

# PHYTOSANITARY GUIDE

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**Guide for the improvement  
of the system for the  
preparation, maintenance  
and official availability of  
national lists of regulated  
pests**

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# TABLE OF CONTENTS

LIST OF FIGURES .....	3
LIST OF BOXES .....	4
LIST OF RECOMMENDATIONS .....	5
TERMINOLOGY .....	6
ABBREVIATIONS .....	7
FOREWORD .....	8
INTRODUCTION .....	9
HOW TO USE THIS GUIDE .....	11
 1. GENERAL REQUIREMENTS FOR PREPARING, MAINTAINING AND MAKING AVAILABLE LISTS OF REGULATED PESTS .....	 12
<hr/>	
1.1. Purpose of regulated pest lists .....	13
1.2. Preparation of lists of regulated pests .....	14
1.3. Maintenance of lists of regulated pests .....	19
1.4. Availability of lists of regulated pests .....	20
1.5. Requests for lists of regulated pests .....	20
 2. EVALUATION OF THE PERFORMANCE OF A NATIONAL SYSTEM FOR THE PREPARATION, MAINTENANCE AND AVAILABILITY OF NATIONAL LISTS OF REGULATED PESTS .....	 22
<hr/>	
2.1. Operational framework for performance evaluation of the process of preparing, maintaining, and making available national lists of regulated pests .....	22
2.1.1. Governance System .....	23
2.1.2. Operational processes .....	24
2.1.3. Management of skills and competences .....	24
2.1.4. Communication and relationship dynamics .....	25

2.2. Grid for evaluating the performance of a system for the preparation, maintenance, and availability of national lists of regulated pests .....	25
2.2.1. Control points for a system for the preparation, maintenance, and availability of national lists of regulated pests .....	25
2.2.2. Compliance criteria for a program to prepare, maintain and make available national lists of regulated pests .....	27
2.2.3. Performance rating scale for a system for preparing, maintaining, and making available national lists of regulated pests .....	28
3. BASIC ELEMENTS FOR THE OPERATION OF AN EFFICIENT SYSTEM FOR THE PREPARATION, MAINTENANCE AND AVAILABILITY OF NATIONAL LISTS OF REGULATED PESTS .....	29
<hr/>	
3.1. Administrative and technical procedures .....	29
3.1.1. Formalization of the Pest Risk Analysis framework .....	29
3.1.2. Upgrading of the team of experts .....	30
3.1.3. Useful information, data, and resources .....	32
3.1.4. Resources for the operation of the PRA Expert Team .....	34
3.2. Organization and execution of preparatory work .....	35
3.3. Collection, retention and storage of data and reports .....	36
4. BIBLIOGRAPHY AND USEFUL RESOURCES .....	37
<hr/>	
5. ANNEXES .....	38
<hr/>	
5.1. Annex 1 – Grid for evaluating the performance of the national system for preparing and/or maintaining national lists of regulated pests .....	38

# LIST OF FIGURES

<b>Figure 1</b> — Graphical representation of the 4 pillars of a process for preparing, maintaining, and making available national lists of regulated pests . . . .	23
<b>Figure 2</b> — Graphical representation of the 12 control points of a national system for the preparation, maintenance, and availability of national lists of regulated pests . . . . .	26

## LIST OF BOXES

<b>Box 1</b> — Basis for lists of regulated pests .....	13
<b>Box 2</b> — Information on listed pests .....	15
<b>Box 3</b> — Comparison of QPs and RNQPs .....	16
<b>Box 4</b> — Surveillance, essential steps and key ISPMs applied to establish a list of regulated pests .....	18
<b>Box 5</b> — Pest Risk Analysis (PRA) steps .....	19
<b>Box 6</b> — Official availability of lists of regulated pests .....	20
<b>Box 7</b> — Format and languages of regulated pest lists .....	21
<b>Box 8</b> — Example of compliance criteria applied to the governance of a program for the preparation, maintenance, and availability of national lists of regulated pests .....	27
<b>Box 9</b> — Rating scale for evaluating the performance of a system for preparing, maintaining, and making available national lists of regulated pests ....	28
<b>Box 10</b> — Building a Multidisciplinary PRA Team .....	30
<b>Box 11</b> — Capacity Building for PRA Experts .....	31
<b>Box 12</b> — Brief overview of EPPO and CABI .....	33

## LIST OF RECOMMENDATIONS

<b>Recommendation 1</b> — Take advantage of online courses to build your PRA capacity .....	32
<b>Recommendation 2</b> — Become aware of Eznd CABl resources and tools .....	34
<b>Recommendation 3</b> — Develop the Expert Team’s Annual Work Plan and Budget .....	34
<b>Recommendation 4</b> — Organize the collection of basic information and data ..	35
<b>Recommendation 5</b> — Apply some good documentation, collection, retention, and storage practices .....	36



## TERMINOLOGY

<b>Regulated article</b>	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]
<b>Pest Risk Analysis</b>	The process of evaluating biological or other scientific and economic evidence to determine whether an organism is a pest, whether it should be regulated, and the strength of any phytosanitary measures to be taken against it [ISPM 2, 1995; revised IPPC, 1997; ISPM 2, 2007]
<b>Phytosanitary certificate</b>	An official paper document or its official electronic equivalent, consistent with the model certificates of the IPPC, attesting that a consignment meets phytosanitary import requirements [FAO, 1990; revised CPM, 2012]
<b>Import requirements</b>	Specific phytosanitary measures established by an importing country concerning consignments moving into that country [ICPM, 2005]
<b>Inspector</b>	Person authorized by a national plant protection organization to discharge its functions
<b>Phytosanitary measure</b>	Any legislation, regulation or official procedure having the purpose to prevent the introduction or spread of quarantine pests, or to limit the economic impact of regulated non-quarantine pests [ISPM 4, 1995; revised IPPC, 1997; ICPM, 2002]
<b>Pest</b>	Any species, strain or biotype of plant, animal, or pathogenic agent injurious to plants or plant products
<b>Quarantine pest</b>	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]
<b>Non-quarantine pest</b>	Pest that is not a quarantine pest for an area [FAO, 1995].
<b>Regulated pest</b>	Quarantine pest or regulated non-quarantine pest [IPPC, 1997].
<b>Regulated article</b>	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]



<b>Regulated Non-quarantine pest</b>	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 (see Supplement No. 2 to the Glossary) [IPPC, 1997]
<b>Quarantine</b>	Official confinement of regulated articles, pests or beneficial organisms for inspection, testing, treatment, observation or research
<b>Official control</b>	The active enforcement of mandatory phytosanitary regulations and the application of mandatory phytosanitary procedures with the objective of eradication or containment of quarantine pests or for the management of regulated non-quarantine pests [ICPM, 2001]

## ABBREVIATIONS

<b>ACP</b>	Africa - Caribbean - Pacific
<b>PRA</b>	Pest Risk Analysis
<b>COLEAD</b>	Committee Linking Entrepreneurship - Agriculture - Development
<b>IPPC</b>	International Plant Protection Convention
<b>FAO</b>	Food and Agriculture Organization of the United Nations
<b>ISPM</b>	International Standards for Phytosanitary Measures
<b>EPPO</b>	European and Mediterranean Plant Protection Organization
<b>WTO</b>	World Trade Organization
<b>WHO</b>	World Health Organization
<b>NPPO</b>	National Plant Protection Organization
<b>RPPO</b>	Regional Plant Protection Organization
<b>QP</b>	Quarantine pest
<b>RNQP</b>	Regulated non-quarantine pest
<b>R-SAT</b>	COLEAD Rapid SPS Assessment Tool
<b>SPS</b>	Sanitary and phytosanitary

## FOREWORD

The European Commission has entrusted COLEAD with the “Fit For Market (FFM-SPS)” cooperation program: Strengthening Sanitary and Phytosanitary Systems in the African, Caribbean and Pacific (ACP) Horticultural Sector, the FFM-SPS is part of the Intra-ACP Indicative Program (2014-2020) for cooperation between the European Union and the ACP Group of States, with funding from the 11<sup>th</sup> EDF, in the focal area of medium- and long-term policy support to strengthen productive capacity, inspire innovation, and improve sustainability and competitiveness of the private sector.

The overall objective of the program is to reduce poverty, improve food security and safety, and ensure sustainable and inclusive growth by strengthening the agri-food export sector in ACP countries. The specific objective of the program is to enable smallholder farmers, farmer groups and organizations, and small and medium-sized enterprises to access international and domestic horticultural markets by complying with SPS issues and market requirements, within a sustainable framework.

