extend beyond the scope and provisions of the IPPC as described above. For example, although the primary context of this standard relates to phytosanitary concerns, "safe" usage as mentioned in the standard is intended to be interpreted in a broader sense, i.e., minimizing other non-phytosanitary negative effects. However, it is not intended that any aspects of this standard alter in any way the scope or obligations of the IPPC itself as contained in the New Revised Text (1997) or elaborated on in any of the other ISPMs.

The structure of this revised standard broadly follows the same structure of the original ISPM No. 3, and its content is based primarily on risk management relating to the use of biological control agents and beneficial organisms. It is recognized that the existing standards on pest risk analysis (ISPM No. 2: *Guidelines for pest risk analysis* and ISPM No. 11: *Pest Risk Analysis for quarantine pests including analysis of environmental risks and living modified organisms*, 2004) provide the appropriate processes for carrying out pest risk assessments for biological control agents and beneficial organisms. In particular, ISPM No. 11 includes provisions for pest risk assessment in relation to environmental risks, and this aspect covers environmental concerns related to the use of biological control agents.

Most of this standard is based on the premise that a biological control agent or beneficial organism may be a potential pest, and in this sense Article VII.1c of the IPPC (1997) applies because contracting parties may prohibit or restrict the movement of regulated pests into their territories. However, it should be recognized that in some situations, biological control agents and beneficial organisms may act as a carrier or pathway for plant pests. In this sense only, biological control agents and beneficial organisms may be considered to be regulated articles as described in Article VII.1 of the IPPC (1997) and ISPM No. 20: *Guidelines for a phytosanitary import regulatory system*. Therefore, certain provisions of this standard are based on that premise.

2. Purpose of the standard

The objectives of the standard are to:

- facilitate the safe export, shipment, import and release of biological control agents and beneficial organisms by providing guidelines for all public and private bodies involved, particularly where national legislation to regulate their use does not exist or may be inadequate.
- describe the need for cooperation between importing and exporting countries so that:
  - benefits to be derived are achieved without significant adverse effects
  - practices which ensure efficient and safe use while minimizing environmental risks due to improper handling or use are promoted.

Guidelines are described that:

- encourage responsible and generally accepted trade practices
- assist countries to design regulations to address the safe handling, assessment and use of biological control agents and beneficial organisms
- provide risk management recommendations for the safe export, shipment, import and release of biological control agents and beneficial organisms
- promote the safe use of biological control agents and beneficial organisms.

3. Designation of responsible authority

3.1 Contracting parties

Contracting parties should have appropriate phytosanitary measures in place for the export, shipment, import and release of biological control agents and beneficial organisms and, where these do not exist, should develop and implement such phytosanitary measures.

Contracting parties may designate a competent authority (usually their NPPO) to regulate the importation and release of biological control agents and beneficial organisms.

3.2 NPPO responsibilities

The NPPO should establish procedures for the assessment of documentation specified in section 5, and conditions appropriate to the assessed risk for the importation of biological control agents and beneficial organisms.

The NPPO should maintain appropriate communication and coordinate with affected parties including, where appropriate, other NPPOs on:

- dispatch and handling procedures
- release and evaluation
- distribution and trade
- labelling, packaging and storage during shipment
- information exchange
- environmental risks
- occurrence of unexpected and/or deleterious incidents, including remedial action taken.

4. Responsibilities of a contracting party or, where appropriate, its NPPO prior to import

Where appropriate, pest risk assessment should be undertaken prior to release (see section 8), in accordance with ISPM No. 2 (*Guidelines for pest risk analysis*) and/or stage 2 of ISPM No. 11 (*Pest risk analysis for quarantine pests including analysis of environmental risks and living modified organisms,* 2004) as appropriate, taking into account uncertainties, as provided for in those standards.

Most countries require pest risk analysis (PRA) to be completed prior to import and, as described in ISPM No. 20 (*Guidelines for a phytosanitary import regulatory system*), technical justification, such as through PRA, is required to determine if pests should be regulated and the strength of phytosanitary measures to be taken against them. However, ISPM No. 20 also states that contracting parties may make special provision for the import of biological control agents and beneficial organisms for scientific research and that such imports may be authorized subject to the provision of adequate safeguards. Therefore, as it is recognized that biological control agents and beneficial organisms may need to be imported for research and evaluation in secure facilities prior to release, the NPPO should allow for such imports, with the expectation that a full PRA, in accordance with ISPM No. 11, (*Pest risk analysis for quarantine pests including analysis of environmental risks and living modified organisms,* 2004) will be completed prior to release. When non-phytosanitary risks are identified, these may need to be referred to other appropriate authorities for possible action.

4.1 Responsibilities of the importing contracting party

The contracting party or, where appropriate, its NPPO should:

4.1.1 Promote awareness of, and compliance with this standard and use specific powers or introduce necessary phytosanitary measures to regulate the import, shipment and release of biological control agents and beneficial organisms in its country, and make provision for effective enforcement.

4.1.2 Evaluate the documentation on the pest specified in section 5 and on the biological control agent and beneficial organisms supplied by the importer in relation to the level of acceptable risk. The contracting party should also establish measures for importation, shipment, quarantine facilities or release of biological control agents appropriate to the assessed risk.

4.1.3 Issue regulations and/or import permits stating measures to be fulfilled by the exporter and importer. As appropriate, these may include the:

- requirements to ensure authoritative identification in quarantine, and provision and storage of a reference specimen
- specified source of the biological control agent or beneficial organism(s), including origin and/or point of production where relevant
- precautions to be taken against inclusion of natural enemies of the biological control agent or beneficial organism
- measures required for the exclusion of contaminating pest(s)
- guidelines for minimal acceptable packaging for shipment
- measures to validate documentation
- measures to allow validation of the contents of the material
- conditions under which the package may be opened

- point(s) of entry
- person or organization to receive the consignment
- facilities in which the biological control agent or beneficial organisms may be held.

4.1.4 Ensure that procedures are available for the documentation of the importation (identity, origins), release (numbers/quantities, dates, localities), potential impact of each particular biological control agent and beneficial organism in each country and of any other data relevant to assessing the outcome, and make records available to the scientific community and the public, as may be appropriate, while protecting any proprietary rights to the data.

4.1.5 If appropriate, ensure entry and, where required, processing through quarantine facilities. Where a country does not have secure quarantine facilities, importation through an intermediate quarantine station in a third country recognized by the importing NPPO should be considered.

4.1.6 Where possible, ensure the deposition in appropriate collections of authoritatively identified reference specimens of the imported biological control agent and beneficial organism (and host(s) where appropriate) where they will be available for reference and study in a publicly accessible collection. In the case of sterile insect technique (SIT), the sterile insect should be marked to differentiate it from the wild insect.

4.1.7 Consider the necessity to require culturing of imported biological control agents and beneficial organisms in quarantine before release. Culturing for one generation can help in ensuring purity of the culture, authoritative identification, and freedom from hyperparasites and pathogens or associated pests. This is especially advisable when biological control agents and beneficial organisms are collected from the wild.

4.1.8 Consider, through the pest risk assessment process (consistent with the principles of necessity and minimal impact), if, after a first import, further imports of the same biological control agent and beneficial organism can be exempted from some or all of the requirements for import.

4.2 Responsibilities of the authority of an exporting country

The authority of an exporting country, in association with the exporter (see section 6), to the extent possible, should:

4.2.1 Ensure that regulations of the importing country are followed and that phytosanitary certificates, where required by the importing country for consignments of biological control agents or beneficial organisms, if these are considered as potential pests or pathways for plant pests, are issued in accordance with ISPM No. 12: *Guidelines for phytosanitary certificates.*

4.2.2 Follow the appropriate elements of this standard, where the importing country has no legislation specifically concerning the import of biological control agents and beneficial organisms.

5. Documentary Responsibilities of Importer Prior to Import

5.1 General documentary requirements

It is recommended that, prior to the first importation, the importer of biological control agents or beneficial organisms for any purpose should prepare documentation for submission to the NPPO with information on the target pest(s) to be controlled, including:

5.1.1 Accurate identification of the target pest(s), its world distribution and probable origin, its known biology and ecology.

5.1.2 Assessment of its economic importance and environmental impact.

5.1.3 Consideration of possible benefits of the target and conflicting interests surrounding its use.

5.1.4 Its known natural enemies, antagonists and other biological control agents or competitors already present or used in the proposed release area or in other parts of the world.

5.2 Documentary requirements related to the country of export

It is recommended that, prior to first importation, the importer of biological control agents or beneficial organisms should coordinate with the exporter to prepare documentation for submission to the NPPO with information on the biological control agent or beneficial organism including:

5.2.1 Accurate identification or, if not available, sufficient characterization of the biological control agent or beneficial organism to allow its unambiguous recognition.

5.2.2 A summary of all available information on its origin, distribution, biology, natural enemies and impact in its area of distribution.

5.2.3 Available information on host specificity of the biological control agent or beneficial organism and any potential hazards posed to non-target hosts.

5.2.4 Description of natural enemies or contaminants of the agent and procedures required for their elimination from laboratory colonies including, if appropriate, procedures to identify accurately and, if necessary, eliminate from the culture the host upon which the biological control agent or beneficial organism was cultured. Information on any measures taken prior to shipment should also be provided.

5.3 Documentary requirements related to potential hazards and emergency actions

It is recommended that, prior to first importation, the importer of biological control agents or beneficial organisms, for any purpose, should also prepare documentation for presentation to the relevant authority that:

5.3.1 Identifies potential hazards and analyzes the risks posed, such as for those who may be handling biological control agents or beneficial organisms under laboratory, production and field conditions.

5.3.2 Documents emergency actions or procedures, should the biological control agent or beneficial organism display unexpected adverse properties.

5.4 Documentary requirements related to research in quarantine

In addition to the information described in points 5.1 – 5.3, an importer of biological control agents or beneficial organisms proposed for research in quarantine only, should also provide the following:

- information on the nature of the material proposed for importation
- detailed description of the security of facilities (to include the facilities and the competency/qualifications of the staff).

6. Responsibilities of Exporter prior to Export

6.1 General responsibilities of the exporter

The exporter of biological control agents or beneficial organisms for any purpose should ensure that:

6.1.1 All conditions specified in the regulations of the importing country or on the import permit are complied with.

6.1.2 Consignments, upon export, are accompanied by appropriate documentation.

6.1.3 Packaging is secure in order to prevent escape of the contents.

6.1.4 The organisms for SIT have been irradiated with the required minimum absorbed dose suitable for SIT purposes.

6.2 Responsibilities of the exporter of biopesticides and organisms intended for use for inundative release for phytosanitary purposes

Exporters of biopesticides and other biological control agents or beneficial organisms for inundative release should:

6.2.1 Take all necessary steps to ensure that exported biological control agents or beneficial organisms conform to regulations of importing countries and to relevant international agreements.

6.2.2 Provide documentation on measures undertaken to ensure that acceptable levels of contaminating organism(s) are not exceeded.

7. Responsibilities of the NPPO of the Importing Country upon Import

7.1 Inspection

Where required (see section 4.1.5) after checking the documentation, inspection should take place at a specified quarantine facility.

7.2 Quarantine

The NPPO should ensure that biological control agents or beneficial organisms, if appropriate (see section 4.1.7), are cultured in quarantine for as long as considered necessary.

