

Performance, Vision and Strategy (PVS) for



Technical
capacity



Institutional
development:
Organization,
human and
financial
capital



Institutional
development:
Interaction
and capacity
to regulate



Facilitation
of movement
of regulated
articles

National Plant Protection Organizations



Inter-American Institute for Cooperation on Agriculture

Inter-American Institute for Cooperation on Agriculture (IICA), 2015



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INTRODUCTION

The food supply, as well as the development and growth of many countries, depends on the performance of their agricultural economy, which is tied directly to the quality of their National Plant Protection Organizations (NPPOs). Experience has shown that NPPOs perform more effectively when they operate on science-based principles and with technical independence, and are strengthened when both the public and private sectors participate actively and invest in them.

In an effort to strengthen the NPPOs of its member countries, the Inter-American Institute for Cooperation on Agriculture (IICA) developed the Performance, Vision and Strategy (PVS) tool, which can help these organizations determine their level of performance, set priorities and facilitate strategic planning. It can also help them to arrive at a shared vision with the private sector, meet their obligations and take advantage of new opportunities.

The purpose of the International Plant Protection Convention (IPPC) is "to secure 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." In response to requests from its member countries, IICA provides assistance in strengthening their NPPOs, with a view to helping them achieve the objectives they have established vis-à-vis meeting commitments and responsibilities, exercising the rights guaranteed in the IPPC, operating more efficiently, competing successfully in national and international markets and helping to protect agricultural production and the environment. The IPPC and IICA, given their specific areas of competence, share an interest in assisting countries in their efforts to implement and comply with the Agreement on the Application of Sanitary and Phytosanitary Measures (SPS Agreement) of the World Trade Organization (WTO) and the standards, guidelines and recommendations of the IPPC.

Experience gained in working with the countries to improve their national services has shown that there was a need to create an instrument that

would facilitate dialogue with the different stakeholders in the public and private sectors, who share an interest in improving the capacity and effectiveness of their official services. In this regard, the PVS tool complements the IPPC Phytosanitary Capacity Evaluation (PCE) tool.

As international standards change and grow in number, both the PVS and the PCE must be revised and updated. In implementing the PVS tool, the public and private sectors work together in pursuit of a common vision and strategy. Both tools were designed to assist the countries in improving their NPPOs, identifying their strengths and weaknesses, and developing strategies to increase their capacity for action.

Traditionally, governments focused the actions of the NPPOs on protecting the domestic agricultural sector, with most of the resources being channeled to the control of pests that could damage primary production. NPPO programs began at the borders and looked inward. The credibility of the organizations in the eyes of stakeholders and other countries depended in large part on the effectiveness of their domestic programs and the actions taken to respond to emergencies caused by the entry of pests that could affect the economy or trade.

The ongoing need to protect domestic agriculture, as well as current international commitments, new opportunities offered by the markets and a stronger commitment to the environment, make the work of the NPPOs even more important. As a result, they must assume a broader mandate and vision, bring their services into line with the current context and provide new ones. This will require stronger partnerships and greater cooperation with stakeholders, other ministries and government institutions, as well as other countries and other NPPOs.

The SPS Agreement of the WTO reaffirms the right of its member countries to protect plant health and the health of animals and humans. It also demands that countries base their sanitary and phytosanitary measures on scientific principles and evidence or international standards, as a means of ensuring that international trade is not hindered by discrimination or unjustified restrictions.

Experience has shown that the success of the NPPOs with the greatest credibility in the eyes of their stakeholders, other countries and trading partners can be attributed to:

- The technical capacity to address current and new issues on the basis of scientific principles.
- Their organization and human and financial resources, which enable them to take effective action, attract resources and retain professionals with technical and leadership skills.
- Interaction with stakeholders and other organizations, as well as the capacity to regulate, which enable them to provide timely responses and implement joint programs and services.
- The ability to facilitate the movement of regulated articles within the country and to and from other countries in a harmonized and transparent manner.

These components are the bases for the design and application of the PVS tool.

Applying the PVS






To determine the current level of performance, achieve a shared vision, set priorities and facilitate strategic planning, a series of five to eight critical competencies have been defined for each of the fundamental components mentioned above. Qualitative levels of progress are provided for each critical competency. To graphically represent the level of cumulative progress within each critical competency, a pie chart accompanies the written explanation of each level, which introduces a quantitative element into the PVS methodology.

