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IPPC Observatory

Designing the Third IPPC General Survey: objectives and scope

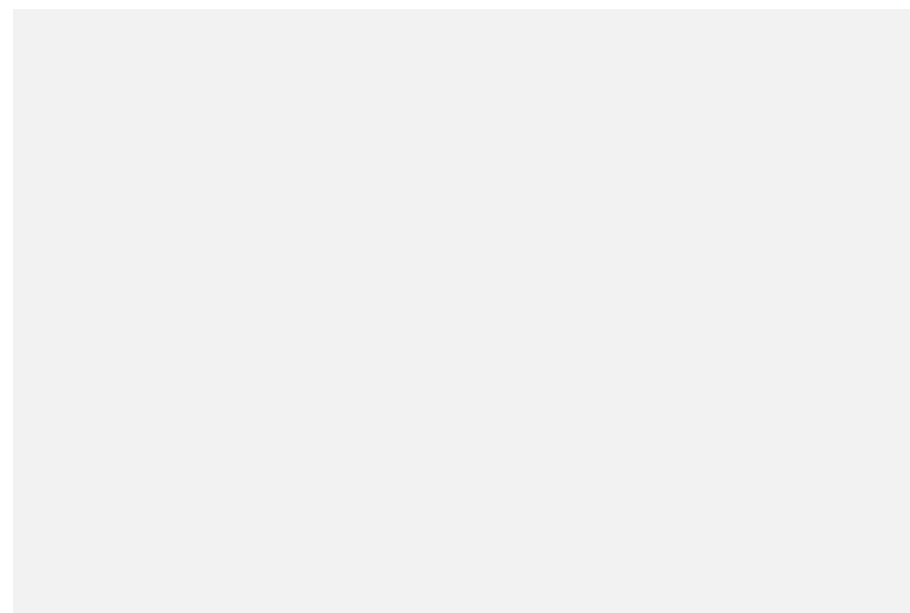
Prepared for the IPPC Regional Workshops 2025



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IPPC Observatory re-designing the Third IPPC General Survey

The **IPPC Observatory** is a system that monitors and evaluates the implementation of:

- The International Plant Protection Convention (IPPC),
- International Standards on Phytosanitary Measures (ISPMs),
- CPM Recommendations, and,
- IPPC Strategic Framework 2020-2030 Development Agenda Items.



The IPPC Observatory is re-designing the Third IPPC General Survey with following objectives:

- Assess the extent to which Contracting Parties are aligned with their obligations and responsibilities under the IPPC.
- Understand how Contracting Parties are adopting and operationalizing core elements of the IPPC, including identifying best practices and challenges in implementation in order to understand capacity needs and inform the development of resources and tools.