7.3 Release

The NPPO should allow certain biological control agents or beneficial organisms to be passed directly for release, if appropriate and provided that all conditions have been complied with (see section 4) and required documentary evidence is made available (see section 5).

8. Responsibilities of the NPPO before and upon release

If pest risk assessment was not undertaken prior to import in accordance with ISPM No. 2 (*Guidelines for pest risk analysis*) and/or ISPM No. 11 (*Pest risk analysis for quarantine pests including analysis of environmental risks and living modified organisms*, 2004) as appropriate, it should be undertaken prior to release taking into account uncertainties, as provided for in those standards. This may require additional information, e.g. on environmental impacts.

It is recommended that documentation sufficient to allow trace-back of released biological control agents or beneficial organisms be maintained by the NPPO.

8.1 Monitoring and evaluation

The NPPO should encourage the monitoring of the release of biological control agents or beneficial organisms in order to assess the impact on the target and non-target organisms. Where appropriate, it should include a marking system to facilitate recognition of the biological control agent (e.g. sterile insects) or beneficial organism in contrast to the wild organism.

8.2 Corrective action

Where problems are identified (i.e. unexpected deleterious incidents), the NPPO should consider possible measures and, where appropriate, ensure that corrective action is taken and that all relevant parties are informed.

8.3 Communication

The NPPO should take action, where relevant, to inform and educate local suppliers of biological control agents or beneficial organisms, farmers, farmer organizations and other stakeholders on the appropriate measures for their use.

8.4 Reporting

The NPPO should abide by any reporting obligations under the IPPC (as contained in ISPM No. 17: *Pest Reporting*), e.g. where an organism used as a biological control agent by one country may be considered as a pest by another country.

9. Release

The NPPO should perform, manage, supervise or, at minimum, audit or review any official requirements related to the release of biological control agents or beneficial organisms, e.g. requirements related to release only in specific areas.

APPENDIX 5

Draft ISPM
May 2004
For country consultation

INTERNATIONAL STANDARDS FOR PHYTOSANITARY MEASURES

GUIDELINES FOR CONSIGNMENTS IN TRANSIT

Secretariat of the International Plant Protection Convention
FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS
Rome, ----

CONTENTS

INTRODUCTION

SCOPE

This standard describes phytosanitary procedures which allow consignments of regulated articles to pass in transit through a country under procedures less restrictive than those for import and re-export while appropriately managing the phytosanitary risk.

REFERENCES

Guidelines for pest risk analysis, 1996. ISPM No.2, FAO, Rome.
Guidelines for phytosanitary certificates, 2002. ISPM No. 12, FAO, Rome.
International Plant Protection Convention, 1997. FAO, Rome.
Pest reporting, 2002. ISPM No. 17, FAO, Rome.

DEFINITIONS[5]

consignment	A quantity of plants, plant products and/or other articles being moved from one country to another and covered, when required, by a single phytosanitary certificate (a consignment may be composed of one or more commodities or lots) [FAO, 1990; revised ICPM, 2001]
consignment in transit*	A consignment that enters the territory of a country, and passes through it in entirety to another country, subject to appropriate official procedures.
IPPC	International Plant Protection Convention, as deposited in 1951 with FAO in Rome and as subsequently amended [FAO, 1990; revised ICPM, 2001]
NPPO	National Plant Protection Organization [FAO, 1990; ICPM, 2001]
phytosanitary hazard*	The potential to cause harm directly or indirectly to plants or plant products
Phytosanitary Certificate	Certificate patterned after the model certificates of the IPPC [FAO, 1990]
phytosanitary measure (agreed interpretation)	Any legislation, regulation or official procedure having the purpose to prevent the introduction and/or spread of quarantine pests, or to limit the economic impact of regulated non-quarantine pests [FAO, 1995; revised IPPC, 1997; ICPM, 2002]

The agreed interpretation of the term phytosanitary measure accounts for the relationship of phytosanitary measures to regulated non-quarantine pests. This relationship is not adequately reflected in the definition found in Article II of the IPPC (1997).

PRA	Pest Risk Analysis [FAO, 1995; revised ICPM, 2001]
regulated article	Any plant, plant product, storage place, packaging, conveyance, container, soil and any other organism, object or material capable of harbouring or spreading pests, deemed to require phytosanitary measures, particularly where international transportation is involved [FAO, 1990; revised FAO, 1995; IPPC, 1997]

OUTLINE OF REQUIREMENTS

International trade may involve the movement of consignments of regulated articles in transit, under Customs control. Such movement in general presents a low phytosanitary risk to the countries of transit, so that it may not be subject to any specific phytosanitary measures. Some consignments in transit do, however, present a phytosanitary risk to the country of transit.

This standard provides guidelines by which the NPPO of the country of transit decides by PRA which transit movements can proceed without intervention of the NPPO, and which should be subjected to specific phytosanitary measures. The responsibilities and elements of the transit system are described, together with the needs for cooperation and communication, non-discrimination, review and documentation.

[5] Terms marked with (*) are new or revised

REQUIREMENTS

1. Background

"Contracting parties (to the IPPC) may apply measures specified in this Article to consignments in transit through their territories only where such measures are technically justified and necessary to prevent the introduction and/or spread of pests" (Article VII.4 of the IPPC, 1997).

A consignment which enters the territory of a country, passes through and entirely leaves is considered to be in transit. Such consignments are generally subject to Customs control. They may pass in this way while remaining enclosed, and without being split up, combined with other consignments or having their packaging changed. Under such conditions, they can in many cases move without special phytosanitary measures, especially if they are transported in containers[6]. The Customs procedures adequately ensure the integrity and security of the consignments, and in particular the fact that they finally leave the country in their entirety.

Consignments passing through a country in transit under Customs control may, however, also be transported open rather than enclosed, or their enclosure may only satisfy Customs requirements and not phytosanitary requirements. They may, while under Customs control, be split up, combined or repacked, particularly if the type of transport changes (e.g. from ship to railway). They may not pass directly through the country, but be held for a period of storage under Customs control. In such cases, the consignments may present a phytosanitary risk to the country of transit and phytosanitary measures may be needed which go beyond the Customs control system.

This standard is concerned both with consignments passing through countries under Customs control only, and with consignments subject to additional phytosanitary measures while in transit. In all cases, cooperation between Customs and the NPPO is important for implementation of an effective transit system.

2. Phytosanitary Risk Assessment for the Country of Transit

2.1 Information required for hazard identification

To assess an existing Customs-based transit system, the NPPO of the transit country (from this point onwards the NPPO) should collect and review information on:

- customs procedures
- existing phytosanitary measures
- types of commodities in transit
- means and methods of transport
- pests associated with the consignments in transit.

Consignments in transit that are moved with existing transit procedures and that pose no phytosanitary hazard may continue to move as normal.

If phytosanitary hazards are identified, phytosanitary measures may be needed. In order to provide technical justification for these measures, a phytosanitary risk assessment of the transit system may be needed.

2.2 Information required for risk categorization

Phytosanitary risk assessments are used to categorize the risk associated with any phytosanitary hazards identified in the points listed in Section 2.1. This assessment should be conducted according to the general requirements for pest risk analysis outlined in ISPM No. 2: *Guidelines for pest risk analysis.*

Information to consider for the categorization of phytosanitary risk includes:

- country of origin or export
- type of commodity
- pest regulated by country of transit
- type of transport: transport mode (truck, rail, air, ship) and the way a consignment is being transported (closed, sealed, refrigerated etc.)
- type of packaging (bulk, bagged, boxed etc.)
- unloading and reloading: change in configuration (combined, split or repackaged) and/or type of transport
- time in transit: the type of commodity and the type of transport will influence the level of phytosanitary risk in relation to the duration of the time of transit including storage
- transit route
- frequency and volume of transit
- season of transit.

[6] i.e. a standard transport container as used in ocean going trade

2.3 Phytosanitary risk classification of consignments in transit

The phytosanitary risk should be classified into broad categories to be handled by Customs procedures only or requiring NPPO intervention.

3. Phytosanitary Risk Management for Consignments

Customs procedures apply to all consignments in transit, whether only under customs control, or when specific phytosanitary measures are required. Customs procedures may include document verification, tracking (e.g. electronic), sealing, control of carrier and entry/exit control.

3.1 Transit under Customs procedures alone

The NPPO, through phytosanitary risk analysis, may determine that the customs transit procedures alone adequately manage the phytosanitary risk. The NPPO does not need to apply any phytosanitary measures in addition to Customs procedures.

3.2 Transit with phytosanitary measures in addition to Customs procedures

If the phytosanitary risk analysis for consignments in transit identifies that Customs procedures are insufficient to reduce the phytosanitary risk associated with transit, the NPPO may determine that phytosanitary measures are necessary. These may include:

- commodity verification
- transit permits
- phytosanitary certificate (with transit requirements)
- designated entry and exit points
- verification of exiting
- designated transit routes
- NPPO prescribed equipment or facilities
- designated Customs facilities
- treatments
- consignment tracking while in transit
- physical conditions (refrigeration, pest-proof packaging and/or conveyance)
- NPPO specific seals
- specific carrier's emergency management plans
- transit time limits
- documentation in addition to that required by Customs.

3.3 Prohibition of transit

When appropriate phytosanitary measures are not available or impossible to apply, the NPPO may prohibit the transit.

3.4 Rejection from transit procedures

If a consignment under Customs procedures is stored or reloaded in such a way that it presents a phytosanitary risk, the NPPO may decide that the consignment should not be allowed to continue in transit and require it to meet import requirements, or subject it to other appropriate phytosanitary measures (e.g. rejection).

4. Responsibilities

4.1 Responsibility of national government

The national government directs the activities of the NPPO and Customs in a system for control of consignments in transit. This system should also ensure that prescribed phytosanitary measures are applied. The system is operated by the Customs and NPPO in cooperation as appropriate. The NPPO takes responsibility for the phytosanitary measures applied.

4.2 Responsibility for consignments transiting a country

The NPPO has phytosanitary responsibility for the transit system, in conjunction with Customs. The NPPO establishes and implements phytosanitary measures necessary to manage phytosanitary risks.

Customs has responsibility for the control of the consignments in transit.

5. Emergency Measures for Transit

The transit system should include emergency measures, established by the NPPO, in case of accident or non-compliance.

6. Resources

The NPPO should have the appropriate staff, information, training and equipment to establish and supervise the transit system for phytosanitary purposes.

7. Phytosanitary Risks for Importing Country Arising from Transit

Consignments in transit are generally not exposed to infestation or contamination by pests which may present a phytosanitary risk to other countries.

If however, the consignment is exposed to infestation or contamination by pests, the NPPO should issue a new phytosanitary certificate that describes the new phytosanitary status of the consignment. If the consignment is split up, combined with other consignments or repackaged, the NPPO should issue a phytosanitary certificate for re-export (ISPM No. 12: *Guidelines for phytosanitary certificates*).

In any case, if the transit country determines that the transit could present an immediate danger to the importing country, this information should be communicated to the importing country (ISPM No. 17: *Pest Reporting*).

8. Cooperation and Communication

The NPPO should establish cooperation with Customs and other authorities involved in transit. It should maintain communication with all parties involved in transit.

9. Non-discrimination

Consignments in transit should not be subject to more restrictive measures than consignments of the same material imported into that country of transit, unless they are subject to even more stringent requirements by the country of destination. In such cases, non-discrimination does not apply.