Access to export markets for fruit and vegetables is determined by compliance with sanitary and phytosanitary standards and regulations, which are becoming more and more demanding. In particular, the experience based on interventions by COLEAD including application for support from many ACP countries have highlighted the difficulties faced by National Plant Protection Organizations (NPPOs) in preparing and implementing official control procedures for plants and plant products imported or intended for export, in compliance with international standards for phytosanitary measures and IPPC requirements. This has been attributed to weak phytosanitary systems that are unable to effectively protect domestic agriculture and plant resources from pests. Thus, COLEAD’s interventions in ACP countries towards strengthening phytosanitary control and certification systems aim to contribute to the protection of their plant resources and to promote market access for the horticultural sectors of ACP countries.

This Guide has been developed within the overall framework of the specific objective assigned to COLEAD/FFM SPS to strengthen the capacity of competent authorities in ACP countries to support the fruit and vegetable sector in ensuring and applying SPS standards. The Guide aims to provide NPPOs with a set of procedures to improve their capacity to meet their obligations in preparing, maintaining, and making available national lists of regulated pests, in relation to the obligations of contracting parties under the IPPC and the requirements of international standards for relevant phytosanitary measures.

# INTRODUCTION

The International Plant Protection Convention (IPPC) provides a regulatory framework for trade in plants, plant products and other objects likely to be contaminated (packaging, etc.). The National Plant Protection Organizations (NPPOs) of the contracting parties are responsible under the convention for the enforcement of phytosanitary regulations in the trade of goods both for import and export. “The objective of the IPPC is to ensure common and effective action to prevent the spread and introduction of pests of plants and plant products” (FAO, 2002). In line with this objective, it provides, among other things, for the establishment of export certification and import control systems for plants and plant products, as well as the preparation of national lists of regulated pests.

COLEAD’s experience in supporting the improvement of SPS systems in ACP countries has highlighted the need to strengthen the capacity of NPPOs to implement an effective phytosanitary control system. Phytosanitary control is an activity that consists in subjecting plants and plant products to mandatory control. It aims to prevent the introduction and spread of quarantine pests both inside and outside the country. Phytosanitary control is therefore an essential component in plant protection. It must be carried out considering the phytosanitary regulations of each country while respecting the international standards in force.

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This Guide has been developed by COLEAD to provide practical support and guidance to NPPOs in ACP countries to strengthen their capacities to prepare, maintain and make available lists of regulated pests., in accordance with the obligations of the IPPC contracting parties and the requirements of relevant ISPMs.

The Guide considers the need to go beyond scientific, technical and financial considerations and include all of the human and organizational factors that often cause delays, bottlenecks and even failures in the operationalization of the processes for preparing, maintaining and making available their national lists of regulated organisms.

To support the preparation process of the Guide, a bimodal workshop (face-to-face and virtual) organized in March 2022, brought together representatives of NPPOs and experts from Burkina Faso, Côte d’Ivoire, Guinea, and Senegal.

The objective of the workshop was:

- to assess the situation of the participating countries with regard to the preparation and maintenance of their national lists of regulated pests.
- to promote the sharing of experiences and good practices between experts and managers of NPPOs of participating countries.
- To agree on a methodological and operational approach for conducting the process of preparation and maintenance of national lists of regulated pests in accordance with international standards for phytosanitary measures and adapted to the specificities of ACP countries.
- to provide the essential elements for the development of a “Practical Guide for the preparation, maintenance and availability of National Lists of Regulated Pests” for NPPOs in ACP countries.

The results allowed the elaboration of a grid to evaluate the performance of a process for the preparation, maintenance and availability of lists of regulated pests, with respect to the relevant ISPMs and based on the COLEAD approach applied in the development of the R-SAT. Secondly, the participants made practical recommendations on the data and information to be collected and the organizational and operational arrangements to be made to effectively conduct the work of preparing, maintaining and making available their national lists of regulated pests, taking into account the context and specificities of ACP countries.

## HOW TO USE THIS GUIDE

This Guide is divided into three (3) chapters.

The first chapter, “**General Procedures for Preparing, Maintaining and Making Available Lists of Regulated Pests**”, introduces the basic requirements for lists of regulated pests, with respect to the obligations of IPPC contracting parties.

The second chapter “**Conceptual Framework for Performance Assessment of a Process for Preparing, Maintaining and Making available National Lists of Regulated Pests**” presents a conceptual framework developed by COLEAD to provide NPPOs and the experts in charge of providing them with technical assistance services with an integrated tool for systematically assessing the performance needs of the operational processes for preparing, maintaining and making available their national lists of regulated pests. The results of the assessment are intended to enable NPPOs to agree on priority actions to be implemented towards maintaining a continuous improvement approach to their national lists of regulated pests, in conjunction with other stakeholders in their plant protection systems.

The third chapter, “**Basic Elements for Operationalizing an Effective Program for Preparing, Maintaining and Making available National Lists of Regulated Pests,**” provides useful guidance and practical recommendations to consider when implementing a program for preparing, maintaining and making available national lists of regulated pests.

The fourth chapter “Bibliography and useful resources” provides a non-exhaustive list of ISPM related to the lists of regulated pests.

Finally, the appendix contains (i) **a grid** for evaluating the performance of the national system to prepare, maintain and make available national lists of regulated pests.

This guide cannot be used as a stand-alone resource and to apply it effectively, it is essential to be familiar with the requirements of the IPPC and relevant ISPMs on regulated pest lists. Effective application of the Guide requires a good knowledge of ISPMs in general and of the phytosanitary regulations of the importing contracting party for consignments of plants, plant products and other regulated articles

The Guide should not be considered as a new requirement or additional standard, but rather as practical guidance based on experiences and good practices reported by NPPO managers and experts from different countries.

In addition, the Guide describes the support that a NPPO can receive from COLEAD and some of the technical partners involved in the field.

# 1. GENERAL REQUIREMENTS FOR PREPARING, MAINTAINING AND MAKING AVAILABLE LISTS OF REGULATED PESTS

Maintaining lists of regulated pests through the pest risk analysis process can help justify import requirements and provide exporting countries with the information they need to complete their export certification processes. It also allows trading partners to better understand why notifications of non-compliance are made to them and to avoid future non-compliance.

Lists of regulated pests are established by an importing contracting party to specify all currently regulated pests for which phytosanitary measures may be taken. Specific lists of regulated pests by commodity are a subset of these lists. Specific lists are provided on request to the national plant protection organizations (NPPOs) of exporting contracting parties as the means to specify the regulated pests for the certification of commodities. Quarantine pests, including those subjects to provisional or emergency measures, and regulated nonquarantine pests should be listed. Required information associated with the listing includes the pest's scientific name, the pest category and commodities or other articles that are regulated for the pest. Supplementary information may be provided such as synonyms and references to data sheets and pertinent legislation. Updating of the lists is required when pests are added or deleted or when required information or supplementary information changes.

Lists should be made available to the IPPC Secretariat, to regional plant protection organizations (RPPOs) of which the contracting party is a member and, on request, to other contracting parties. This may be done electronically and should be in an FAO language. Requests should be as specific as possible.

The availability of lists of regulated pests assists exporting contracting parties to issue phytosanitary certificates correctly. In instances where a list of regulated pests is not supplied by the importing contracting party, the exporting contracting party can only certify for pests it believes to be of phytosanitary concern (see ISPM 12 (Phytosanitary certificates) in relation to certifying statements).

In addition, the certifying statement of the model phytosanitary certificate annexed to the Convention implies that lists of regulated pests are necessary by referring to:

- quarantine pests specified by the importing contracting party
- phytosanitary requirements of the importing contracting party, including those for regulated non-quarantine pests

#### **Box 1 — Basis for lists of regulated pests**

Under the IPPC text, contracting parties shall, to the best of their ability, establish and update lists of regulated pests. This is closely associated with other provisions of Article VII regarding the provision of phytosanitary requirements, restrictions, and prohibitions (VII.2(b)) and the provision of the rationale for phytosanitary requirements (VII.2(c)).

The justification for regulating pests corresponds to the provisions of the IPPC requiring that:

- pests meet the defining criteria for quarantine or regulated non-quarantine pests to be regulated (Article II.1, “regulated pest”)
- only regulated pests are eligible for phytosanitary measures, (Article VI.2)
- phytosanitary measures are technically justified (Article VI.1(b))
- pest risk analysis (PRA) provides the basis for technical justification (Article II.1, “technically justified”).