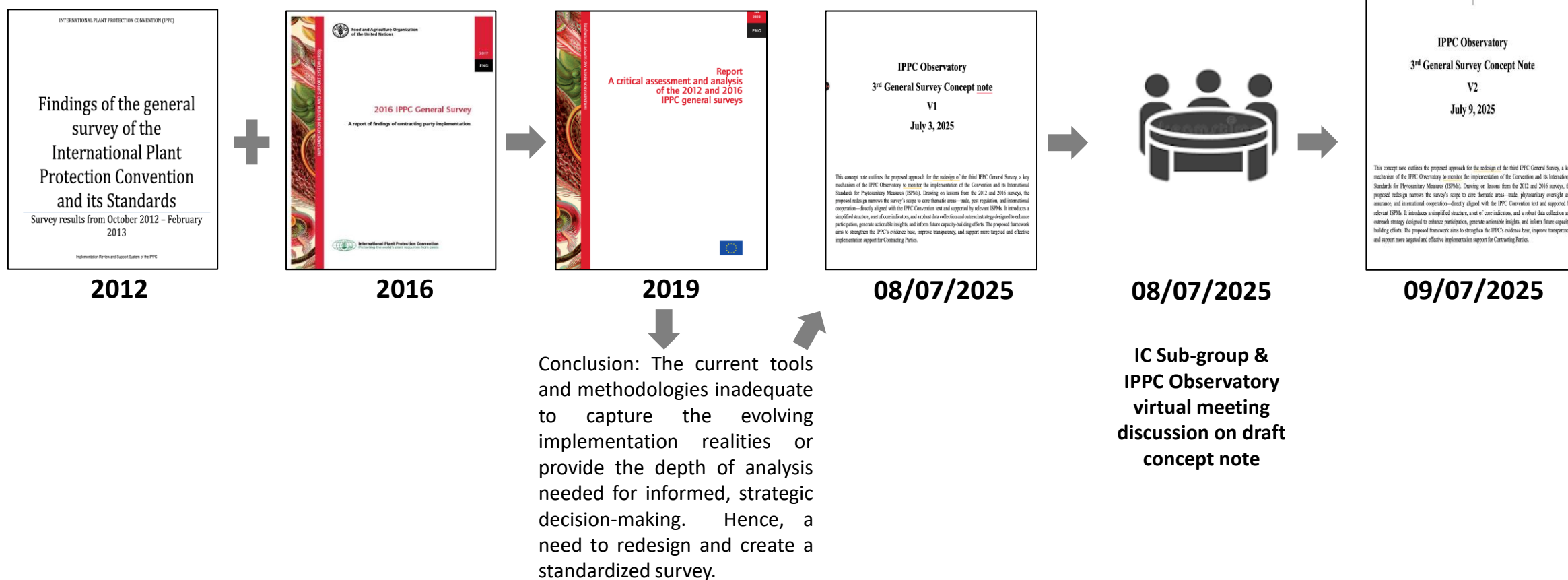
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Progress of IPPC General Surveys





Feedback from the IC Subgroup and IPPC observatory virtual meeting-02 on 08/07/25

Objective of the Concept Note	Scope	Areas of Focus	Methodology Discussion	Additional Comments:
<p>The objective remains consistent with prior discussions.</p> <p>No new comments or refinements.</p>	<p>Agreed to revise the definition of “general” in the context of the survey: <i>“Existence and implementation quality of select obligations and responsibilities outlined by the IPPC that all Contracting Parties must meet.”</i></p> <p>This replaces “minimum/core obligation” to avoid prioritizing some obligations over others.</p>	<p>Pest risk analysis to be moved from categorization under “phytosanitary oversight and assurance” to “Trade.”</p> <p>The labelling of the second categorization of ISPMs should be modified to “guidelines to Contracting Party” from “ISPMs that are not mandatory but offer guidance if chosen for implementation by the Contracting Party.” To avoid the impression of ranking ISPMs.</p>	<p>Questionnaire Design: <i>Incorporate both structured and open-ended questions for comprehensive data collection.</i></p> <p>Data Collection: <i>Provide a downloadable Word document alongside SurveyMonkey for ease of completion.</i></p> <p>Data Analysis: <i>Review proposed indicators to ensure alignment with survey questions.</i></p>	<p>The survey design should also be shared with the SPG for feedback.</p> <p>Consideration should be given to launching the survey around the CPM to optimize participation.</p>



Redefining Objectives for the Third General Survey

Year	1 st General Survey (2012)	2 nd General Survey (2016)	Proposed: 3 rd General Survey (2026)
Objectives	<p>Evaluate the:</p> <ol style="list-style-type: none">1. Overall implementation of the obligations and responsibilities described in the International Plant Protection Convention2. The overall implementation and contracting parties' prioritization of the 36 International Standards for Phytosanitary Measures (ISPMs) of the IPPC for IPPC contracting parties ISPMs) of the IPPC for IPPC contracting parties	<p>Review contracting parties:</p> <ol style="list-style-type: none">1. Implementation of obligations and responsibilities described in the International Plant Protection Convention2. Implementation and prioritization of the 37 international standards for phytosanitary measures (ISPMs)3. implementation of recommendations made by the CPM	<p>Objective 1: To assess the extent to which contracting parties align with select obligations and responsibilities under the IPPC.</p> <p>Objective 2: To understand how contracting parties adopt and operationalize select elements of the IPPC, identifying best practices and challenges in adhering to these obligations, and assessing capacity needs to inform the development of targeted support tools and resources.</p>



Narrowing the Scope to Create a Standardized Survey

Definition of “general”

Existence and implementation quality of select obligations and responsibilities outlined by the IPPC that all Contracting Parties must meet

ISPM factored and not factored

Category 1: ISPMs directly linked to obligations and responsibilities within the scope of the third general survey (e.g., ISPM 19 on pest lists).