10. Review

The NPPO should undertake periodic review of the transit system, of the types of consignments in transit and the associated phytosanitary risks, in cooperation with appropriate authorities and parties. It should make adjustments as appropriate.

11. Documentation

National systems for consignments in transit should be adequately described and documented and this information should be made available to other countries and interested parties on request.

APPENDIX 6

Draft ISPM
May 2004
For country consultation

AMENDMENTS TO ISPM NO. 5 (*GLOSSARY OF PHYTOSANITARY TERMS*)

The Standards Committee agreed to the following proposals made by the Glossary Working Group (GWG) in relation to new or revised terms in ISPM No. 5 (*Glossary of phytosanitary terms*). A brief explanation is given for each category of proposals.

1. REVISION OF EXISTING TERMS

1.1 Linked to the use of "phytosanitary"

It is proposed to modify the following definitions which contain the word "phytosanitary", in order to make it clear that the restricted meaning "related to regulated pests" applies to the cases below. Other definitions containing the word "phytosanitary" can remain as they are, since the word either forms part of a glossary term like "phytosanitary measure" or is used in an unrestricted sense.

Additional Declaration	A statement that is required by an importing country to be entered on a Phytosanitary Certificate and which provides specific additional information pertinent to the condition of a consignment in relation to regulated pests
compliance procedure (for a consignment)	Official procedure used to verify that a consignment complies with stated requirements in relation to regulated pests
detention	Keeping a consignment in official custody or confinement, as a phytosanitary measure (see quarantine)
Import Permit	Official document authorizing importation of a commodity in accordance with specified phytosanitary import requirements in relation to regulated pests
systems approach(es)	The integration of different management measures, at least two of which act independently, and which cumulatively achieve the appropriate level of protection against regulated pests

1.2 Two terms using “phytosanitary regulation or procedure”

It is proposed that terms which use the words “*phytosanitary regulation or procedure*” can now be changed to “*phytosanitary measure*”, because of the agreed interpretation for phytosanitary measure. The following changes are therefore proposed:

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.
phytosanitary action	An official operation, such as inspection, testing, surveillance or treatment, undertaken to implement phytosanitary measures.

1.3 Use of "official"

Several glossary definitions use *officially recognized*, *officially authorized*, *officially prescribed*. It is suggested that those terms should just refer to *official*, which is defined in the Glossary. The following changes are consequently proposed.

chemical pressure impregnation	Treatment of wood with a chemical preservative through a process of pressure in accordance with an official technical specification
heat treatment	The process in which a commodity is heated until it reaches a minimum temperature for a minimum period of time according to an official technical specification

phytosanitary procedure	Any official method for implementing phytosanitary regulations including the performance of inspections, tests, surveillance or treatments in connection with regulated pests
treatment	Official procedure for the killing, inactivation or removal of pests, or for rendering pests infertile or for devitalization

1.4. Proposed agreed interpretations

The following agreed interpretations for establishment and introduction, are proposed so that biological control agents can be covered [note: these interpretations were proposed by the GWG and the Expert Working Group on ISPM No. 3, and have been included in the draft ISPM No. 3. However, since they relate to definitions in the IPPC, they are also presented here].

establishment (agreed interpretation)	Perpetuation, for the foreseeable future, of a pest within an area after entry.
Agreed interpretation: the term establishment can apply equally to any organism, whether considered to be a pest or not. This is not adequately reflected in the definition found in Article II of the IPPC (1997).	
introduction (agreed interpretation)	The entry of a pest resulting in its establishment.
Agreed interpretation: the term introduction can apply equally to any organism, whether considered to be a pest or not. This is not adequately reflected in the definition found in Article II of the IPPC (1997).	

2. PROPOSED NEW TERMS

2.1. Arising from countries' suggestions during country consultation on draft standards in 2003

During country consultation in 2003, in relation with the draft standards on *Guidelines for a phytosanitary import regulatory system* and *Pest risk analysis for regulated non-quarantine pests*, countries proposed that some new terms should be defined. Following consideration of terms proposed, it is suggested that the following terms could usefully be defined in the Glossary.

integrity (of a consignment)	State of a consignment as described by its Phytosanitary Certificate or other document, maintained over a certain period
security (phytosanitary)	Maintenance of the integrity of a consignment by the appropriate phytosanitary measures
pest risk assessment (for regulated non-quarantine pests)	Evaluation of the probability of a pest in plants for planting affecting the intended use of those plants with an economically unacceptable impact
pest risk management (for regulated non-quarantine pests)	Evaluation and selection of options to reduce the risk of a pest in plants for planting having an economically unacceptable impact on the intended use of those plants
phytosanitary import requirements	Specific phytosanitary measures established by an importing country concerning consignments moving into that country
prevalence (pest)	Proportion of units in a population infested by a given pest at a given time
tolerance	Level of pest infestation (prevalence) of a population that will not result in phytosanitary action established on the basis of sampling and inspection/testing by specified procedures

3. TERMS ARISING FROM ICPM-5

ICPM-5 asked the GWG to discuss some terms which appeared in Supplement No. 2 to the Glossary (economic importance), in particular *ecosystem* and *habitat*. The GWG considered the definitions in the Convention on Biological Diversity, but thought that they were not exactly suitable as such for phytosanitary purposes, and thought useful to adjust them to the phytosanitary context. Consequently, the following definitions are proposed for inclusion in the Glossary. [Note that work is continuing in relation to some other environmental terms].

ecosystem	A dynamic complex of plant, animal and micro-organism communities and their abiotic environment interacting as a functional unit [revision compared to the current definition in the Glossary 2002]
habitat	The type of ecosystem where a species naturally occurs or can establish [new definition compared to the current Glossary]

4. OTHER NEW AND REVISED TERMS

Several other terms have been defined or revised by Expert Working groups and are marked with asterisks in the draft standards sent for country consultation.

5. PROPOSED DELETIONS OF TERMS

The terms **ecoarea**, **quarantine (of a biological control agent)** and **contaminating pests** had been defined and used only in relation to ISPM No. 3 *Code of conduct for the import and release of exotic biological control agents*. Following the discussions in the Working Group on the revision of ISPM No. 3 and in the Glossary Working Group, it is proposed that these terms should now be deleted from the Glossary.

APPENDIX 7

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May 2004
For country consultation

INTERNATIONAL STANDARDS FOR PHYTOSANITARY MEASURES

GUIDELINES FOR INSPECTION OF CONSIGNMENTS

Secretariat of the International Plant Protection Convention
FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS
Rome, ----

CONTENTS

INTRODUCTION

SCOPE

This standard describes the procedures for the inspection of consignments of plants, plant products and other regulated articles at import and export. It is focused on the determination of compliance with phytosanitary requirements, based on visual examination for the detection of pests.

REFERENCES

Export certification system, 1997. ISPM No. 7, FAO, Rome.
Glossary of phytosanitary terms, 2004. ISPM No. 5, FAO, Rome.
Guidelines for a phytosanitary import regulatory system, 2004. ISPM No. 20, FAO, Rome.
Guidelines for pest eradication programmes, 1998. ISPM No. 9, FAO, Rome.
Guidelines for the notification of non-compliance and emergency action, 2001. ISPM No. 13, FAO, Rome.
Guidelines on lists of regulated pests, 2003. ISPM No. 19, FAO, Rome.
International Plant Protection Convention, 1997. FAO, Rome.
Pest risk analysis for quarantine pests including analysis of environmental risks and living modified organisms, 2004. ISPM No. 11, FAO, Rome.
Pest risk analysis for regulated non-quarantine pests, 2004. ISPM No. 21, FAO, Rome
Principles of plant quarantine as related to international trade, 1995. ISPM No. 1, FAO, Rome.
Regulated non-quarantine pests: concept and application, 2002. ISPM No. 16, FAO, Rome.
The use of integrated measures in a systems approach for pest risk management, 2002. ISPM No. 14, FAO, Rome.

DEFINITIONS[7]

consignment	A quantity of plants, plant products and/or other articles being moved from one country to another and covered, when required, by a single phytosanitary certificate (a consignment may be composed of one or more commodities or lots) [FAO, 1990; revised ICPM, 2001]
contaminating pest	A pest that is carried by a commodity and, in the case of plants and plant products, does not infest those plants or plant products [CEPM, 1996; revised CEPM, 1999]
contamination	Presence in a commodity, storage place, conveyance or container, of pests or other regulated articles, not constituting an infestation (see infestation) [CEPM, 1997; revised CEPM, 1999]
inspection	Official visual examination of plants, plant products or other regulated articles to determine if pests are present and/or to determine compliance with phytosanitary regulations [FAO, 1990; revised FAO, 1995; formerly inspect]
inspector	Person authorized by a National Plant Protection Organization to discharge its functions [FAO, 1990]
IPPC	International Plant Protection Convention, as deposited in 1951 with FAO in Rome and as subsequently amended [FAO, 1990; revised ICPM, 2001]
lot	A number of units of a single commodity, identifiable by its homogeneity of composition, origin etc., forming part of a consignment [FAO, 1990]
detection threshold*	The minimum level of infestation or contamination that will be detected at a defined level of confidence with a specific sampling method.
National Plant Protection Organization	Official service established by a government to discharge the functions specified by the IPPC [FAO, 1990; formerly Plant Protection Organization (National)]
pest	Any species, strain or biotype of plant, animal or pathogenic agent injurious to plants or plant products [FAO, 1990; revised FAO, 1995; IPPC, 1997]

[7] Terms marked with (*) are new.

Pest Free Area	An area in which a specific pest does not occur as demonstrated by scientific evidence and in which, where appropriate, this condition is being officially maintained [FAO, 1995]
Pest Risk Analysis	The process of evaluating biological or other scientific and economic evidence to determine whether a pest should be regulated and the strength of any phytosanitary measures to be taken against it [FAO, 1995; revised IPPC, 1997]
phytosanitary certification	Use of phytosanitary procedures leading to the issue of a Phytosanitary Certificate [FAO, 1990]
quarantine pest	A pest of potential economic importance to the area endangered thereby and not yet present there, or present but not widely distributed and being officially controlled [FAO, 1990; revised FAO, 1995; IPPC 1997]
regulated pest	A quarantine pest or a regulated non-quarantine pest [IPPC, 1997]
visual inspection*	The physical examination of plants, plant products, or other regulated articles using the unaided eye, a hand lens, or microscope to detect pests or contaminants without testing or processing.

OUTLINE OF REQUIREMENTS

National Plant Protection Organizations (NPPOs) have responsibility for ensuring that consignments are inspected for compliance with phytosanitary requirements, including the detection of regulated pests. Plants, plant products and other regulated articles for import or export are inspected at the time a consignment is being assembled or after it has been assembled.

Inspectors should check consignments by reviewing the documents associated with them, by checking their phytosanitary integrity and by conducting phytosanitary inspection. Inspection includes checking for phytosanitary compliance and visual examination for pests and/or sampling for testing. The result of inspection should allow an inspector to decide whether to accept or reject the lot, or whether further analysis is required.

NPPOs may determine that consignments should be sampled during inspection. The sampling methodology used should depend on the specific inspection objectives and relate to the probability of detection of specified regulated pests or non-regulated pests. A detection threshold may be determined, below which no phytosanitary action is taken.