### **1.1. Purpose of regulated pest lists**

The importing contracting party establishes, and updates lists of regulated pests in order to assist it in preventing the introduction and/or spread of pests and to facilitate safe trade by enhancing transparency. These lists identify those pests that have been determined by the contracting party to be quarantine pests or regulated non-quarantine pests.

A specific list of regulated pests, which should be a subset of those lists, may be provided by the importing contracting party to the exporting contracting party as the means to make known to the exporting contracting party those pests for which inspection, testing or other specific procedures are required for particular imported commodities, including phytosanitary certification.



Lists of regulated pests may also be useful as the basis for harmonization of phytosanitary measures where several contracting parties with similar and shared phytosanitary concerns agree on pests that should be regulated by a group of countries or a region. This may be done through regional plant protection organizations (RPPOs).

In developing lists of regulated pests, some contracting parties identify non-regulated pests. There is no obligation for listing such pests. Contracting parties shall not require phytosanitary measures for non-regulated pests (Article VI.2 of the IPPC). The provision, however, of this information may be useful, for example for facilitating inspection.

## 1.2. Preparation of lists of regulated pests

Lists of regulated pests are established and maintained by the importing contracting party. The listed pests are those defined by the NPPO as requiring phytosanitary measures:

- Quarantine pests, including pests which are the subject of provisional or emergency measures; or
- Regulated non-quarantine pests

A list of regulated pests may contain pests for which measures are required only in certain circumstances.

## Box 2 — Information on listed pests

### ■ Required information

The required information to be associated with listed pests includes:

#### — Name of the pest

The scientific name of the pest is used for listing purposes, at the taxonomic level which has been justified by PRA (see also ISPM 11 (Pest risk analysis for quarantine pests)). The scientific name should include the authority (where appropriate) and be complemented by a common term for the relevant taxonomic group (e.g., insect, mollusc, virus, fungus, nematode).

#### — Categories of regulated pests

The categories are:

- i. **Quarantine pest (QP) not present.**
- ii. **Quarantine pests present but not widely distributed and under official control.**
- iii. Or **Regulated non-quarantine Pest (RNQP).**

Pest lists can be organized using these categories.

#### — Association with regulated article(s)

The host commodities or other articles that are specified as regulated for the listed pest(s)

### ■ Additional information

Where applicable, the following information may be provided:

- Synonyms;
- Reference to pertinent legislation, regulations or requirements;
- Reference to a pest data sheet or PRA;
- Reference to provisional or emergency measures.

### ■ Comparison between Quarantine Pests (QPs) and Regulated Non-Quarantine Pests (RNQPs)

QPs and RNQPs can be compared on the basis of the four criteria that define them, namely: the status of the pest in the importing country, the commodity chain, the economic impact associated with the pest and the application of official control.

**Box 3** — Comparison of QPs and RNQPs

DEFINITION CRITERION	QUARANTINE PEST (QP)	REGULATED NON-QUARANTINE PEST (RNQP)
Status of the pest	Absent or with limited distribution	Present and widely distributed
Pathway	Phytosanitary measures that can be applied to all sectors	Phytosanitary measures applicable only to plants intended for planting
Economic impact	Estimated incidence	Known incidence
Official control	If present, subject to official control for eradication or containment	In the case of plants for planting, subject to official control for suppression

**■ Status of a pest**

The aim is to define whether the organism concerned can be considered as a quarantine organism because of its biological and genetic characteristics, its current geographical distribution, and the agro-environmental conditions of the targeted geographical area.

In the case of quarantine pests, phytosanitary measures are aimed at preventing the introduction or spread of quarantine pests. This means that in the case of a quarantine pest, the pest is absent or prevented from spreading to new areas and is subject to official control where it is present. In the case of a RNQP, the introduction probability is not a relevant criterion because the pest is present, if not widespread.

**■ Pathways**

Phytosanitary regulations and procedures can be applied to quarantine pests regardless of the host or pathway with which they are associated. For RNQPs, the only pathway that can be regulated is for plants intended for planting for a specific host plant and a specific intended use.

**■ Economic Impacts**

Detailed analysis of economic consequences is not required if there is sufficient evidence or if it is generally accepted that the introduction of a pest will have unacceptable economic consequences (including environmental impact).

With respect to economic impact, the primary difference between the definition of a quarantine pest and a RNQP is the distinction made between the potential economic significance associated with quarantine pests and the known and unacceptable economic impact associated with RNQPs. Given that the RNQP is present in the country, detailed

first-hand information should be available about the impact associated with it and therefore known rather than estimated as in the case of QPs not yet present in the country in question.

Alternatively, the potential economic significance associated with quarantine pests may take into consideration factors such as market access in other countries and environmental effects, which are not relevant to RNQPs because these pests are already established.

#### ■ Official control

All regulated pests are subject to official control. If quarantine pests are present in a given area, they are subject to official control in the form of phytosanitary measures for their eradication or containment. RNQPs are subject to official control by phytosanitary measures for their eradication in plants for planting.

#### ■ **Pest surveillance in relation to the process of preparing and maintaining lists of regulated pests**

The NPPO should:

- Use the most reliable and up-to-date information available to determine the status of a pest.
- maintain records of pest reports and evidence as may be necessary to support a determination of pest status.
- reassess the status of a pest, if necessary.

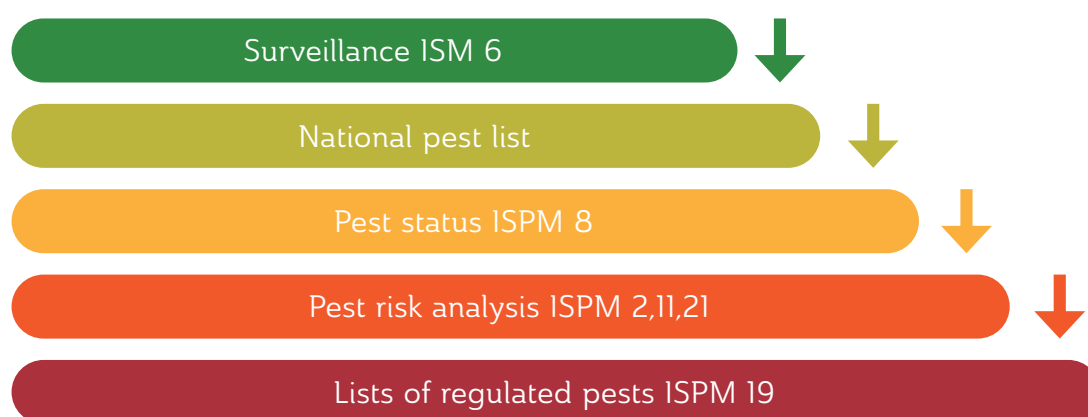
Information from pest reports or other sources should be used as the basis for determining the status of a pest.

One of the most important outcomes of an effective surveillance system is the ability of a NPPO to have a scientifically justified list of regulated pests/regulated articles

**Box 4** — Surveillance, essential steps and key ISPMs applied to establish a list of regulated pests

To establish a scientifically justified list of regulated pests, several steps are undertaken, and different ISPMs are applied in addition to ISPM 6 on surveillance.

The following diagram summarizes the process by which ISPM 6 and other ISPMs are used to establish a list of regulated pests:



Source: IPPC

■ **Importance of Pest Risk Analysis (PRA)**

Documented PRAs provide “technical justification” for phytosanitary measures (a requirement of the SPS Agreement and IPPC).

The PRA is a key point in the process of preparing and maintaining national lists of regulated pests, which include species that have been identified through PRAs as quarantine pests or regulated non-quarantine pests.

PRA only makes sense in connection with a defined and considered to be at risk “PRA area”. This is usually a country but can also be an area within a country or an area covering all or parts of several countries (e.g., the area covered by a Regional Plant Protection Organization (RPPO)).

## Box 5 — Pest Risk Analysis (PRA) steps

To decide whether a pest should be classified as a regulated pest, a PRA is conducted according to internationally approved methods.

The 3 main steps of a PRA are:

### 1. Initiation

The process is initiated by identifying the pests or pathways for which PRA is needed. There are generally two initiation points for a PRA: (i) identification of a pathway, usually an imported commodity, that is likely to introduce or disseminate quarantine pests; (ii) identification of a pest that qualifies as a quarantine pest. This step identifies a pest or establishes a list of pests (when the PRA starts from a pathway), which must be subjected to a risk assessment.