To enrich the process, space is provided to expand upon, put in context, justify or clarify the levels defined in the responses. Below is a hypothetical example for the “harmonization” competency, one of the 28 critical competencies defined in this PVS instrument.

1. Harmonization

The capacity and authority of the NPPO to ensure that national regulations in its area of responsibility are consistent with international standards, guidelines and recommendations.

Level of progress achieved:

-  The NPPO has no established process for familiarizing itself with international standards. National plant health regulations do not consider international standards, guidelines and recommendations.
-  The NPPO is aware of the existence of international standards, guidelines and recommendations, but has not established a process for identifying any inconsistencies between national regulations and international standards, guidelines and recommendations.
-  The NPPO periodically reviews national plant health regulations, for the purpose of harmonizing them with international standards, guidelines and recommendations.
-  The NPPO plays an active role in analyzing and offering comments on new international plant protection standards, guidelines and recommendations, and changes in existing ones, and ensures that they are compatible with the situation in the country.
-  The NPPO participates actively* and regularly at the international level in the formulation and review of plant health standards, guidelines and recommendations.

* A country can be active in the process of setting international standards without actively promoting changes in national regulations. What is important is to promote change at the national level.

Using the results

The PVS tool is easy to understand, flexible and simple to use. More than a diagnostic tool, it is a forward-looking process that may be adapted to reflect the level of interest and commitment of the official service and its stakeholders. The results can contribute to improving the performance of the NPPO over time.

The leadership of the public sector is essential for success, and if the process is to continue, the public and private sectors must work together as true partners.

The results of the application of the PVS tool can help an NPPO: a) to determine its overall level of performance in each of the four components; b) to characterize its performance relative to each of the critical competencies; c) to compare its performance with that of other plant protection services in the region or in other regions, in order to identify areas for cooperation or negotiation; d) to identify differences in the responses of participants, with a view to sharing points of view and promoting dialogue within the organization; e) to foster a common understanding in order to achieve higher levels of progress; f) to help in determining the costs and benefits of investing in NPPOs, and to secure assistance from financial and technical cooperation organizations; g) to provide a basis for gauging and monitoring its relative performance over time; in other words, to ensure its continual improvement; and h) to provide input for future evaluations agreed upon by the NPPO with other organizations.

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Fundamental components

I. I. Technical capacity

II. Institutional development:
Organization, human and financial
capital

III. Institutional development:
Interaction and capacity to regulate

IV. Facilitation of movement
of regulated articles

I. TECHNICAL CAPACITY



The capacity of the NPPO to establish and apply scientifically-based phytosanitary measures³

Critical competencies:

1. Surveillance
2. Diagnostic capacity
3. Pest risk analysis
4. Emerging issues and emergencies
5. Inspection
6. Phytosanitary certification
7. Technical innovation and access to information

1. Surveillance⁴

The capacity and authority of the NPPO to establish an official process⁵ for compiling and recording information on the presence⁶ or absence of pests, using surveys⁷, monitoring⁸ or other procedures.

Level of progress achieved

- The NPPO has not established an official surveillance or monitoring system and does not have access to data from other sources.
- The NPPO has access to data from other sources, some informal and some official, on the presence or absence of pests.
- The NPPO has information from official systems in some regions and on a few pests. It occasionally notifies trading partners, the RPPO⁹ and/or the IPPC.
- The NPPO has a general surveillance system¹⁰ which takes into consideration certain elements of pertinent ISPMs.¹¹ It periodically notifies trading partners, the RPPO and/or the IPPC.
- In addition, the NPPO conducts specific surveys.¹² It also has a procedure and routinely notifies trading partners, the RPPO and/or the IPPC, as well as a system for issuing public alerts.
- In addition, the NPPO has the capacity and authority to incorporate official information from systems other than its own into its surveillance system. The official surveillance system takes into consideration all pertinent ISPMs.

2. Diagnostic capacity

The capacity and authority of the NPPO to detect the presence of and identify pests.





Level of progress achieved

- The NPPO does not have its own system, or access to other systems,¹³ for identifying pests, and has no laboratory capacity for conducting diagnoses.
- The NPPO uses a procedure and laboratories authorized to identify and confirm the presence of certain regulated pests present in the country.
- The NPPO has a system in place for identifying regulated pests¹⁴ present in the country and certain absent pests of major concern, which includes procedures for taking samples and shipping them to authorized laboratories.
- In addition, the identification system includes an effective procedure for providing feedback and information to local and national authorities responsible for notification and to other interested parties.
- In addition, the NPPO has a system in place to promote the accreditation of official laboratories, on the basis of international standards.