REQUIREMENTS

1. General Requirements

1.1 Inspection of consignments

Inspection is the official visual examination of plants, plant products or other regulated articles at import or for export. Inspection is undertaken to determine compliance with phytosanitary regulations and in particular the detection of regulated pests.

1.2 Responsibility for inspection

In accordance with the International Plant Protection Convention (IPPC), National Plant Protection Organizations (NPPOs) have authority for phytosanitary certification and to assure that consignments for either import or export meet relevant phytosanitary requirements. Inspections should be performed by individuals, organizations or agencies authorized by the NPPO as being technically competent for specific inspection activities (but the NPPO retains the overall responsibility) (see also section 3.1 of ISPM No. 7: *Export certification system*; and section 5.1.5.2 of ISPM No. 20: *Guidelines for a phytosanitary import regulatory system*).

These may include:

- officers of the NPPO or other national government agencies
- agents of the NPPO:
  - employees of sub-national government organizations
  - non-government personnel authorized by the NPPO.

1.3 Inspectors

As authorized officers or agents, inspectors should have:
- authority to discharge their duties and accountability for their actions
- technical competency, especially in pest detection
- knowledge of, or access to capability in, pest, plant and plant product identification
- access to appropriate inspection facilities, tools and equipment
- direction in the form of written guidelines (regulations, manuals, pest data sheets)
- knowledge of the workings of other regulatory agencies where appropriate
- no conflict of interest (i.e. be objective and independent).

The inspector may be required to inspect lots for:
- compliance with specified import or export requirements
- specified regulated pests
- non-specified pests
- collecting samples for laboratory testing or the verification of pests.

1.4 Inspection objectives and assumptions

The objective of inspection of consignments as a phytosanitary measure is to confirm compliance with import or export requirements including in particular the absence of or specified tolerance for regulated pests.

An export inspection may contribute to a phytosanitary guarantee that the consignment meets specified phytosanitary requirements of the importing country at the time of inspection. An export inspection of a consignment may result in the issuance of a phytosanitary certificate for the consignment in question.

Inspection at import is used to verify compliance with import regulations. In cases of repetitive non-compliance, the intensity and frequency of import inspections for certain imported consignments may be increased.

Inspections for audit should be designed to check the validity of the original inspection results.

A representative sample size of a lot is normally determined on the basis of a specified regulated pest associated with a specific commodity. It may be more difficult to determine the representative sample size in cases where inspection of consignments is targeted at several or all regulated pests.

In the absence of requirements relating to specified regulated pests, inspection may be used generally for the detection of non-specified pests which are not included on lists of regulated pests.

The use of inspection as a means to determine or verify the phytosanitary condition of a consignment is based on the following assumptions:
- the pests of concern are visually detectable
- inspection is operationally practical and
- some probability of pests being undetected is recognized.

Some probability of pests being undetected is implicit when inspection is used. This is because inspection is usually based on sampling, which may not involve visual examination of 100% of the lot or consignment, nor is inspection 100% effective for detecting any specified pest.

To ensure consistent inspection of consignments, the use of sampling design may be a helpful tool. Sampling may involve a statistical relationship between the lot size, sample size, confidence level and the level of pest prevalence that may be detected in a lot. By understanding this relationship, it is possible to obtain some indication of the effectiveness of inspection for detection of a specified regulated pest.

1.4.1 Probability of pests being undetected

When using inspection as a risk management procedure, there is a certain probability that a pest present in a lot or consignment may not be detected. The finding of no regulated pests or infested units in a sample means that the lot or consignment has a certain probability of being free from pests according to the level of sampling. The use of inspection implies a tolerance for a level of pest infestation in the lot or consignment below which no phytosanitary action is taken. This tolerance is equivalent to a detection threshold. A zero tolerance of pests in a consignment is normally not practical for inspection; however it may be possible when the pests of concern are easily detected, the lots are easily inspected, and the intensity of inspection is practical and technically justified.

1.5 Other factors

The decision to use inspection as a phytosanitary measure involves consideration of many factors, including in particular the phytosanitary requirements of the importing country and the pests of concern. Other factors that may require consideration include:

- mitigation measures taken by the exporting country
- whether visual inspection is the only measure or combined with other measures
- commodity type, value and intended use
- place of production
- consignment size and configuration
- volume, frequency and timing of shipments
- experience with origin/shipper
- means of conveyance and packaging
- available financial and technical resources (including pest diagnostic capabilities)
- previous handling and processing
- sampling design characteristics necessary to achieve the inspection objectives
- difficulty of pest detection on a specific commodity
- experience and the results of previous inspections
- perishability of the commodity (see also Article VII.2e of the IPPC, 1997).

1.6 The relationship of pest risk analysis to inspection

Phytosanitary requirements should be derived from a pest risk analysis (PRA) that lists the pests of phytosanitary concern and identifies the pests for which inspection is required and/or identifies commodities that are subject to inspection (see Figure 1). PRA provides the means for developing lists of pests requiring phytosanitary measures. It is also used for evaluating newly discovered pests and developing recommendations for appropriate actions. Risk management procedures in PRA provide the means to determine if inspection is an appropriate option. When considering inspection as an option for risk management and the basis for phytosanitary decision making, it is important to consider both technical and operational factors associated with a particular type and level of sampling. Such a sampling may be required to detect specified pests at the desired level and confidence depending on the risk associated with them (see also ISPM No. 11: *Pest risk analysis for quarantine pests including analysis of environmental risks and living modified organisms*, 2004, and ISPM No. 21: *Pest risk analysis for regulated non-quarantine pests*).

2. Technical Requirements

The technical requirements for inspection involve three distinct procedures that should be designed with a view to ensuring technical correctness while also considering operational practicality. These procedures are:

- review of documents associated with the consignment
- checking consignment integrity and
- phytosanitary inspection of the consignment.

The phytosanitary inspection of a consignment includes:

- checking for phytosanitary compliance and
- visual inspection for pests and/or sampling for testing.

Certain aspects of inspection may differ depending on whether the procedures are for import or export inspection. These processes and the differences between them are demonstrated in Figures 2 and 3.

2.1 Review of documents associated with the consignment

Import and export documents are reviewed for:

- correctness
- completeness
- consistency
- accuracy
- validity.

Documents that may be associated with imports include:

- phytosanitary certificate
- manifest (including bills of lading), invoice
- import permit
- treatment documents.

(see also ISPM No. 20: *Guidelines for a phytosanitary import regulatory system*)

Documents that may be associated with export certification include:

- origin certificates
- field inspection certificates
- treatment documents
- producer/packing records
- import permit
- certification programme documents (e.g. seed potato certification programmes, pest free area documentation)
- inspection certificates
- commercial invoices.

Problems encountered with either import or export documents should be investigated first with the parties providing the documents.

2.2 Checking consignment integrity

The inspection for integrity involves checking to ensure that the consignment is accurately described by its documents. This requires a physical examination of the consignment to confirm the identity, quantity and configuration of the commodity, as well as checking for seals, safeguards or other relevant physical aspects of the shipment that may be of phytosanitary concern. Actions taken based on the result will depend on extent and nature of the problem encountered.

2.3 Phytosanitary inspection of the consignment

Phytosanitary inspection is to ensure that the consignment complies with the phytosanitary requirements of the importing country, including requirements regarding the presence of regulated pests.

2.3.1 Checking for phytosanitary compliance

Compliance with certain phytosanitary measures may be verified by inspection. Examples include:

- treatment
- degree of processing (e.g. drying)
- freedom from contaminants (e.g. leaves, soil)
- required growth stage, variety, colour, age etc.
- freedom from unauthorized commodities or articles
- requirements for premises (e.g. screening, waste removal, avoiding cross-contamination).

Actions taken for non-compliance depend on the nature of the problem.

2.3.2 Visual inspection for pests and/or sampling for testing

Consignments or lots within a consignment are sampled as a means to determine the presence of pests based on some probability of detecting infestation or contamination if it exceeds some predetermined level (detection threshold). The ability to consistently detect the presence of a pest with the desired confidence and at the desired level requires statistical and practical considerations of the level of infestation or contamination that is to be detected, the lot size, desired level of confidence, sample size, inspection intensity, sample intensity and design.

If the objective of inspection is the detection of specified regulated pests to meet phytosanitary requirements, then the sampling method should be based on a detection threshold that satisfies the corresponding phytosanitary requirements.

In instances where no detection threshold has been specified for regulated pests, or no specified regulated pests have been identified, or the objective is to detect the failure of other measures, sampling may be designed for general inspection (see also Figures 2 and 3). The sampling method adopted should be based on transparent technical and operational criteria, and should be consistently applied (see also ISPM No. 19: *Guidelines on lists of regulated pests*).

Sampling for testing follows the same principles and procedures (see also ISPM No. 20: *Guidelines for a phytosanitary import regulatory system*, Section 5.1.5.2).

2.4 Inspection technique

The inspection technique should be designed to detect the specified regulated pests on or in the commodity being examined and should be appropriate for the specified commodity and/or pest. The inspector visually examines units in the sample until the target or other pest has been detected or all sample units have been examined. At that point, the inspection may cease. However, additional sample

units may be examined if the NPPO has the need to gather additional information concerning the pest(s) and the commodity.

It is important that:

- examination of the sample be undertaken as soon as reasonably possible after the sample has been drawn to ensure that the sample is as representative of the consignment as possible.
- techniques are reviewed to take account of experience gained with the technique and of new technical developments.
- procedures are put in place to ensure the independence, integrity and security of samples for each lot.
- results of the inspection are documented.

Inspection procedures should be applied in a consistent manner commensurate to the assessed risk and the appropriate pest management measures identified by PRA. The level of sampling intensity to be used is established by the required detection threshold and the degree of confidence needed to ensure that the detection threshold is not missed. It should be based on sound scientific, technical and operational criteria that can be described and applied in practice as consistently as possible for similar consignments and conditions.

2.5 Inspection outcome

The result of the inspection allows a decision to be made as to whether a lot is accepted or rejected. Criteria for this process may be determined by the nature of the findings, considering the detection threshold or other inspection objective and the circumstances. Likewise, the consequences of rejection require consideration of the circumstances and alternatives. In some cases, corrective action may be taken (e.g. correcting documentation) while other situations may require stronger measures such as treatment or the destruction of a consignment. In any case, consignments should be safeguarded to maintain their phytosanitary integrity until decisions can be taken.

In many cases, pests or signs of pests that have been detected may require identification or further analysis in a laboratory or by specialist before a determination can be made on the phytosanitary status of the lot. It may be decided that emergency measures are needed where new or previously unknown pests are found. When inspection is used to collect samples for testing, the decision to accept or reject a lot may be based on the results of testing (see also Figure 2). A system for properly documenting and maintaining samples and/or specimens should be in place to ensure traceback to the relevant consignment and to facilitate later review of the results if necessary.

2.6 Review of inspection programmes

NPPOs should conduct periodic reviews of both import and export inspection programmes to validate the appropriateness of programme designs and to determine any course of adjustments needed to ensure that programmes are technically sound.

2.7 Transparency

As part of the transparency process, information concerning inspection procedures for a commodity should be documented and made available to the parties concerned. This communication may be part of a bilateral agreement covering the phytosanitary aspects of a commodity trade. The information concerning the sampling, inspection technique and outcome of inspections that result in rejection, including the action taken, should be reported on a timely basis or at least upon an official request (see also ISPM No. 13: *Guidelines for the notification of non-compliance and emergency action*).