### 2. Risk assessment

The risk assessment determines whether each pest identified as such, or associated with a pathway, is a quarantine pest, by virtue of its probability of entry, establishment, spread and economic importance. At this stage, pests are considered individually. It is necessary to examine whether each of them meets the criteria of a quarantine pest.

#### ■ Risk management

Risk management aims to select appropriate phytosanitary measures to prevent the introduction and spread of the pest.

## 1.3. Maintenance of lists of regulated pests

The NPPO is responsible for maintaining the pest lists. This involves updating the lists and appropriate record-keeping.

Lists of regulated pests require updating when pests are added or deleted, or the category of listed pests' changes, or when information is added or changed for listed pests. The following are some of the more common reasons for updating these lists:

- changes to prohibitions, restrictions or requirements
- change in pest status (see ISPM 8 (Determination of pest status in an area))
- result of a new or revised PRA
- change in taxonomy The updating of pest lists should be done as soon as the need for modifications is identified. Formal changes in legal instruments, where appropriate, should be adopted as quickly as possible.

It is desirable for NPPOs to keep appropriate records of changes in pest lists over time (e.g., rationale for change, date of change) for reference and to facilitate response to inquiries that may be related to disputes.

## 1.4. Availability of lists of regulated pests

Lists may be included in legislation, regulations, requirements, or administrative decisions. Contracting parties should create operational mechanisms for establishing, maintaining, and making available lists in a responsive manner. The IPPC makes provision for the official availability of lists and languages to be used.

### Box 6 — Official availability of lists of regulated pests

The IPPC requires that contracting parties make lists of regulated pests available to the IPPC Secretariat and RPPOs of which they are members. They are further obliged to provide such lists to other contracting parties upon request (Article VII.2(i) of the IPPC).

Lists of regulated pests should be made available officially to the IPPC Secretariat. This may be done in written or electronic form, including the Internet.

The means for making pest lists available to RPPOs is decided within each organization.

## 1.5. Requests for lists of regulated pests

NPPOs may request complete lists of regulated pests or specific lists from other NPPOs. In general, requests should indicate as precisely as possible the pests, commodities, and circumstances of concern to the contracting party.

Requests may be for:

- clarification of the regulatory status of specific pests.
- specification of quarantine pests for certification purposes.
- obtaining lists of regulated pests for particular commodities.
- obtaining information on regulated pests that are not associated with any particular commodity.
- updating previously provided pest lists.



Pest lists should be provided by NPPOs in a timely manner, with highest priority given to requests for lists necessary for phytosanitary certification or to facilitate the movement of commodities in trade. Copies of regulations may be provided where pest lists included in these regulations are considered adequate.

Both requests and responses for pest lists should be through official contact points. Pest lists may be provided by the IPPC Secretariat when available, but such provision is unofficial.

**Box 7 —** Format and languages of regulated pest lists

Lists of regulated pests made available to the IPPC Secretariat, and in response to requests from contracting parties, should be provided in one of the five official languages of FAO (required under Article XIX.3(c) of the IPPC).

Pest lists may be provided electronically or by access to an appropriately structured Internet website where contracting parties have indicated this is possible and the corresponding organizations have the capability for such access and have indicated willingness to use this form of transmission.

## 2. EVALUATION OF THE PERFORMANCE OF A NATIONAL SYSTEM FOR THE PREPARATION, MAINTENANCE AND AVAILABILITY OF NATIONAL LISTS OF REGULATED PESTS

### 2.1. Operational framework for performance evaluation of the process of preparing, maintaining, and making available national lists of regulated pests

It is the responsibility of NPPOs to ensure that their national lists of regulated pests are prepared, maintained, and made available in accordance with the obligations of IPPC contracting parties and international standards for relevant phytosanitary measures.

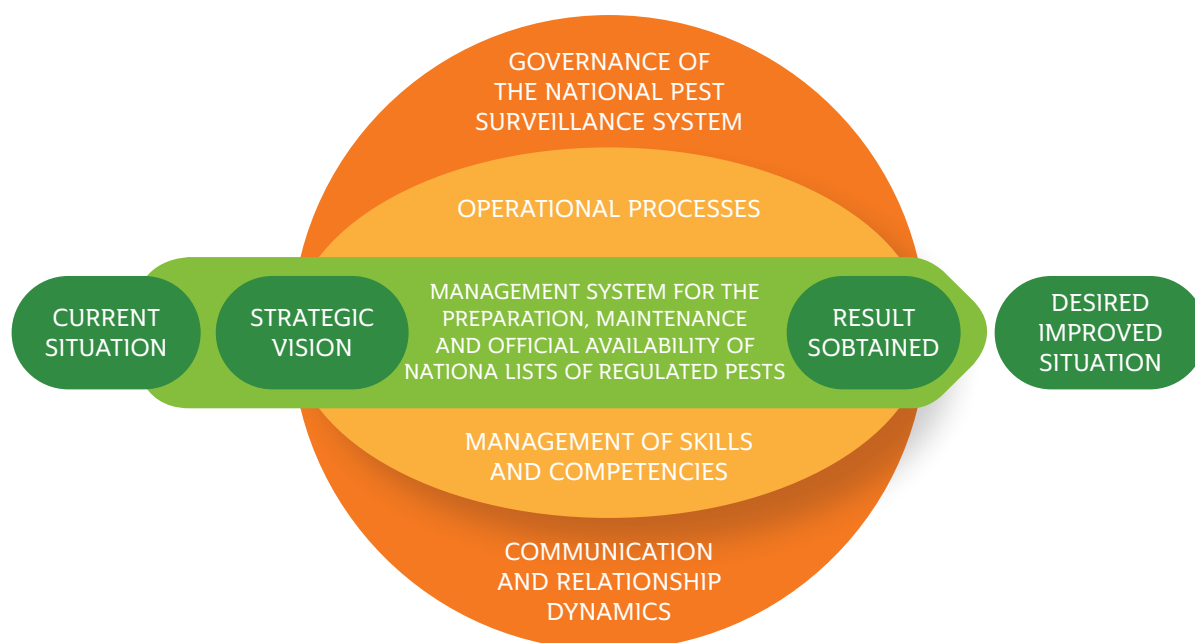
An operational framework has been developed by COLEAD to provide NPPOs with a tool to evaluate the performance of the process of preparing, maintaining, and making available their national regulated pests lists,

This framework is based on the approach used by COLEAD to develop the Rapid Assessment Tool for Sanitary and Phytosanitary Systems (COLEAD R-SAT).

By analogy to R-SAT, the process of preparing, maintaining, and making available national regulated pests lists includes four interactive pillars:

- The governance system
- Operational processes
- Management of skills and competences
- Communication and relationship dynamics

**Figure 1** — Graphical representation of the 4 pillars of a process for preparing, maintaining, and making available national lists of regulated pests



The performance of a system for preparing, maintaining, and making available national lists of regulated pests is highly dependent on the strategic vision that underlies the national plant health system.

The strategic vision of the plant health system is a representation of the future desired by all national plant health stakeholders. It reflects the transition from an unsatisfactory current situation to a desired future situation, linked to national policy and objectives that should be consistent with the vision of the IPPC Strategic Framework, namely “to protect the world’s plant resources from pests”.

### 2.1.1. Governance System

The governance system addresses the policy, legislative, regulatory, and administrative framework that governs the organization and conduct of the system for the preparation, maintenance, and availability of national lists of regulated pests, in conjunction with the national surveillance system and the national pest risk analysis system.

It shall provide the NPPO with the mandate and authority to conduct all activities related to national lists of regulated pests.

Governance also includes the provisions for monitoring the effectiveness of the system, including the allocation of appropriate human, physical, and financial resources for the regular conduct of the system for the preparation, maintenance, and availability of national lists of regulated pests.

### 2.1.2. Operational processes

Operational processes consist of structured and formalized activities including the assignment of specific tasks and responsibilities. They are established to ensure:

- the development of a program for the preparation, maintenance, and availability of national lists of regulated pests.
- the development and implementation of administrative and technical procedures for the conduct of PRA work and the preparation and/or maintenance of national lists of regulated pests.
- the existence of detection and phytosanitary diagnostic laboratories, in connection with the needs of implementing phytosanitary risk analysis programs and preparing and maintaining lists of regulated pests.
- the implementation of reporting and alert management procedures.
- the establishment of appropriate procedures for the collection, storage and management of information and data.
- the implementation of a system for auditing the national system for preparing and maintaining lists of regulated pests.
- the development and implementation of a program to develop the skills of the various stakeholders in the system for the preparation, maintenance, and availability of national lists of regulated pests.