3. Pest Risk Analysis (PRA)¹⁵ (identification of threat, evaluation, management and communication)

The capacity and authority of the NPPO to make decisions regarding regulated articles,¹⁶ based on internationally accepted and harmonized procedures.

Level of progress achieved

-  The NPPO has almost none of the information required to assess a risk scientifically and does not always have personnel trained in PRA.¹⁷ Any phytosanitary measures it has established are not based on scientific evidence.
-  In some cases, the NPPO has information of its own and access to a few other sources of data, as well as personnel who have some of the skills and qualifications needed to apply the PRA methodology in assessing scientifically the risk posed by pests,¹⁸ using the pertinent ISPMs. Not all phytosanitary measures it has established are based on scientific evidence.
-  The NPPO has a system that actively searches for and maintains relevant information and data, which it uses to conduct scientific assessments for certain pests or pathways,¹⁹ using primarily the guidelines established in the pertinent ISPMs. The NPPO assigns qualified personnel knowledgeable in the application of the PRA methodology to this activity. Most of the phytosanitary measures it has established are based on scientific evidence. Decision makers draw on the results of risk analysis when considering options for managing risks.
-  The NPPO has its own information and other sources of information that enable it to conduct science-based risk assessments for most regulated pests and pathways, applying internationally harmonized standards and procedures. The NPPO has sufficient qualified personnel with the required skills, or effective institutional partnerships, to conduct qualitative and qualitative-quantitative

pest risk assessments and, occasionally, quantitative assessments. It uses most of the ISPMs related to PRA.

- In addition, the NPPO is consistent in managing and communicating risk, in keeping with the ISPMs and other regulations of the IPPC and the terms of the SPS/WTO regarding notification. The NPPO has the technical capacity to conduct and analyze qualitative, qualitative-quantitative and quantitative pest risk assessments.

4. Emerging issues and emergencies

The capacity and authority of the NPPO to identify emerging phytosanitary issues in advance and to detect and respond quickly to outbreaks²⁰ of pests that threaten the phytosanitary condition of the country.

A. Level of progress achieved (emerging issues)

- The NPPO has no procedures in place for advance identification of emerging issues that could put at risk or benefit the phytosanitary condition of the country.
- The NPPO centralizes and summarizes national or international developments that could put at risk or benefit the phytosanitary condition of the country.
- In addition, the NPPO assesses the risks, costs or opportunities that exist vis-à-vis any emerging issues it identifies.
- In addition, the NPPO, in collaboration with other institutions and its stakeholders, implements actions aimed at prevention or control in response to a detrimental emerging issue, or other actions that could be beneficial, as a result of an identified emerging issue.
- In addition, the NPPO coordinates and implements actions with other countries intended to detect manage such issues as they emerge.





B. Level of progress achieved (response to emergencies)²¹

- The NPPO has neither the criteria nor the systems it needs to determine whether a phytosanitary emergency exists and, even when it does, it lacks the authority to declare an emergency and take appropriate measures.
- The NPPO has built certain criteria into a standard that enable it to identify possible pathways for a pest and determine whether a phytosanitary emergency exists, but lacks the technical, legal and administrative mechanism for declaring an emergency. The NPPO has neither the legal authority nor the financial support required to take measures in response to such emergencies.
- The NPPO has the technical, legal and administrative mechanism that enables it to determine whether or not a phytosanitary emergency exists and prevent it, but lacks the legal authority and the financial support²² it requires to take measures in response.
- In addition, the NPPO has the legal framework and the financial resources it requires to take action in response to such emergencies.
- In addition, the NPPO has a system that enables it to establish procedures for recognizing and re-establishing the phytosanitary condition²³ required to renew international trade.
- In addition, the NPPO has prepared corrective action plans²⁴ and emergency actions for outbreaks of pests (tested periodically in drills) which enable it to coordinate actions with other relevant organizations or institutions in response to phytosanitary emergencies.