Figure 1: Relationship of pest risk analysis to inspection

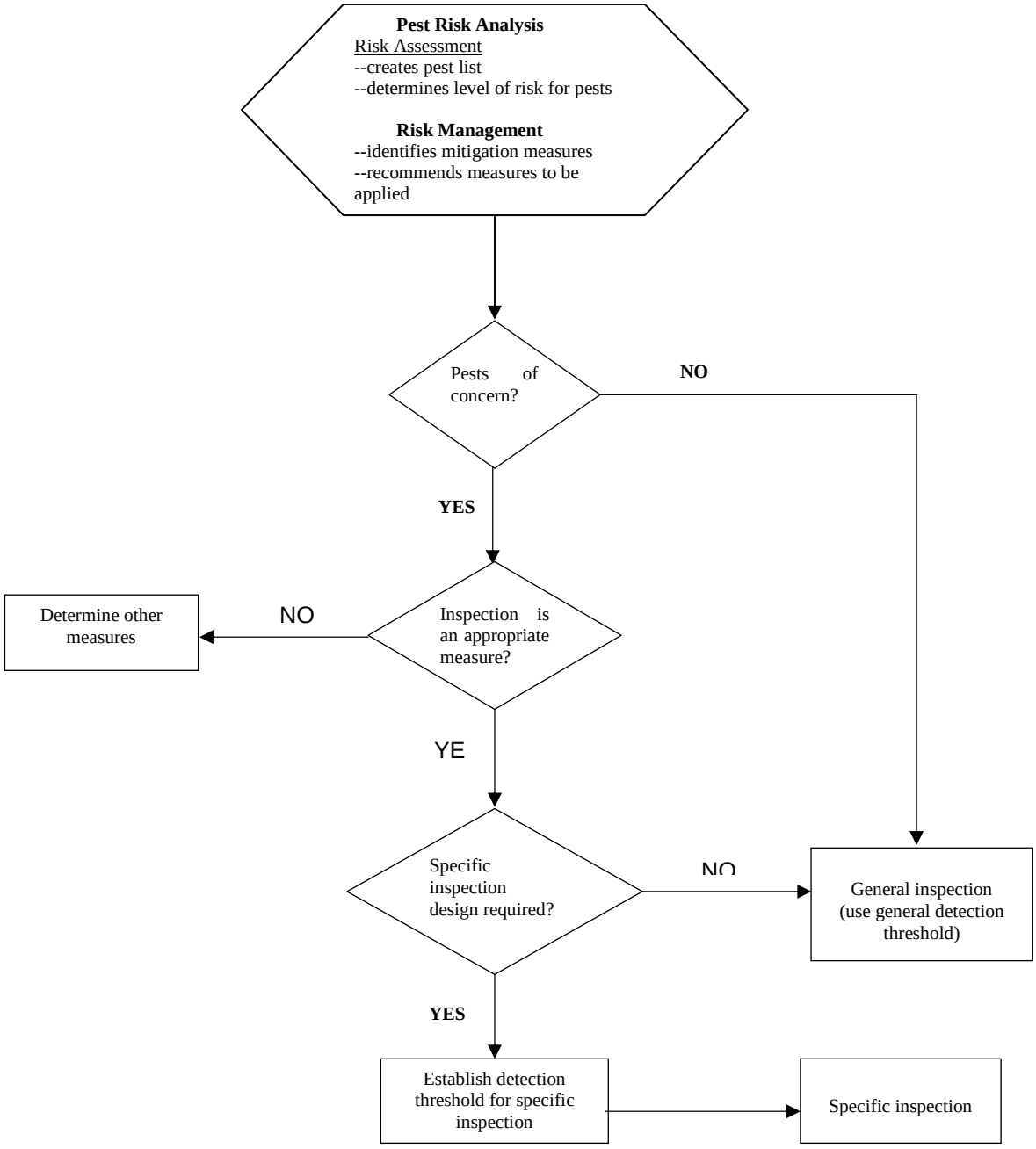


Figure 2: Import inspection process

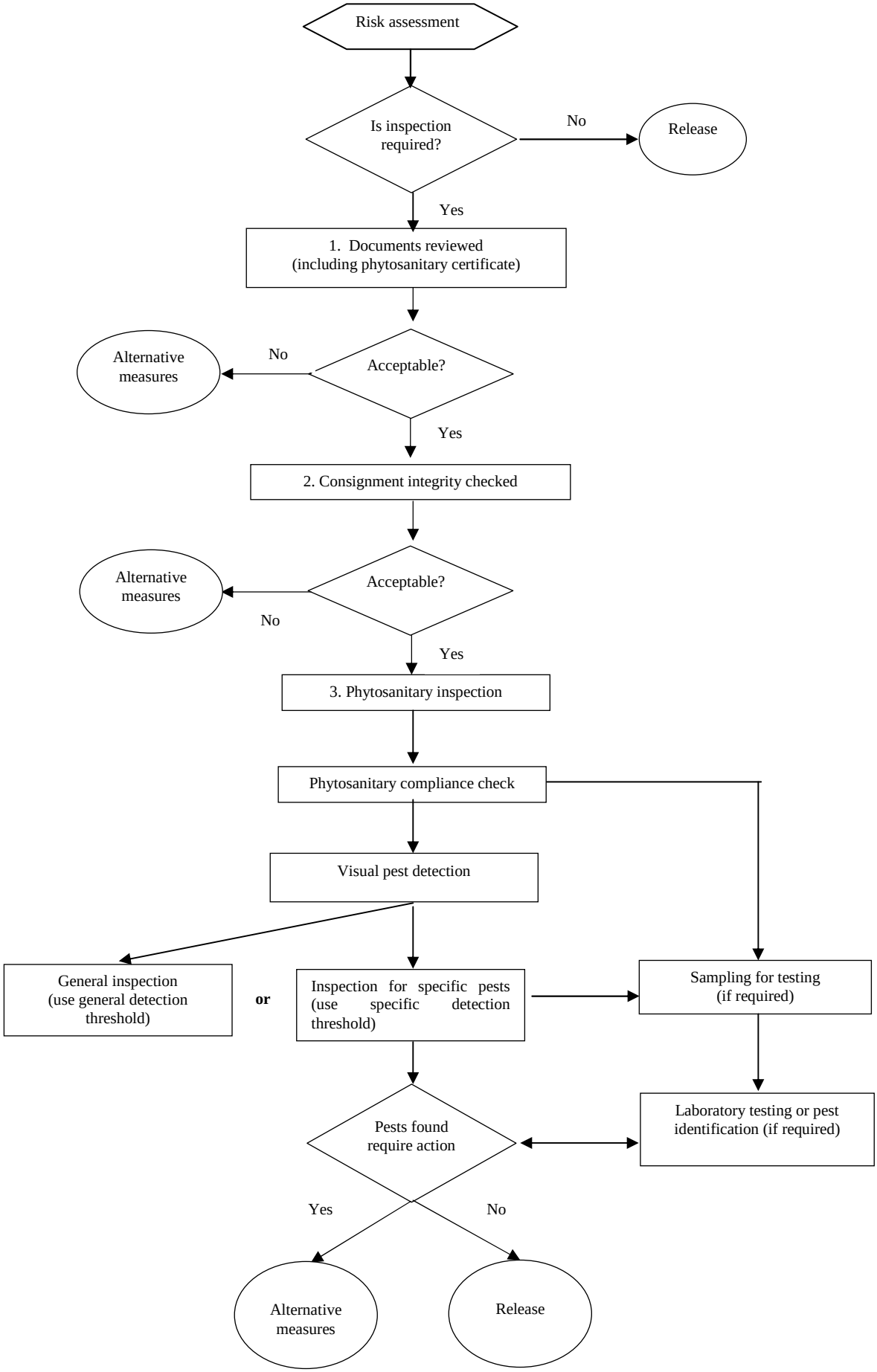
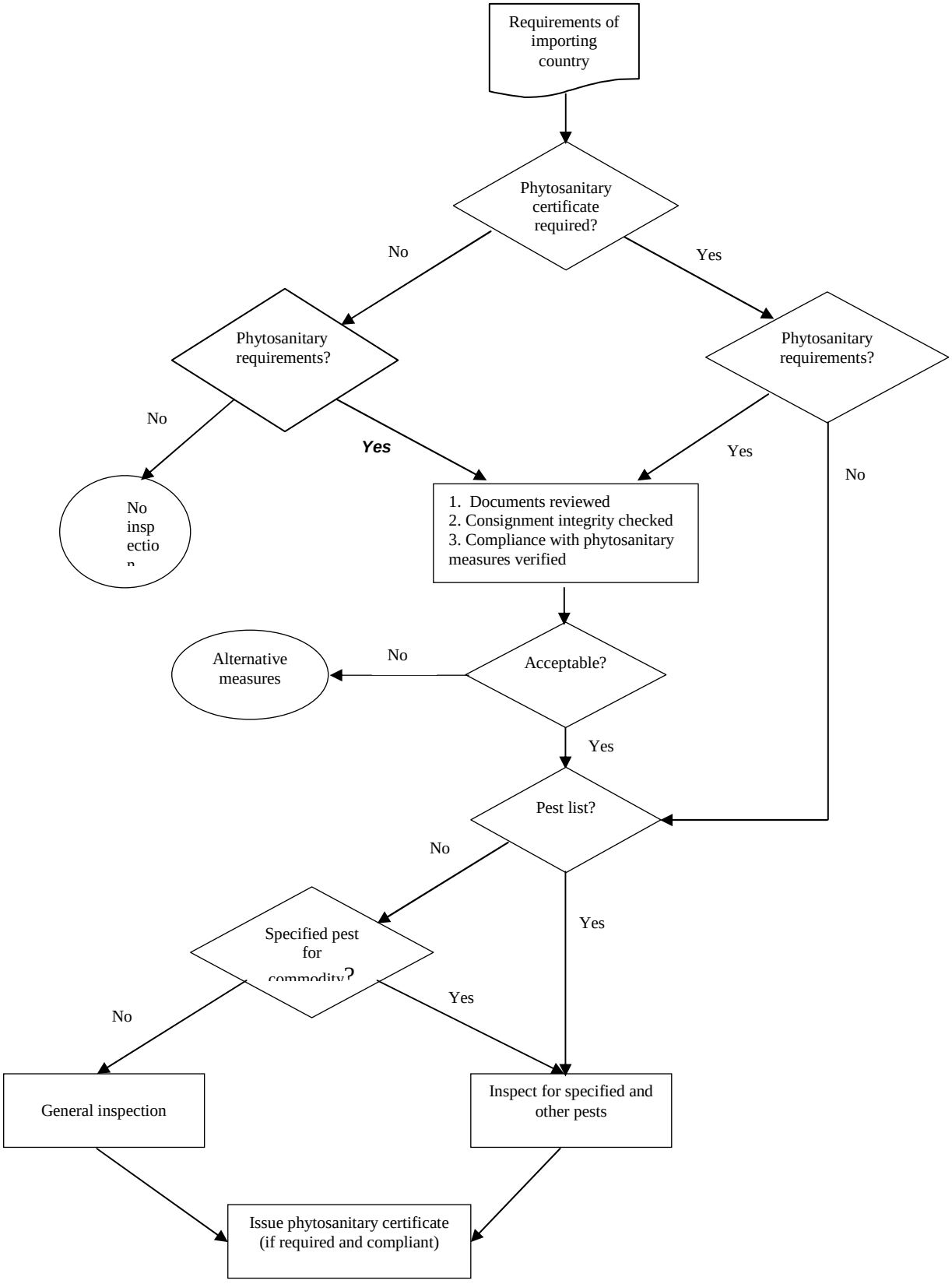


Figure 3: Export inspection process



APPENDIX 8

SPECIFICATION NO. 16

Title: Alternatives to methyl bromide.