### 2.1.3. Management of skills and competences

Management of skills and competences refers to the organization of training and capacity building of NPPO managers and staff and of the different stakeholders in the system of preparation, maintenance, and availability of national lists of regulated pests. It refers to the system of training, evaluation and regular review of the personnel involved in 'lists of regulated pests' activities, with a view to ensuring that their scientific and technical knowledge and skills are maintained, in relation to the context and evolution of international phytosanitary standards and requirements.

Provisions shall be made so that:

- relevant training programs (initial and ongoing) are available to the various stakeholders.
- Stakeholders have the capacity to participate effectively in the implementation of the system for the preparation, maintenance, and availability of national lists of regulated pests.
- a sustainable system of financing training needs for capacity building of the different stakeholders is put in place.

#### 2.1.4. Communication and relationship dynamics

The dynamics of communication and relation refer to the way in which consultation mechanisms are structured between the NPPO and the different stakeholders in the system of preparation and maintenance of lists of regulated pests.

The communication and relationship dynamics incorporate the provisions that must be put in place by the NPPO to ensure official communication about the national lists of regulated pests, regarding the requirements of the International Plant Protection Convention.

They include:

- mechanisms for stakeholder consultations in the national system for preparing and maintaining lists of regulated pests.
- mechanisms for informing and sensitizing stakeholders in the phytosanitary system.

### 2.2. Grid for evaluating the performance of a system for the preparation, maintenance, and availability of national lists of regulated pests

The assessment of the national system for the preparation, maintenance, and availability of national lists of regulated pests is based on a grid established from the operational framework described above, in relation to the 4 pillars that are the governance system, operational processes, skills and competences management and communication and relationship dynamics.

The evaluation grid is based on the following:

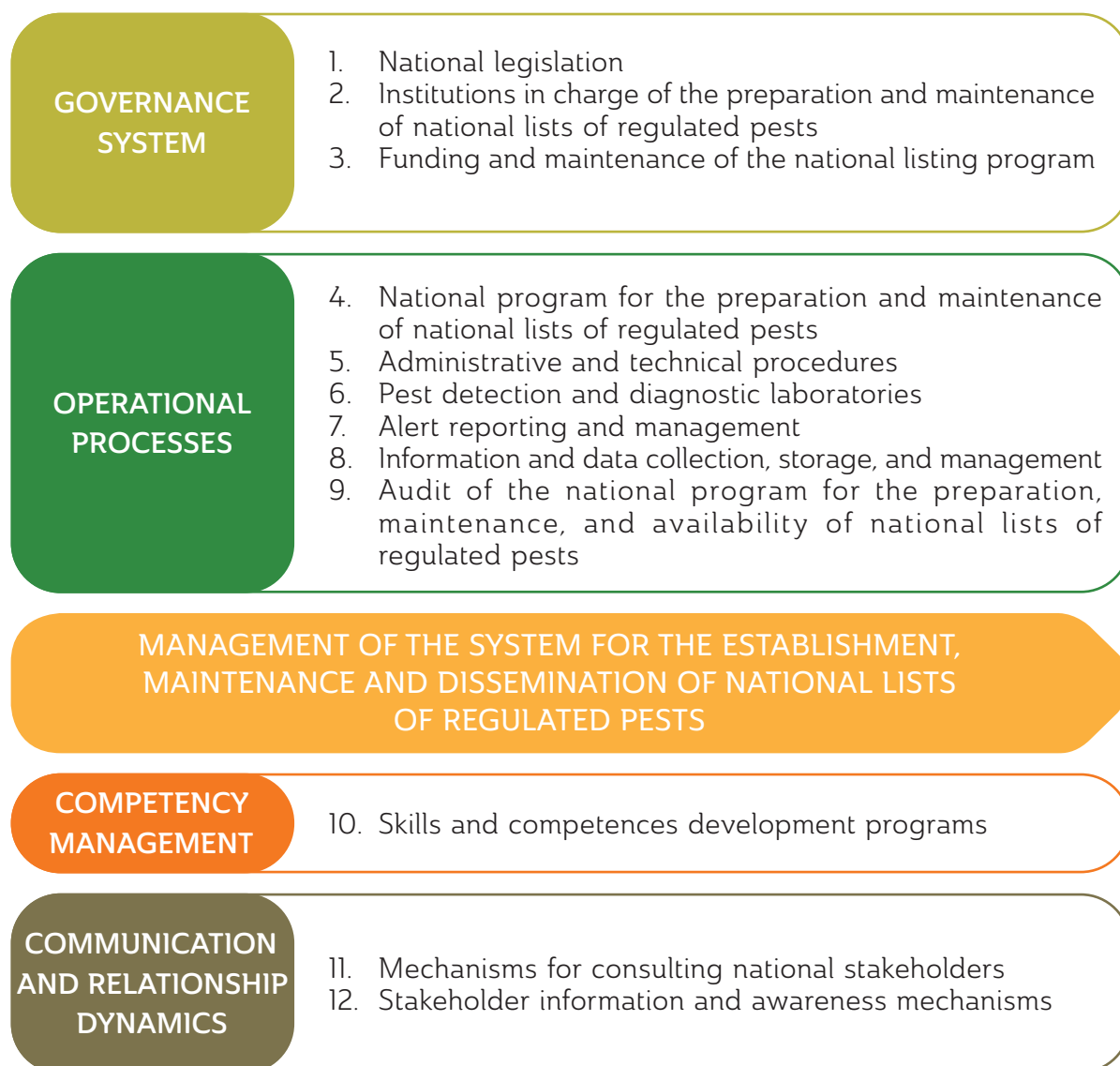
- i. control points association to the four pillars.
- ii. compliance criteria associated to each control point.
- iii. a rating scale to assess the performance of the system for preparing, maintaining, and making available national lists of regulated pests.

#### 2.2.1. Control points for a system for the preparation, maintenance, and availability of national lists of regulated pests

Based on the IPPC obligations for contracting parties and the requirements of the relevant International Standards for Phytosanitary Measures, the evaluation grid for a national program to prepare, maintain and make available national lists of regulated pests has been categorized into 12 control points against the 4 pillars.

A graphic representation of the 12 control points is shown below (figure 2).

**Figure 2** — Graphical representation of the 12 control points of a national system for the preparation, maintenance, and availability of national lists of regulated pests



### 2.2.2. Compliance criteria for a program to prepare, maintain and make available national lists of regulated pests

For each of the 12 Control Points (linked to the four pillars) compliance criteria have been defined to assess a program for preparing, maintaining, and making available national lists of regulated pests in the COLEAD analysis framework.

These compliance criteria are based on the obligations of contracting parties under the IPPC and the requirements of the main international standards for phytosanitary measures relevant to the subject.

**Box 8** — Example of compliance criteria applied to the governance of a program for the preparation, maintenance, and availability of national lists of regulated pests

#### 1. National legislation

- Do the national plant protection legislation include provisions requiring the national plant protection organization to prepare and update national lists of regulated pests in accordance with the provisions of the IPPC?
- Do the phytosanitary laws and regulations take into account the evolution of international standards and other relevant IPPC requirements or considerations regarding phytosanitary measures for the preparation, maintenance, and availability of national lists of regulated pests?

#### 2. Institutions in charge of the preparation, maintenance, and availability of national lists of regulated pests

- Are the roles and responsibilities of the NPPO and the various stakeholders in the phytosanitary system clearly defined in order to ensure the preparation, maintenance and validation of the lists of regulated pests?
- Does the legislation include provisions for formalizing the framework for carrying out 'lists of regulated pests' activities, consistent with the NPPO's missions?
- Are indicators defined to enable the performance of the process of preparing, maintaining, and making available national lists of regulated pests to be assessed?



### 2.2.3. Performance rating scale for a system for preparing, maintaining, and making available national lists of regulated pests

The evaluation of the performance of a system for the preparation, maintenance, and availability of national lists of regulated pests is based on a rating scale of 1 to 4.

**Box 9** — Rating scale for evaluating the performance of a system for preparing, maintaining, and making available national lists of regulated pests

The scale of 1 to 4 allows to proceed to the classification of the performance levels of the different control points, with regard to each compliance criteria based on the requirements of the relevant International Standards for Phytosanitary Measures.