Category 2: ISPMs providing Contracting Parties with guidelines on implementation options for phytosanitary measures (e.g., ISPM 10 on pest-free areas, ISPM 42 on temperature treatment).

Category 3: ISPMs offering guidelines for specific pests or products (e.g., ISPM 35 on the systems approach for pest risk management of fruit flies, Tephritidae).

Category 4: ISPMs acting as specific commodity standards (e.g., ISPM 39 on the movement of wood).

Category 5: ISPMs that do not fit into the above categories (e.g., ISPM 5 on the glossary of terms).

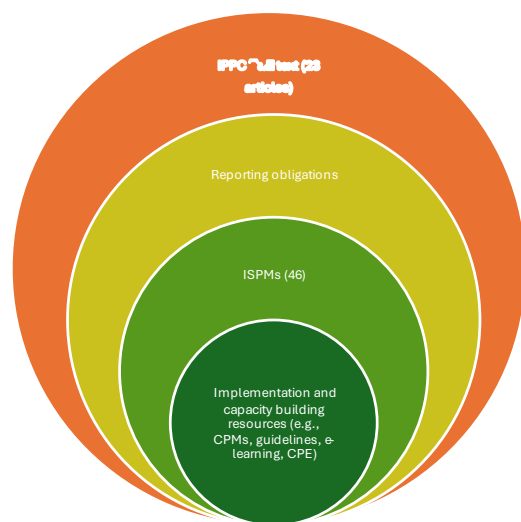
Scope of Third General Survey

Select obligations and responsibilities / focus areas

- Trade: Phytosanitary certificates, traceability systems inspection, pest risk analysis, and non-compliance notification.
- Phytosanitary Oversight and Assurance: Surveillance, diagnostic protocols
- International Cooperation: information exchange with a focus on reporting obligations

ISPM: 18 out of 46 active ISPMs factored

Not factored: CPM recommendations (not obligations and more conducive for thematic studies)





18 ISPMs factored into the third general survey

Area	Topic	Relevant IPPC article	Relevant International Standards for Phytosanitary Measures
Category 1: ISPMs directly linked to obligations and responsibilities linked to the scope of the third general survey			
Trade (Import, export)	Multiple: relating to overarching issues relating to import, export, and reexport applicable to traceability	Article V Article VII	ISPM 01 (Phytosanitary principles for the protection of plants and the application of phytosanitary measures in international trade)
			ISMP 20 (Guidelines or a phytosanitary import regulatory system)
			ISPM 25 : Consignment in transit
	Pest risk analysis	Article IV (2g)	ISPM 03 (Guidelines for the export, shipment, import and release of biological control agents and other beneficial organisms)
			ISPM 02 (Pest Risk Analysis)
			ISPM 11 (Pest risk analysis for quarantine pests)
			ISPM 21 (Pest risk analysis for regulated non-quarantine pests)
			ISPM 32 (Categorization of commodities according to their pest risk)
	List of regulated pests	Article VII (2l) Article XII (4c)	ISPM 19 (Guidelines on lists of regulated pests)
	Inspection	Article IV (2c) Article V (2a) Article VII (2e)	ISPM 23 (Guidelines for inspection)
			ISPM 34 Design and operation of post-entry quarantine stations for plants)
Phytosanitary oversight and assurance	Phytosanitary certification	Article V	ISPM 07 (Phytosanitary certification system) ISMP 12 (Phytosanitary certificates)
	Non-compliance notification	Article VII (3f)	ISPM 13 : Guidelines for the notification of non-compliance and emergency action
	Surveillance	Article IV (2b) Article VII (2j)	ISPM 06 (Surveillance)
			ISPM 08 (Determination of pest status in an area)
	Pest diagnostic protocols	Article IV	ISPM 27 (Diagnostic protocol for regulated pests)
International Cooperation	Information objectives	Article VIII	ISPM 17 (Pest reporting)



Approach to Survey Design

Questionnaire

- Quantitative and qualitative questions on the minimum obligations and responsibilities
- Aspects covered within the three focus areas:
 - legal and regulatory frameworks
 - Operational systems
 - Implementation processes
 - Data management
- Structured question types including: multiple-choice, frequency-based, yes/no with follow-up, and narrative fields, with skip logic applied to ensure relevance and streamline completion.