Reason for the standard:
With restrictions on the use of methyl bromide (MB) and decreasing availability of MB, alternative strategies for quarantine purposes are needed.

Scope and purpose:
A guidance document will be produced to provide the framework for the consideration of the development of specifications for a standard on alternatives to MB.

Tasks:
- Develop a guidance document for strategies on the replacement of MB for phytosanitary treatments, to be used as further guidance for a future standard.
- Note any problems or concerns anticipated by the application of alternatives to MB in practice.
- Identify the main pests that are dependent on MB as a quarantine treatment.
- Design a format for treatments.
- Develop a process for submission of treatments through the Technical Panel on treatments to the Standards Committee.

Provision of resources: Funding for meetings is provided from the regular programme of the IPPC Secretariat (FAO) except where expert participation is voluntarily funded by the expert's government.

Proposed work programme: To be determined.

Steward: Narcy Klag.

Collaborators: To be determined.

Expertise: A working group of 4-5 experts having familiarity with phytosanitary systems, MB and other related quarantine treatments.

Participants: To be determined.

Approval: Introduced into the work programme by the ICPM at its sixth session, April 2004. Specification approved by the Standards Committee, April 2004.

References: ISPM No. 9 (*Guidelines for pest eradication programmes*); ISPM No. 14 (*The use of integrated measures in a systems approach for pest risk management*); ISPM No. 15 (*Guidelines for regulating wood packaging material in international trade*) and ISPM No. 18 (*Guidelines for the use of irradiation as a phytosanitary measure*); UNDP for alternatives to MB; Montreal Protocol.

APPENDIX 9

SPECIFICATION NO. 18

Title: Classification of commodities by phytosanitary risk related to level of processing and intended use.

Reason for the standard: It is generally acknowledged that the level of processing and the intended use of commodities may result in different levels of risk. This may result in differences in the application of phytosanitary measures, hence the need for harmonization. This standard aims to facilitate trade and increase transparency.

Scope and purpose: This standard should be a concept standard providing guidance for NPPOs for facilitating the classification of different types of commodities into phytosanitary risk categories, taking into account the level of processing and the intended use. It should also provide guidance for determining risk management measures expressed as import phytosanitary requirements for plants, plant products and regulated articles.

Tasks:

- Identify criteria for classification of different types of commodities into categories based on their intended use;
- Identify criteria for classification of different types of commodities into categories based on their level of processing;
- Determine the different phytosanitary risk categories, taking into account the above criteria;
- Based on different levels of phytosanitary risk, assign commodities into appropriately identified categories;
- Identify basic elements for determining risk management measures for plants, plant products and regulated articles in each risk category;
- Consider the concept of pathway analysis, where appropriate, as referred to in ISPM No. 2, No. 9 and No. 11 and consider other linkages where appropriate to other ISPMs such as No. 1, No. 2, No. 11 and No. 14.

Provision of resources: Funding for meetings is provided by the Regular Programme of the IPPC Secretariat (FAO), except where expert participation is voluntarily funded by the expert's government.

Proposed work programme: To be determined.

Steward: Alicia De La Rosa Brachowicz.

Collaborators: To be determined.

Expertise: 5-7 international phytosanitary experts that have an interest and expertise in phytosanitary regulations and relevant aspects of other standards and draft standards.

Participants: To be determined.

Approval: Introduced into the work programme by the ICPM at its Sixth Session in 2004. Specification approved by the Standards Committee, April 2004.

References:

ISPM No. 2 (Guidelines for Pest risk analysis); ISPM No. 9 (Guidelines for pest eradication programmes); ISPM No. 11 Rev.1 (Pest risk analysis for quarantine pests including analysis of environmental risks); ISPM No. 14 (The use of integrated measures in a systems approach for pest risk management); ERPF MERCOSUR 3.7 Requisitos Fitosanitarios Armonizados por Categoría de Riesgo para el ingreso de Productos Vegetales, Oct. 2002; ERPF COSAVE 3.15 Requisitos fitosanitarios armonizados por categoria de riesgo para el ingreso de productos vegetales, V.1.1.3, 2003; ERPF COSAVE 3.5 Lineamientos para la evaluacion y manejo de riesgo de plagas cuarentenarias de baja movilidad en vias de ingreso destinadas al consumo, V1.1; appropriate internationally-agreed customs classification systems (such as HS codes).

APPENDIX 10

SPECIFICATION NO. 20

Title: Guidelines on sampling of consignments.

Reason for the standard: Sampling is an important component of inspection. A standard is needed to provide guidelines in order to adequately and consistently sample consignments being inspected. The draft standard on *Guidelines for inspection of consignments* only contains basic information on sampling. However more information and guidance is required on the principles and statistical aspects of sampling.

Scope and purpose: This standard provides guidelines on sampling for import, export and transit of consignments.

Tasks:

- Consider the draft standard on *Guidelines for inspection of consignments* in order to provide guidance on sampling, in particular on:
  - sampling for inspection or testing
  - detection threshold
  - lot size
  - confidence level
  - sample size
  - statistical relationship
  - inspection design
  - inspection intensity
  - sampling intensity
  - selection of sampling method and design.
- Consider where appropriate inclusion of statistics and statistical tables.
- Provide guidance as appropriate on the following:
  - sampling for audit, information gathering purposes, release or certification of a shipment
  - format for sampling rate tables for different commodities to be developed and added to this standard in the future
  - use of flowcharts/decision tables.
- Consider the need for:
  - the inclusion of worksheets to determine the sample based on lot size, sample size, sampling intensity and sampling design
  - development of further guidelines for sampling of consignments for testing.

Provision of resources: To be determined.

Proposed work programme: To be determined.

Steward: David Porritt

Collaborators: To be determined.

Expertise: A working group of 5-7 experts having familiarity with phytosanitary systems, ISPMs, sampling and inspection methodology.

Participants: To be determined.

Approval: Introduced into the work programme by the ICPM at its sixth session, April 2004. Specification approved by the Standards Committee, April 2004.

References: The draft standard on inspection methodology as presented to the SC in April 2004 (especially the deleted sections), and the draft sent for country consultation in 2004. Others to be determined.

APPENDIX 11

SPECIFICATION NO. 21

Title: Guidelines for regulating potato micropropagation material and minitubers in international trade

Reason for the standard: Internationally, there are large numbers of pests associated with potato propagative material. Since potato minitubers and micropropagation material are intended for use in vegetative propagation, the risk of spreading pests is increased. Certain micropropagation processes can free propagative material from pests and therefore can be used as the basis for importing healthy material. Consequently, the export certification of such material is important and its basis may be harmonized.

Scope and purpose: This commodity standard describes phytosanitary measures to reduce the risks of regulated pests being associated with potato micropropagation material and minitubers in international trade.

Potato commodities and crops may be affected by a great number of plant pests, including many which cannot be detected by inspection. Moreover, many categories of potato are moved internationally, including ware potatoes, starch potatoes, different classes of seed potatoes and *in vitro* propagation material. This standard should focus on phytosanitary requirements that may be applied to movement of potato micropropagation material and minitubers.

Tasks:
- Consider existing ISPMs, regional standards and other relevant documents produced by international organizations (see under references). Relevant import requirements or export certification schemes of individual countries may also be considered.
- Describe what constitutes minitubers and micropropagation material.
- Identify the pest risks that may be associated with minitubers and micropropagation material.
- Consider the risk mitigation aspects of micropropagation techniques used for potato.
- Provide guidance on phytosanitary measures for potato micropropagation material and minitubers relevant for risk mitigation in international trade, including measures that may be applied by exporting countries and measures applied at or following import.
- Consider listing relevant pests.
- Where appropriate, inform the Standards Committee on any points to be considered for the future development of related standards or any issues that may arise in implementing the standard.

Provision of resources: Funding is provided from the regular programme of the IPPC Secretariat (FAO) except where expert participation is voluntarily funded by the expert's government.

Proposed work programme: To be determined.

Steward: Greg Wolff

Collaborators: To be determined.

Expertise: 5-7 participants comprised primarily of potato experts, and to include practical expertise in phytosanitary measures and/or phytosanitary export certification.

Participants: To be determined.

Approval: Introduced into the work programme by the ICPM at its Sixth Session in 2004, specification approved by the Standards Committee, April 2004.

References:
ISPM No. 4 (*Requirements for the establishment of pest free areas*); ISPM No. 7 (*Export certification system*); ISPM No. 10 (*Requirements for the establishment of pest free places of production and pest free production sites*); ISPM No. 12 (*Guidelines for phytosanitary certificates*); ISPM No. 14 (*The use of integrated measures in a systems approach for pest risk management*); ISPM No. 16 (*Regulated non-quarantine pests: concept and application*); ISPM No. 19 (*Guidelines on lists of regulated pests*); ISPM No. 20 (*Guidelines for an import regulatory system*); ISPM No. 21 (Pest risk analysis for regulated non-quarantine pests); NAPPO RSPM No. 3 (*Requirements for importation of potatoes into a NAPPO member country*); EPPO Standards: *Certification scheme for seed potatoes* (PM 4/28 (1)); *Potato viruses (non-European) and potato spindle tuber (Inspection and test methods)* (PM 3/21 (1); UN/ECE Standard for Seed Potatoes (S-1), 2001.
Relevant parts of import requirements for *Solanum tuberosum* of individual countries or national certification schemes operated by individual countries.

APPENDIX 12

SPECIFICATION NO. 3 (3RD REVISION)

Title: Revision of ISPM No. 2 (*Guidelines for pest risk analysis*)

Reason for revision: FAO Conference adopted ISPM No. 2 (*Guidelines for pest risk analysis*) in November 1995. This was before the revision of the IPPC and also before many National Plant Protection Organizations had experience with pest risk analysis. Subsequent revision of the IPPC and the rapid advancement of pest risk analysis in practice create the need for updating the guidance provided by ISPM No. 2. In particular, the original standard provides no guidance in certain situations such as regulated non-quarantine pests, LMOs or biological control agents and it has certain key deficiencies such as not considering the feasibility of measures in risk management.

A draft revision was presented to the Standards Committee (SC) in April 2004. The SC recognized the high value of the draft revision prepared and the very good work that had been done by the expert working group, including the introduction of new concepts. However, it was felt that the draft revision was too lengthy and that some important issues still needed clarification. Therefore the SC decided that at present the revised draft could not be sent for country consultation and suggested that further work should be carried out as described in this revised specification.

Scope and purpose: ISPM No. 2 describes the process of pest risk analysis for phytosanitary purposes. The standard should provide general and conceptual guidance to pest risk analysis and an introduction to the more specific standards dealing with risk analysis under the IPPC.