**The scale of 1 to 4** means that:

1. There is nothing for this control point
2. Activities are partially implemented
3. Activities exist but are not complete. They need to be improved.
4. The activities meet, in a sustainable manner, the requirements of the International Standards for Phytosanitary Measures

This grid allows NPPOs to determine, for the different control points and associated compliance criteria, the level of performance of their system for the preparation, maintenance, and availability of their national lists of regulated pests.

The results of this assessment allow the NPPO and stakeholders to define the current situation and agree on the desired levels of improvement for each control point and compliance criteria. On this basis, an action plan for the improvement of the 'national lists of regulated pests' system can be established.

The evaluation grid is to be found in Annex 1.

### 3. BASIC ELEMENTS FOR THE OPERATION OF AN EFFICIENT SYSTEM FOR THE PREPARATION, MAINTENANCE AND AVAILABILITY OF NATIONAL LISTS OF REGULATED PESTS

NPPOs, as the authorities responsible for the establishment of phytosanitary regulations and the enforcement of phytosanitary measures, must establish effective operational mechanisms for preparing, maintaining, and making available national lists of regulated pests, in accordance with the requirements of the International Plant Protection Convention and ISPM 19 on guidelines on lists of regulated pests.

This chapter provides guidance and practical recommendations on essential elements for the operationalization of an effective system for the preparation, maintenance, and availability of national lists of regulated pests.

#### 3.1. Administrative and technical procedures

The NPPO is responsible for coordinating the implementation of an effective system for the preparation, maintenance, and availability of lists of regulated pests. However, the information and data needed for the PRA may come from a variety of sources, both internal and external to the NPPO, including other contracting party agencies, other NPPOs, RPPOs, scientific institutions, researchers and other sources.

##### 3.1.1. Formalization of the Pest Risk Analysis framework

The work of PRA and the preparation and/or maintaining of lists of regulated pests must be supported by an administrative organization and technical procedures that comply with the requirements of the IPPC and relevant ISPMs.

In addition to the legal basis that must be included in national plant protection legislation, appropriate administrative arrangements must be made to formalize the framework for conducting pest risk analysis and for carrying out the work of preparing, maintaining, and making available lists of regulated organisms.

Pest risk analysis, which is an essential part of the phytosanitary system, requires a collegial multidisciplinary expertise. Many types of experts can contribute to a PRA: pest specialists, agronomists, ecologists, economists, treatment specialists, industry specialists, etc. In addition to those from the NPPO, experts may come from other public organizations, research centers, universities, or other non-governmental groups.

The competent authorities must define the administrative and scientific structuring of the national plant health risk analysis system with regard to the creation, responsibilities, composition, organization and operation of the Pest risk analysis team.

#### **Box 10 — Building a Multidisciplinary PRA Team**

The choice of experts according to their profiles is a critical point to ensure the constitution of a multidisciplinary PRA team.

Selection criteria include their scientific expertise as demonstrated by their research and publications, their availability and willingness to participate, their experience, and their impartiality.

It is important to solicit opinions from a variety of experts representing different points of view, while taking into account any biases that may exist.

Basic principles for using expert judgment in a PRA include:

- to select experts of various specialisations and origins (entomologists, plant pathologists, weed scientists, nematologists, agro-economists, environmentalists, water and forestry,...);
- to use junior experts to train them and provide them with the knowledge and experience necessary to sustain national expertise in pest risk analysis.

It is important to ensure good representation and involvement of scientific and technical staff of the NPPO in the PRA team, especially to ensure coordination, secretarial work as needed and monitoring and collection of data and information necessary or arising from the conduct of work.

Expert opinion can be solicited in a number of ways. Experts may be asked to review or contribute to all or part of a PRA at various stages of its development; they may be asked to provide their opinions individually, in writing, or as a group, such as in face-to-face workshops that bring all experts together to discuss answers to specific questions.

#### **3.1.2. Upgrading of the team of experts**

It is important to ensure that experts have sufficient knowledge and understanding of the PRA process and what is required of them so that they are prepared and can make a relevant and effective contribution. To do this, some experts, especially those outside the NPPO, may need to be brought up to speed.

A meeting (face-to-face or online) could be organized to present the objectives and outline of the process of developing and maintaining lists of regulated pests and also to provide an overview of the revised IPPC text and the main ISPMs related to the subject and available on the International Phytosanitary Portal ([www.ippc.int](http://www.ippc.int)). Relevant ISPM's include:

- ISPM 2- Framework for Pest Risk Analysis
- ISPM 8 - Determination of a pest status in an area
- ISPM 11 - Pest Risk Analysis for Quarantine Pests
- ISPM 16 – Regulated non-quarantine pests: concept and application
- ISPM 19 - Guidelines on lists of regulated pests
- ISPM 21 - Pest risk analysis for regulated non quarantine pests

For additional information on PRA, such as International Standards for Phytosanitary Measures (ISPMs) and IPPC guides and training materials, see the [see the IPPC web site](#).

#### **Box 11 — Capacity Building for PRA Experts**

Depending on the context and experience of the panel members, capacity building in PRA may be required to:

- provide participants with the background knowledge to understand the purpose of the PRA and how the PRA fits into the IPPC;
- develop the skills required to conduct PRAs in the IPPC context, provide on-the-job experience on how to conduct PRAs;
- provide examples of how PRA is conducted in other countries;
- give confidence to the experts.

Experts should be familiar with the structure and function of a PRA document and have conducted a number of test PRAs, as well as having seen and discussed examples of many other PRAs. They should be able to conduct full PRAs with confidence and know where to look for supporting information and where to seek help if needed.

**Recommendation 1** — Take advantage of online courses to build your PRA capacity

- **Online course in PRA developed by the IPPC Secretariat in partnership with COLEAD**

A tutored course and an online self-study course were developed under the auspices of the Secretariat of the International Plant Protection Convention (IPPC) and in partnership with the COLEAD. These courses were developed within the framework of FAO's support to the COMESA Trade Facilitation Programme and the Memorandum of Understanding signed in November 2021 between the IPPC and COLEAD.

- **Online tutored course developed by COLEAD in collaboration with CABI**

This training aims to strengthen the capacity of participants to implement the PRA, including through the use of CABI tools and in accordance with IPPC priorities and in compliance with international standards for phytosanitary measures and relevant guidelines.

For more information on the APR e-learning course, see the [COLEAD](#) website.

### 3.1.3. Useful information, data, and resources

Knowledge of information sources and data on pests (identification of diseases, of pests, weeds, etc., their status and geographical distribution, etc.) and of specialized online tools for pest risk analysis are almost indispensable for the realization of the PRAs and for the preparation and maintenance of the lists of regulated pests.

When conducting a PRA, it is important to check whether the pathways, pests or policies have been subject to a previous PRA process, either national or international. If so, the validity of the PRA will be checked as circumstances and data may have changed. Consideration should also be given to the possibility of using a PRA for a similar pathway or pest, which may partially or fully replace the new PRA.

The European and Mediterranean Plant Protection Organization (EPPO) and CABI provide valuable data and information and research tools.

## Box 12 — Brief overview of EPPO and CABI

**EPPO** is an international organization responsible for cooperation and harmonization in plant protection in the European and Mediterranean region. Under the International Plant Protection Convention (IPPC, Article IX), EPPO is the Regional Plant Protection Organization (RPPO) for the Euro-Mediterranean region.

**CABI** is a non-profit intergovernmental organization established by an agreement at the United Nations treaty level between 49 member countries including several ACP countries. CABI provides services in the area of scientific expertise and various products and resources. These include disease identification, capacity building and information products.

- The EPPO database <https://gd.eppo.int/>

The EPPO database is maintained by the Secretariat of the European and Mediterranean Plant Protection Organization. The aim of the database is to provide all pest-specific information which has been produced or collected by EPPO. The content of the database is constantly updated by the EPPO Secretariat.

- The EPPO Platform on PRAs <https://pra.eppo.int/>

The aim of the EPPO PRA Platform is to provide a single portal for all PRAs of pests and commodities relevant to the EPPO region.

The EPPO PRA Platform contains files of (and links to) various types of PRAs produced from the early 1990s to the present, as well as additional documents related to PRA activities.

- The CABI pest risk analysis tool

The Pest Risk Analysis Tool is a decision support tool that presents scientific information from the CABI Crop Protection Compendium (CPC) to assist in the selection of appropriate measures to reduce the risks associated with the introduction of pests and facilitate the safe movement of plants and plant products.