WCO Framework of Standards on Cross-Border E-Commerce – Key Performance Indicators (July 2022)

For each indicator, please provide:

- an assessment of your country's progress to implement the Standard, in accordance with the implementation scale below.
- responses to the capacity-building questions that correspond to your country's assessed implementation level for that indicator, and
- if applicable, responses to the additional information that is requested under each Standard.

Level*	Monitoring
1	Not applicable WCO Member has no intention to implement the Standard
2	Not implemented (with issues) WCO Member intends to implement the Standard, but is facing difficulties to move forward with implementation
3	Progressing with implementation WCO Member is currently considering measures to implement the Standard and/or testing options
4	Finalising implementation WCO Member has developed measures to implement the Standard and is working through legislative, administrative and/or operational processes to operationalise those measures.
5	Implementation complete WCO Member has developed and implemented the Standard

* Country's implementation level

Level*	Capacity Building
1	<ul style="list-style-type: none">Why has your country decided not to implement this Standard?
2	<ul style="list-style-type: none">What difficulties is your country facing to implement this Standard?How could capacity building assist you to overcome these difficulties?
3	<ul style="list-style-type: none">What steps has your country taken to develop measures to implement this Standard (e.g. internal policy development, public consultations, testing/trials)?Has your country faced difficulties in developing measures to implement this Standard?If yes, how could capacity building assist you to overcome these difficulties?
4	<ul style="list-style-type: none">What measures have your country developed to implement the Standard?What processes (legislative, administrative or operational) is your country administering to implement the Standard?Is your country facing difficulties in implementing this Standard?If yes, how could capacity building assist you to overcome these challenges?
5	<ul style="list-style-type: none">How does your country implement the Standard, and how often will it be reviewed or evaluated?What lessons has your country learned in implementing this Standard?



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Plan to Optimize Data Collection

Data Collection:

- Platform: SurveyMonkey (global accessibility & user-friendly)
- A downloadable Word version of the questionnaire will be provided

Data Management:

- Measures: Excel exports, version control, backups, metadata for transparency
- Quality Safeguards: Pilot test, data quality focal point, regular reviews

Communication & Outreach:

- Launch: Formal launch to Heads of NPPOs & contact points
- Engagement: Multilingual support materials, regional engagement, and structured follow-ups
- Incentives: Recognition in the final report & certificates of participation



Descriptive Statistics and Indicator Development: Proposed Data Analysis Methodology

Example

Area	Topic	Proposed indicators	Notes
Trade	Pest risk analysis	% of NPPOs that have a formal, documented pest risk analysis (PRA) process in place.	Potential scoring: 1 = NPPOs that have a documented PRA process proven by a link being provided to the document(s) or copies provided. 0.5 = Contracting party responds <u>yes, but</u> does not provide either a link or a copy despite follow-up. 0 = Contracting party responds that there is no documented PRA process.
		Average self-assessments of Contracting parties' alignment of their pest risk analysis processes with ISPM 2 and 11	Use standardized self-assessment scale
	List of regulated pests	Composite indicator on accessibility of list of regulated pests. Accessibility is defined as "the ability of being easy to obtain or use"	Composite indicator consisting of four indicators along with the tentative scoring including: <ul style="list-style-type: none">Existence of a list<ul style="list-style-type: none">1 = Yes, verified by a link of document0 = NoInformation included in the list aligns with <u>intl</u> standard<ul style="list-style-type: none">1/3 point for each of the <u>3 category</u> area according to ISPM 19List is publicly available online<ul style="list-style-type: none">1 = Yes and link is provided which has been verified0 = Contracting party responds no, or link is not workings despite after follow-up activities with the contracting partiesList reviewed or updated within the last year<ul style="list-style-type: none">1 = Yes0 = No



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Thank you

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