Tasks: The overall task is to undertake a review of the draft that was presented to the fourth meeting of the SC with the aim of resolving the problems identified during the meeting. The SC would like the expert working group to work further on the revision, maintaining the detailed hazard identification and risk communication components in ISPM No. 2, and referring to either ISPMs No. 11 or No. 21 for the risk assessment and risk management components. In addition, the SC recognized the unique relationship between ISPM No. 3 and ISPMs No. 2 and No. 11, in that ISPM No. 3 would use the hazard identification component of ISPM No. 2 and the risk assessment component of ISPM No. 11.

In particular, attention should be given to the following:

- Simplification of the text in order to avoid repetition within the standard, and overlap and duplication of the content of other standards.
- Review draft revision and edit text to make it more concise, particularly with regard to the description of the overall process, pest risk assessment and pest risk management (the standard should focus more on the new elements such as hazard identification and risk communication).
- The text should be directed to a general audience rather than specifically to an analyst.
- Concerns surrounding Section 1.3 (*Scope of IPPC*) which contains information under the headings "environmental risk", "LMOs" and "beneficial organisms". The SC felt that the structure and information presented were not adequate to address the fact that these are frequently inter-related, in particular for environmental concerns. The SC also felt that issues related to invasive alien species and intentional and unintentional introduction should be considered. The SC recommends review and redrafting of relevant sections to address this concern.
- Clear distinction between what makes an organism a pest and the consequences of establishment of the pest.
- Take into account the new approach, assessment and management in ISPMs No. 11 and No. 21.
- Delete Figure 1 and revise Figure 2, providing text to aid the reader to understand the meaning of that figure.
- Decide where to position the table describing the scope of the various PRA-related standards.

Provision of resources: Funding for meetings is provided from the regular programme of the IPPC Secretariat (FAO) except where expert participation is voluntarily funded by the expert's government.

Proposed work programme: to be determined.

Steward: Ebbe Nordbo.

Collaborator: To be determined.

Expertise: A working group of 5-7 experts having a combination of skills and experience, including a familiarity with SPS and IPPC principles and the development and application of PRA, a general knowledge of standard setting and representing diverse geographical regions.

Participants: Moses Kairo, Ebbe Nordbo, Velia Arriagada-Rios, John Hedley.

Approval: Incorporated into the work programme at the Fifth Session of the ICPM in 2003. Specification modified by the SC-7 in May 2003, and then following SC-20 comments obtained by e-mail. 2nd revision approved by the Standards Committee in November 2003. 3rd revision approved by the Standards Committee, April 2004.

References: Specification No. 3 (2nd revision); ISPM No. 1 (*Principles of plant quarantine as related to international trade*); ISPM No. 2 (*Guidelines for Pest risk analysis*); ISPM No. 3 (*Code of conduct for the import and release of exotic biological control agents*); ISPM No. 11 Rev.1 (*Pest risk analysis for quarantine pests including analysis of environmental risks*); ISPM No. 21 (Pest risk analysis for regulated non-quarantine pests).

APPENDIX 13

SPECIFICATION FOR TECHNICAL PANELS NO. 1

Title: Technical Panel to develop diagnostic protocols for specific pests.

Reason for the Technical Panel: ICPM-6 identified the need for diagnostic protocols for specific pests to be recommended to the Standards Committee. To do this, a Technical Panel on diagnostics was proposed.

Scope and purpose: The Technical Panel will produce diagnostic protocols for specific pests utilizing the format for diagnostic protocols established by the Expert Working Group.

Tasks:

- Produce diagnostic protocols for specific pests.
- Propose flexibility within specific protocols for a range of methodologies for different situations.
- Identify priorities for specific protocols to be developed and submitted to the SC. Aspects to consider include:
  - availability of existing regional standards and/or protocols used by individual countries
  - suggestions for new protocols (i.e. those put forward by NPPOs, RPPOs, EWGs or other Technical Panels) and
  - criteria for clarification and agreement on diagnosis (i.e. in the case of disputes).
- Determine the mechanism for production of protocols and any rules of procedure. This may be done on a case by case basis or may involve general principles. Aspects to consider include:
  - the requirement for sub-groups
  - commissioning individual experts to write draft protocols
  - specifications for the production of individual protocols
  - review mechanisms
  - validation of protocols.
- Identify specialists.
- Submit to the SC draft diagnostic protocols for specific pests and where necessary revision of previously adopted protocols.

Provision of resources: Funding for meetings is provided from the regular programme of the IPPC Secretariat (FAO) except where expert participation is voluntarily funded by the expert's government.

Proposed work programme: To be determined.

Steward: Jens Unger.

Collaborator: To be determined.

Expertise: At least 5-7 participants comprised primarily of diagnostic (taxonomic) experts with at least one representing each discipline: entomology, acarology, nematology, mycology, plant bacteriology, virology (including viroids and phytoplasma) and botany. Between them participants should have practical expertise in the use of morphological and molecular/biochemical diagnostic techniques, and in phytosanitary procedures.

Participants: To be determined.

Approval: Introduced into the work programme by the ICPM at its Sixth Session in 2004, specification approved by the Standards Committee, April 2004.

References: Regional standards; NPPO protocols; diagnostic manuals; EPPO protocols; ISTA; other relevant information.

APPENDIX 14

SPECIFICATION FOR TECHNICAL PANELS NO. 2

Title: Technical Panel on pest free areas and systems approaches for fruit flies.

Reason for the Technical Panel: ICPM-6 identified the need for the formation of a Technical Panel on pest free areas and systems approaches for fruit flies.

Scope and purpose: In order to establish the technical requirements for the recognition of fruit flies pest free areas and systems approaches, a panel of fruit fly experts will be established to review scientific and technical data.

Tasks:

- Identify the most important fruit fly pest species for priority work.
- Identify case studies that could act as good examples for establishment of pest free areas and systems approaches for fruit flies.
- Develop standardized procedures by fruit fly species to establish fruit flies pest free areas and systems approaches, including collection of adequate information, surveys, detection and identification techniques, emergency measures to protect free areas and maintain systems approaches, evaluation, approval, and suspension procedures for fruit flies pest free areas.
- Develop a process, identify criteria needed, set up a protocol and define an evaluation method for the submission of research information.
- Establish the technical requirements for the recognition of fruit flies pest free areas and systems approaches, taking into account adequate biological and climatic parameters, applicability and recognition requirements.
- Develop a procedure to consult with international specialists to exchange information about fruit flies.
- Identify measures to be integrated in systems approaches for different species of fruit flies.
- Analyse the feasibility of the measures recommended and evaluate the cost/benefit of the measures, their technical justification and their relationship with the identified risk.
- Consider the relationship between the draft documents proposed and currently approved ISPMs relevant for this subject.
- Determine measures to be integrated in systems approaches for different species of fruit flies, considering the feasibility of the measures recommended and selecting the least trade restrictive.
- Submit draft standards to the SC including, where appropriate, for fast-track approval.

Provision of resources: Funding for meetings is provided by the regular programme of the IPPC Secretariat (FAO) except where expert participation is voluntarily funded by the expert's government.

Proposed work programme: To be determined.

Steward: Odilson Ribeiro e Silva.

Collaborator: To be determined.

Expertise: 5-7 international phytosanitary experts that have interest and expertise in relevant aspects of quarantine, control and risk management of fruit flies.

Participants: To be determined.

Approval: Introduced into the work programme by the ICPM at its Sixth Session in 2004, specification approved by the Standards Committee, April 2004.

References: Relevant ISPMs; regional standards; national programs on fruit fly pest free areas and systems approaches; IAEA documentation.

APPENDIX 15

SPECIFICATION FOR TECHNICAL PANELS NO. 3

Title: Technical Panel on phytosanitary treatments.

Reason for the Technical Panel: ICPM-6 identified the need for the formation of a Technical Panel on treatments.

Scope and purpose: The Technical Panel will be involved in issues relating to phytosanitary treatments including collecting, reviewing and recommending them to be used internationally (with the exception of ISPM No. 15 treatments which will be dealt with by the Technical Panel on Forest Quarantine).

Tasks:

- Identify and collect existing treatments which are internationally needed.
- Evaluate treatments and recommend which ones should be included as treatments to be used internationally.
- Classify the treatments in a logical manner (by pest, groups of pests, commodities, crops, etc.).
- Review existing phytosanitary treatments in approved standards and update when needed.
- Propose drafts to the Standards Committee.
- Develop a procedure for the submission of new proposals for treatments and their evaluation by the Technical Panel.
- Collect information on regulated pests and treatments needed for those pests so that recommendations can be made to research institutions.
- When needed, identify experts on treatments.

Provision of resources: Funding for meetings is provided from the regular programme of the IPPC Secretariat (FAO) except where expert participation is funded voluntarily by the expert's government.

Proposed work programme: To be determined.

Steward: Narcy Klag.

Collaborator: To be determined.

Expertise: Mixture of treatment researchers and personnel with practical treatment expertise.

Participants: 4 – 5

Approval: Introduced into the work programme by the ICPM at its sixth session, April 2004. Specification approved by the Standards Committee, April 2004.

References: ISPM No. 9 (*Guidelines for pest eradication programmes*); ISPM No. 14 (*The use of integrated measures in a systems approach for pest risk management*); ISPM No. 18 (*Guidelines for the use of irradiation as a phytosanitary measure*); USDA Treatment Manual.

APPENDIX 16

STEWARDS FOR EXPERT WORKING GROUPS ON DRAFT STANDARDS AND TECHNICAL PANELS

Expert working groups on draft standards:	**Steward:**
Specification No. 3, rev 3 Revision of ISPM No. 2, Guidelines for pest risk analysis	Ebbe Nordbo
Specification No. 16 Alternative strategies to methyl bromide	Narcy Klag
Specification No. 17 Debarking of wood	Ringolds Arnitis
Specification No. 18 Classification of commodities by phytosanitary risk related to level of processing and intended use	Alicia De La Rosa Brachowicz
Specification No. 20 Guidelines on sampling of consignments	David Porritt
Specification No. 21 Export certification for potato mini tubers and micropropagative material	Gregory Wolff
Specification No. 22 Research protocols for phytosanitary measures	John Hedley
Specification No. 23 Guidelines for surveillance for specific pests: *Xanthomonas axonopodis* pv. Citri (Citrus canker)	Lawrence G. Brown
Specification No. 24 Post-entry quarantine facilities	David Porritt
Specification No. 25 Guidelines for formatting / drafting pest specific ISPMs	John Hedley
Specification No. 26 Guidelines for formatting / drafting commodity specific ISPMs	John Hedley
Technical Panels:	
Technical Panel specification No. 1 Technical Panel to develop diagnostic protocols for specific pests	Jens Unger
Technical Panel specification No. 2 Technical Panel on pest free areas and systems approaches for fruit flies	Odilson Ribeiro e Silva
Technical Panel specification No. 3 Technical panel on treatments	Narcy Klag
Technical Panel specification No. 4 Technical panel on forest quarantine issues	Gregory Wolff

APPENDIX 17

TERMS OF REFERENCE AND RULES OF PROCEDURE FOR TECHNICAL PANELS

Terms of reference for Technical Panels

1. Establishment of Technical Panels
As decided by ICPM 6, Technical Panels are standing committees established by and operating under the guidance of the Standards Committee (SC). Technical Panels should adhere to the IPPC "Guidelines for the Composition and Organization of Expert Working Groups".

2. Scope of Technical Panels
Technical Panels assist the SC in the development of International Standards for Phytosanitary Measures (ISPMs) in specified subject areas which have been identified by the ICPM as a priority.