- CABI's Horizon Scanning Tool

The horizon scanning tool is a decision aid that helps identify and categorize species that may enter a particular geographic area from another geographic area.

**Recommendation 2** — Become aware of EPPO and CABI resources and tools

Consult the EPPO and CABI websites for more information on the access conditions and functionalities of their databases and tools available:

- <https://www.eppo.int>
- <https://www.cabi.org>

**3.1.4. Resources for the operation of the PRA Expert Team**

The regular organization of meetings for the realization of PRAs and the conduct of the processes of preparation and/or maintenance of lists of regulated pests may require financial, physical or logistical resources of varying importance depending on the context and specificities of each country. Research or studies may be required to improve the quality of information and data for PRA.

It is important to define how the PRA system will be resourced and funded and how the lists of regulated pests will be established and/or updated.

**Recommendation 3** — Develop the Expert Team's Annual Work Plan and Budget

Under the aegis of the NPPO, the expert team should develop its work plan and annual budget to cover the costs of its operation and the PRAs and various tasks related to the processes of preparing and/or updating lists of regulated pests.

The NPPO will need to ensure that the modalities for resource mobilization and sustainable funding of the work plan are defined.



## 3.2. Organization and execution of preparatory work

The quality of information and data on the sector and on pest risk analysis work is a critical point in the process of preparing and maintaining national lists of regulated pests.

**Recommendation 4** — Organize the collection of basic information and data

The NPPO should organize sufficiently in advance the collection of information and data necessary to carry out the PRAs, including

- Statistics on imports of plants and plant products (origin, species, volumes over the last 2-5 years, category, intended use) and their classification according to the phytosanitary risk they present in reference to ISPM 32;
- Statistics on the main crops and national production statistics (production areas, contribution to food security and national economy);
- List of pests present in the country or in the PRA area
- Data and report on pest risk analyses and pest monitoring results;
- Intercept data from importing countries;
- Lists of regulated pests from neighboring countries and major trading partners.

### 3.3. Collection, retention and storage of data and reports

A pest risk analysis seeks to evaluate the risks of introduction and spread of a pest in a given area. To evaluate these risks, the experts rely on the **available scientific data** and on different databases informing on the **physical and environmental characteristics** of the concerned area which can influence the potentialities of establishment and spread of the pest.

Clear procedures should be established and implemented to ensure the collection, retention, and storage of PRA information and data, reports, and findings.

**Recommendation 5** — Apply some good documentation, collection, retention, and storage practices

- Establish sufficient documentation of completed PRAs so that, in the event of a review or dispute, the PRA clearly indicates the sources of information and the rationale for the risk management decision regarding the phytosanitary measures taken or to be taken;
- Ensure that all steps in the PRA process are fully documented to facilitate any future re-evaluation of the PRA, including the name(s) of the evaluator(s), how each decision was reached, and on the basis of what information;
- Indicate the date of collection of information and data in case subsequent information or data on the pest may influence the final decision
- Note any uncertainty in the data or conclusions.
- Arrange for the digital backup and storing of PRA data and reports.

## 4. BIBLIOGRAPHY AND USEFUL RESOURCES

R-SAT. COLEAD Rapid SPS Assessment Tool for Strengthening National Sanitary and Phytosanitary Systems in ACP Countries. User's Guide. June 2021.

**Some international standards for phytosanitary measures useful to consult. The list is available at the following address:** <https://www.ippc.int/fr/core-activities/standards-setting/ispms> (last access on August 16, 2022)

- ISPM 1. [Phytosanitary principles for the protection of plants and the application of phytosanitary measures in international trade](#). Rome, IPPC, FAO (adopted 2006, published 2006).
- ISPM 6. Surveillance. Rome, IPPC Secretariat, FAO (adopted 2018, published 2018).
- ISPM 8. Determination of pest status in an area, Rome, IPPC Secretariat, FAO (adopted 2021, published 2021).
- ISPM 10. Requirements for the establishment of pest free places of production and pest free production sites. Rome, IPPC Secretariat, FAO (adopted 1999, published 2016).
- ISPM 11. Pest Risk Analysis for Quarantine Pests, Rome, IPPC Secretariat, FAO (adopted 2013, published 2019).
- ISPM 13. Guidelines for notification of non-compliance and emergency action. Rome, IPPC Secretariat, FAO (adopted 2001, published 2021).
- ISPM 14. The use of integrated measures in a systems approach for pest risk management Rome, IPPC Secretariat, FAO (adopted 2002, published 2019).
- ISPM 16. Regulated non-quarantine pests: concept and application, Rome, IPPC Secretariat, FAO (adopted 2002, published 2021).
- ISPM 19. Guidelines on lists of regulated pests. Rome, IPPC, FAO (adopted 2003, published 2016)
- ISPM 21. Pest Risk Analysis for Regulated Non-Quarantine Pests Rome, IPPC Secretariat, FAO (adopted 2004, published 2021).
- ISPM 32. Categorization of commodities according to their pest risk Rome, IPPC Secretariat, FAO (adopted 2009, published 2016)

## 5. ANNEXES

### 5.1. Annex 1 – Grid for evaluating the performance of the national system for preparing and/or maintaining national lists of regulated pests

GOVERNANCE OF THE PROCESS FOR PREPARING/MAINTAINING LISTS OF REGULATED PESTS					
CONTROL POINTS		NOTATION			
		1 <sup>1</sup>	2 <sup>2</sup>	3 <sup>3</sup>	4 <sup>4</sup>
<b>1. National legislation</b>					
1.1.	Does the national plant protection legislation include provisions requiring the national plant protection organization to establish and maintain national lists of regulated pests in accordance with the provisions of the IPPC?				
1.2.	Does the national legislative and regulatory framework include provisions for pest risk analysis in accordance with current ISPMs?				
<b>2. Institutions in charge of the preparation/update of the lists of regulated pests</b>					
2.1.	Are the roles and responsibilities of the NPPO and the various stakeholders in the phytosanitary system clearly defined in order to ensure the preparation, maintaining and validation of the lists of regulated NBs?				
2.2.	Does the legislation include provisions for formalizing the framework for carrying out APR activities, consistent with the NPPO's missions?				
2.3.	Are indicators defined to enable the performance of the process of preparing/maintaining lists of regulated pests to be evaluated?				
<b>3. Funding for the process of preparing/maintaining lists of regulated pests</b>					
3.1.	Is a budget line dedicated to the financing of the process of preparing/maintaining lists of regulated pests included in the NPPO budget?				
3.2.	Are the financial and material resources (material, equipment, logistics, etc.) mobilized sufficient to cover the effective implementation of the system for preparing and maintaining the national list of regulated pests?				
3.3.	Is the system for mobilizing financial and material resources for the implementation of the system for preparing and maintaining the national lists of regulated pests sustainable?				

- 1 Nothing is in place  
 2 Partially implemented  
 3 To be improved  
 4 Appropriate and sustainable measures are in place

OPERATIONAL PROCESSES					
CONTROL POINTS		NOTATION			
		1	2	3	4
<b>4. National system for preparing/maintaining lists of regulated pests</b>					
4.1.	Is a national pest surveillance program clearly established and effectively implemented?				
4.2.	Is a national system for listing regulated pests implemented on a regular basis?				
4.3.	Is a national system for maintaining lists of regulated pests implemented on a regular basis?				
4.4.	Is the national pest risk analysis system consistent with policies and priorities?				
4.5.	Is the national system of analysis of phytosanitary risks coherent with the evolution of the phytosanitary situation and the stakes of protection of plant resources and the environment?				
4.6.	Is the national system of analysis of phytosanitary risks consistent with the challenges of trade development?				
<b>5. Administrative and technical procedures</b>					
5.1.	Are clear administrative procedures that meet the requirements of international standards for phytosanitary measures defined to ensure the implementation of pest risk analysis?				
5.2.	Are the administrative procedures for conducting PRAs implemented appropriately?				
5.3.	Are clear technical procedures that meet the requirements of international standards for phytosanitary measures defined to ensure the implementation of pest risk analysis?				
5.4.	Are the technical procedures for conducting PRAs implemented appropriately?				
5.5.	Are clear administrative procedures in line with the requirements of international standards for phytosanitary measures defined to ensure the implementation of the system for preparing and maintaining lists of regulated pests?				
5.6.	Are the administrative procedures for the conduct of the system for preparing and maintaining lists of regulated pests appropriately implemented?				