3. Objective
The main objective of Technical Panels is to provide the SC with specific draft standards and/or annexes under the fast track adoption procedure as well as advising the SC on specific scientific or technical matters in their field of activity.

4. Structure of Technical Panels
Technical Panels should consist of 6-10 members representing a wide geographic area (including proportional developing country participation). In specific cases and depending on the subject area a Technical Panel may consist of more or less members according to the SC's decision.

5. Functions of Technical Panels
Technical Panels serve as a forum for providing:
- draft technical standards and/or annexes under the fast track procedure,
- advice on country comments in their field of activity,
- advice on topics and priorities for technical standard development in their field of activity, and
- other tasks as requested by the SC.

6. IPPC Secretariat
The Secretariat provides administrative, technical and editorial support as required by Technical Panels. The Secretariat is responsible for reporting and record keeping.

7. Disestablishment of Technical Panels
When the specific work of a Technical Panel is completed the SC should disestablish the Technical Panel.

Rules of procedure for Technical Panels

Rule 1. Membership
Members of Technical Panels (TP) should have the necessary scientific expertise and subject matter experience and should be able to participate and contribute to the proceedings.

In addition to the regular membership, Technical Panels should:
- allow an individual from the country hosting the meeting and;
- have a member from the Standards Committee (SC) participate if possible.

Rule 2. Procedure for Nomination and Selection of Technical Panel Members
Members of Technical Panels are nominated and selected according to the following steps:
- nominations are requested at the time of adoption of the work programme or when specifications for Technical Panels are suggested at the ICPM or when the specifications for Technical Panels are published on the International Phytosanitary Portal (IPP);
- governments, NPPOs or RPPOs nominate experts for Technical Panels to the SC;

- the SC designates regular members of the Technical Panel and, where possible, designates a member from the SC to sit on the Technical Panel, and submits a list to the ICPM Bureau and the IPPC Secretariat for confirmation;
- list of Technical Panel members, and representatives of industry or others, are published on the IPP.

Rule 3. Period of Membership
Members of Technical Panels may serve for an undefined period. The SC may, in accordance with Rule 2 of the Rules of Procedure, change or amend the membership of Technical Panels.

Rule 4. Chair
The Chairpersons of Technical Panels are elected by Technical Panels from their membership.

Rule 5. Steward
Each Technical Panel should have a steward. The Chairperson of a Technical Panel should normally act as the steward for the Technical Panel concerned. However, in some cases a SC member in the Technical Panel may act as the steward.

Rule 6. Sessions
Technical Panels should meet at least once a year. E-mail, teleconferencing and other modern communication methods should be used where possible to prepare and supplement face to face meetings of Technical Panels.

Technical Panel members should work according to the guidelines to be developed by the SC.

Rule 7. Approval
Approvals relating to draft standards are sought by consensus. Final drafts of ISPMs which have been approved by Technical Panels are submitted to the SC without undue delay.

Rule 8. Observers
Technical Panels should not allow observers. In specific cases, TPs may however invite representatives of industry or others to provide expertise, but not to participate as members.

Technical Panels may be attended by any member of the ICPM Bureau.

Rule 9. Reports
Summary reports of Technical Panel meetings should be kept by the Secretariat and made available to SC members upon request.

A report on the activities of a Technical Panel should be made by the Chairperson or steward of the Technical Panels to the SC.

Rule 10. Working Language
English will be the working language of Technical Panel meetings.

Rule 11. Amendments
Amendments to the Rules of Procedures and the Terms of Reference may be adopted by the SC as required.

APPENDIX 18

TERMS OF REFERENCE AND RULES OF PROCEDURE FOR THE STANDARDS COMMITTEE

Terms of reference for the Standards Committee

1. Establishment of the Standards Committee

The Standards Committee (SC) was established by the Third Interim Commission on Phytosanitary Measures.

2. Scope of the Standards Committee

The Standards Committee manages the standard-setting process and assists in the development of International Standards for Phytosanitary Measures (ISPMs) which have been identified by the ICPM as priority standards.

3. Objective

The main objective of the Standards Committee is to prepare draft ISPMs according to the standard-setting procedures in the most expeditious manner for adoption by the ICPM.

4. Structure of the Standards Committee

The Standards Committee consists of 25 members drawn from each of the FAO Regions. The distribution for each region will be:

- Africa (4)
- Asia (4)
- Europe (4)
- Latin America and the Caribbean (4)
- Near East (4)
- North America (2)
- Southwest Pacific (3)

SC working groups are selected by the Standards Committee from its membership as needed.

The functions of these working groups are determined by the Standards Committee and include the review and revision of specifications, working group drafts and drafts from the consultation process. Temporary or permanent working groups and drafting groups may be established by the Standards Committee as required.

5. Functions of the Standards Committee

The Standards Committee serves as a forum for:

- approval of draft specifications or amendment of specifications;
- finalization of specifications;
- designation of the members of the SC working groups and identification of tasks of the group;
- establishment and disestablishment of working groups and technical panels as appropriate;
- designation of membership of working groups, technical panels and drafting groups as required;
- review of draft ISPMs;
- approval of draft standards to be submitted to ICPM Members for consultation;
- establishment of open-ended discussion groups where appropriate;
- revision of draft ISPMs in cooperation with the Secretariat taking into account comments of ICPM Members and RPPOs;
- approval of final drafts of ISPMs for submission to the ICPM;
- review of existing ISPMs and those requiring reconsideration;
- identification of priorities for ISPMs under development;
- ensuring that language used in draft ISPMs is clear, simple and focused;

- assigning stewardship for each ISPM[8]; and
- other functions related to standard setting as directed by the ICPM.

6. IPPC Secretariat
The Secretariat provides administrative, technical and editorial support as required by the Standards Committee. The Secretariat is responsible for reporting and record keeping regarding the standard.

Rules of procedure for the Standards Committee

Rule 1. Membership
Members should be senior officials designated by governments and have qualifications in a scientific biological discipline (or equivalent) in plant protection, and experience and skills particularly in the:
- practical operation of a national or international phytosanitary system;
- administration of a national or international phytosanitary system; and
- application of phytosanitary measures related to international trade.

Governments agree that Standards Committee (SC) members dedicate the necessary time to participate in a regular and systematic way in the meetings.

Each FAO Region may devise its own procedures for selecting its members of the Standards Committee. The Secretariat is notified of the selections that are submitted to the ICPM for confirmation.

The Standards Committee is responsible for selecting the SC-7 members from within its membership for confirmation by FAO. Members selected for the SC-7 will meet the above-mentioned qualifications and experience.

Rule 2. Substitution Mechanism
- Substitute members will be nominated in advance for confirmation by ICPM, by each FAO region, following its own procedures. A maximum of two members will be submitted by each region.
- A substitute member is not required to be from the same country as the original member and can be any officer of a member country that fulfills the profile defined by the region the SC member comes from.
- It is an obligation of the delegate to communicate to the Secretariat the necessity to activate the procedure to call for the attendance of a substitute member.
- The SC member will also indicate to the substitute the necessity to participate in the meeting providing sufficient time and giving the necessary information about it.
- It is the responsibility of the contracting parties to facilitate the administrative procedures to let the substitute participate in meetings, recognizing that the time between the meeting and the time the substitute member was advised of the need of his participation may not always be sufficient to fulfil the rules about official mission performed out of the country.

Rule 3. Period of Membership
Members of the Standards Committee shall serve for three years with no limit as to how many times a member can be re-nominated.

Membership of the SC-7 lapses with membership of the Standards Committee or upon resignation.

Replacements to the Standards Committee are decided by the FAO Region concerned. Replacements to the SC-7 are selected by the Standards Committee.

Rule 4. Chair

[1] The assigning of stewardship involves designating an individual to be responsible for managing the development of a particular standard from its inception to its completion according to the specifications for the standard and any additional directions provided by the SC and IPPC Secretariat.

The Chairperson and Vice-Chairperson of the Standards Committee are elected by the Standards Committee from its membership and serve for two years, with a possibility of re-election for an additional term of two years.

The Chair of the SC-7 is elected by members of the SC-7. The term is for 2 years with the possibility of re-election.

Rule 5. Sessions
Meetings of the Standards Committee are normally held at FAO Headquarters in Rome.

The Standards Committee meets at least once per year primarily to facilitate the approval procedures within the standard setting process.

Regular sessions:
A meeting is normally called to review country comments on draft standards after the comments have been received by the Secretariat. Depending on the workload and resources available, the Standards Committee or the Secretariat, in consultation with the Bureau of the ICPM, may request an additional meeting of the Standards Committee. In particular, the Standards Committee may need to meet after the ICPM meeting in order to prepare draft standards for country consultation.

During regular sessions, a majority of the Standards Committee shall constitute a quorum.

Extraordinary sessions:
Depending on the workload and resources available, the Standards Committee, in consultation with the Secretariat and the Bureau of the ICPM, may authorize the SC-7 or extraordinary working groups of the Standards Committee to meet.

Rule 6. Approval
Approvals relating to specifications or draft standards are sought by consensus. Final drafts of ISPMs which have been approved by the Standards Committee are submitted to the ICPM without undue delay.

Rule 7. Observers
For observer status, Rule 7 of the Rules of Procedure of the ICPM will apply.

Rule 8. Reports
Standards Committee meeting records shall be kept by the Secretariat. The report of the meetings shall include:

- approval of draft specifications for ISPMs;
- finalization of specifications with a detailed explanation including reasons for changes; and
- reasons why a draft standard has not been approved.

The Secretariat shall endeavour to provide to ICPM Members upon request the rationale of the Standards Committee for accepting or not accepting proposals for modifications to specifications or draft standards.

A report on the activities of the Standards Committee shall be made by the Chairperson of the Standards Committee to the annual session of the ICPM.

Reports shall be adopted by the Standards Committee before they are made available to Members of the ICPM and RPPOs.

Rule 9. Language
The business of the Standards Committee shall be conducted in the English language.

Rule 10. Amendments
Amendments to the Rules of Procedures and the Terms of Reference may be promulgated by the ICPM as required.

APPENDIX 19

EXTRAORDINARY WORKING GROUP OF THE STANDARDS COMMITTEE

Proposed Agenda

12-15 July, Rome, Italy

1. Adoption of the agenda

2. Review specifications for expert working groups on:

2.1 Redraft Specification No. 15, The use of integrated measures in a systems approach for pest risk management of citrus fruit for citrus canker (*Xanthomonas axonopodis* pv. *citri*) to include a brief description of citrus canker surveillance.

2.2 Citrus canker surveillance.

2.3 Post-entry quarantine facilities.

2.4 Research protocols for phytosanitary measures.

2.5 Guidelines for the formatting/drafting of commodity or pest specific ISPMs.

2.6 Debarking of wood

3. Review specifications for technical panels:

3.1 Technical panel on forest quarantine issues.

4. Update on status of electronic certification.

5. Formulate guidance on integrating supplements.

6. Develop criteria/guidance to apply in determining the need for a further round of formal consultation on a draft standard.

7. Guidelines for the roles and responsibilities of stewards.

8. Criteria for the formation and content of annexes.

9. Guidelines for the operation of expert working groups (in consultation with the IPPC Secretariat).

10. Guidelines on the roles and responsibilities of SC members and SC procedures (in consultation with the IPPC Secretariat).

APPENDIX 20

LIST OF PARTICIPANTS

Standards Committee Members

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