OPERATIONAL PROCESSES					
CONTROL POINTS		NOTATION			
		1	2	3	4
5.7.	Are clear technical procedures that meet the requirements of international standards for phytosanitary measures defined and implemented to ensure that lists of regulated pests are prepared and maintained?				
5.8.	Are the technical procedures for conducting the system of preparing and maintaining regulated pests lists implemented appropriately?				
5.9.	Do the NPPO and the various stakeholders have adequate human, financial and material resources (infrastructure, equipment and consumables) for the implementation of pest risk analysis?				
5.10.	Do the NPPO and the various stakeholders have the documentation and tools needed to carry out the work of analyzing phytosanitary risks and preparing and maintaining lists of regulated pests?				
5.11.	Do the NPPO and the various stakeholders have access to the documentation and tools needed to carry out the work of analyzing plant health risks and preparing and maintaining lists of regulated pests?				
5.12.	Do the NPPO and the various stakeholders have adequate human, financial and material resources (infrastructure, equipment and consumable supplies) to carry out the various tasks foreseen in the system for preparing and maintaining lists of regulated pests?				
5.13.	Does the NPPO establish a procedure for sharing lists of regulated pests with the IPPC Secretariat and contracting parties?				
5.14.	Are the updated lists of regulated pests available on the International Phytosanitary Portal (IPP)?				
5.15.	Does the NPPO establish a procedure for sharing laws, regulations and other relevant information with the IPPC Secretariat and contracting parties?				
5.16.	Are updated laws, regulations, and other relevant information available on the International Phytosanitary Portal (IPP)?				

OPERATIONAL PROCESSES					
CONTROL POINTS		NOTATION			
		1	2	3	4
<b>6. Laboratories or detection and phytosanitary diagnosis</b>					
6.1.	Are laboratories capable of carrying out detection and diagnostic work in relation to the needs of implementing plant health risk analysis activities and preparing and maintaining lists of regulated pests available?				
6.2.	Do the laboratories have the appropriate infrastructure, equipment, consumables and human resources to carry out detection and phytosanitary diagnosis work and research, in connection with the systems for analyzing phytosanitary risks and for preparing and maintaining lists of regulated pests?				
6.3.	Is there an appropriate and sustainable funding system for laboratories to carry out detection, diagnosis and research work, in relation to the needs of implementing pest risk analysis systems and preparing and maintaining lists of regulated pests?				
<b>7. Pest Alert reporting and management</b>					
7.1.	Are awareness and information programs implemented to encourage (technical services, environment, water and forestry, producers, supervisors, researchers, scientists, NGOs, etc.) to report pests on the national territory?				
7.2.	Is a reliable pest alert management system established throughout the country, including the management of alerts and information from official sources in other countries?				
7.3.	Is a reliable pest alert management system implemented throughout the country, including the management of alerts and information from official sources in other countries?				
7.4.	Is an appropriate reporting and alert system capable of ensuring widespread and rapid reporting, management of pest outbreaks, crises, incursions or infestations, and dissemination of alerts to the various national stakeholders in the phytosanitary system (general public, producers, producers' cooperatives, exporters, supervisors, researchers, etc.) established? Is it established?				
7.5.	Is an appropriate reporting and early warning system capable of ensuring widespread and rapid reporting, management of pest outbreaks, crises, incursions or infestations, and dissemination of alerts to the various national stakeholders in the phytosanitary system (general public, producers, producers' cooperatives, exporters, supervisors, researchers, etc.)? Is it implemented?				

OPERATIONAL PROCESSES					
CONTROL POINTS		NOTATION			
		1	2	3	4
<b>8. Collection, storage and management of information and data</b>					
8.1.	Are information and data collection, storage and management systems developed to ensure centralized compilation of all information and data for the national pest risk analysis system and for the preparation and maintenance of lists of regulated pests?				
8.2.	Are information and data collection, storage and management systems implemented to ensure centralized compilation of all information and data for the national pest risk analysis system and for the preparation and maintenance of lists of regulated pests?				
8.3.	Are appropriate standard operating procedures established to ensure the consistency, integrity, security, availability, accessibility and archiving of information and data in the national system for pest risk analysis and the preparation and maintenance of regulated pest lists?				
8.4.	Are appropriate standard operating procedures implemented to ensure the consistency, integrity, security, availability, accessibility and storing of information and data in the national system for pest risk analysis and preparing/maintaining of regulated pests lists?				
8.5.	Are appropriate standard operating procedures established to ensure quality control, validation and reporting of information and data from the national pest risk analysis system and the preparation and maintaining of lists of regulated pests?				
8.6.	Are appropriate standard operating procedures implemented to ensure quality control, validation and dissemination of information and data from the national pest risk analysis system and the preparation and maintaining of lists of regulated pests?				
8.7.	Has the NPPO, in conjunction with the other stakeholders, set up a secure and accessible database (monitoring data, lists of pests and their status, analyses of phytosanitary risks, scientific studies and publications, etc.)?				



OPERATIONAL PROCESSES					
CONTROL POINTS		NOTATION			
		1	2	3	4
<b>9. Audit of the national system for preparing and maintaining lists of regulated pests</b>					
9.1.	Has the NPPO established a system for auditing the national system of pest risk analysis and for preparing and maintaining lists of regulated pests, in accordance with the requirements of independence and transparency?				
9.2.	Is the audit program implemented and does it cover all activities of the national pest risk analysis system and the preparation and maintenance of regulated pest lists?				
9.3.	Are procedures for monitoring and evaluation to improve the effectiveness of the national system of pest risk analysis and listing of regulated pests defined and implemented, linked to the results and conclusions of audits?				
9.4.	Are procedures for monitoring the implementation of corrective actions to improve the effectiveness of the national system of pest risk analysis and the preparation and maintaining of lists of regulated pests defined and implemented, linked to the results and conclusions of audits?				

MANAGEMENT OF SKILLS AND COMPETENCE					
CONTROL POINTS		COTATION			
		1	2	3	4
10. Training and skills development systems					
10.1.	Are there national initial training programs for the various stakeholders (NPPO personnel, producers, supervisors, etc.) in pest risk analysis, with reference to international standards for phytosanitary measures?				
10.2.	Are there national programs for continuous training of the various stakeholders (NPPO staff, producers, supervisors, etc.) in pest risk analysis, with reference to international standards for phytosanitary measures?				
10.3.	Are there national training programs for the various stakeholders (NPPO staff, producers, supervisors, etc.) concerning the preparation and maintaining of lists of regulated pests, with reference to international standards for phytosanitary measures?				
10.4.	Do the NPPO staff and the various stakeholders in the national system of pest risk analysis and listing and maintaining of regulated pests have sufficient training and skills to carry out their tasks?				
10.5.	Is an appropriate funding system in place to ensure the provision of ongoing training and administrative and technical capacity building for NPPO staff and other stakeholders in the national system of pest risk analysis and the development and maintenance of regulated pest lists?				

COMMUNICATION AND RELATIONSHIP DYNAMICS					
CONTROL POINTS		NOTATION			
		1	2	3	4
<b>11. Mechanisms for stakeholder consultations on the national system for preparing and maintaining lists of regulated pests</b>					
11.1.	Is there a formalized mechanism to guide consultations and dialogue between the NPPO and stakeholders in the national system for preparing and maintaining lists of regulated pests?				
11.2.	Are the processes for prioritizing and planning the activities of the national system for preparing and maintaining lists of regulated pests and their financing based on the results of the dialogue between the NPPO and the different stakeholders?				
11.3.	Is a system for reporting, sharing and making available information and data from the national system for preparing and maintaining lists of regulated pests implemented and does it feed into official import and export control plans, in conjunction with pest risk analyses?				
<b>12. Stakeholder information and awareness mechanisms</b>					
12.1.	Are the objectives, priorities, and national system for preparing and maintaining lists of regulated pests implemented and their results made public on a regular basis?				
12.2.	Is awareness raising and communication to the various stakeholders on the main issues and implications of the national system of listing and maintaining regulated pests conducted on a regular basis towards the community, including public and private services and actors involved in the control, air, road and sea transport, import, export and transit of plants, plant products and other regulated items (customs and law enforcement at border control posts, etc.)?				
12.3.	Is an awareness and advocacy program implemented on a regular basis towards decision-makers (ministries, government, parliament) and technical and financial partners?				



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