5. Phytosanitary inspection²⁶ linked to foreign trade operations²⁷

The capacity and authority of the NPPO to determine the presence/absence of pests and/or compliance with phytosanitary procedures²⁸

A. Level of progress achieved (Attention at Border Inspection Posts – BIP²⁹– and procedures)

-  NPPO personnel are assigned to a few entry-exit points for regulated articles or international transit. No formal inspection procedures have been established.
-  The NPPO has designated entry/exit points and has assigned personnel to half of them to conduct phytosanitary inspections. Some basic procedures have been established formally. Inspectors frequently have difficulty gaining access to inspection facilities or regulated articles.
-  The NPPO has stationed inspectors in at least three fourths of the entry-exit points. Most of the basic procedures applied by inspectors have been established formally, and inspectors only occasionally have difficulty gaining access to inspection facilities or regulated articles. The authorities of the phytosanitary inspection system and the inspectors occasionally participate in the "risk management" stage of PRA, and are consulted from time to time regarding a phytosanitary measure being considered for adoption in case of importation, exportation and international transit.
-  The NPPO has stationed inspectors at all BIPs. The procedures applied by the inspectors have been established formally, and inspectors have no difficulty gaining access to inspection facilities or regulated articles. The authorities of the phytosanitary inspection system and the inspectors direct the "risk management" stage of PRA in order to identify a phytosanitary measure to be adopted in case of importation, exportation and international transit. Some procedures have been established formally and harmonized with those of other official agencies with responsibility at border crossings.

- In addition, the NPPO has developed and applies procedures for establishing and rehabilitating the BIPs and cargo terminals. The standards that underpin the inspection system are reviewed periodically and made available to anyone wishing to see them. All formally established procedures have been harmonized with those of other official agencies with responsibility at border crossings.






B. Levels of progress (personnel and equipment)

- Almost none of the personnel assigned by the NPPO to conduct inspections at BIPs are qualified professionals.
- ◐ More than half of the personnel assigned by the NPPO to conduct phytosanitary inspections at BIPs are not qualified professionals, and do not have the basic equipment and materials required to conduct sampling and inspection activities.
- ◑ More than three quarters of the personnel assigned by the NPPO to conduct phytosanitary inspections at most BIPs are qualified professionals and have some of the basic equipment and materials required to conduct sampling and inspection activities.
- ◒ All the inspectors assigned by the NPPO to BIPs are qualified professionals and have the basic equipment and materials required to conduct sampling and inspection activities, depending on the type of regulated article. The inspectors have the capacity to make an initial assessment of the identity of pests.
- The inspectors are aware of the ISPMs applicable to their area of competence and apply them appropriately. The BIPs have infrastructure, equipment, basic services, inspection materials and qualified personnel, and ensure the safety of personnel. The results of inspections are interpreted on the basis of technical criteria and as quickly as possible.

6. Phytosanitary certification³⁵

The capacity and authority to establish and apply phytosanitary procedures³⁶ for the purpose of issuing a phytosanitary certificate.³⁷

A. Level of progress achieved (authority and procedures)

-  The absolute legal authority of the NPPO to process and issue Phytosanitary Certificates (PC) is not documented. There is no organized system on which the issuance of PCs is based, responsibilities are assigned and formal procedures and records are established.
-  The NPPO has the legal authority required to process and issue PCs and, in some cases, has defined responsibilities and assigns them to specific personnel. Not all PCs are issued by public employees who have the necessary technical qualifications and are duly authorized by the NPPO. Basic records are kept and PCs are kept on file.
-  The authority of the NPPO to process and issue PCs is well established, and corresponding responsibilities have been formally assigned, with PCs being issued by public employees authorized by the NPPO. The NPPO has a system in which most of the phytosanitary procedures it applies are formally established. In some cases, the procedures applied to certified consignments³⁸ are recorded and the corresponding PCs are recorded and filed.
-  In addition, the NPPO's system has formally established phytosanitary procedures that are applied in processing and issuing PCs. The public employees authorized by the NPPO are qualified. All procedures applied to certified consignments are recorded. The NPPO has systematized electronically more than half of the records it keeps, and the system enables it to interact with the records of other institutions that operate at the borders. All PCs are recorded and filed. The PCs and the seals used have built-in security features.
-  In addition, the system makes it possible to trace phytosanitary certificates and related consignments. The NPPO uses state-of-the-art computer systems for record keeping. Security features are

applied to consignments once they have been certified and before being exported. The system is reviewed periodically and corrective measures are applied as needed.

B. Level of progress achieved (phytosanitary requirements and notifications³⁹ of non-compliance)

- PCs do not take into account the phytosanitary requirements established by the importing country. Notifications of non-compliance are not considered.
- PCs take into account the requirements of the importing country only when the exporter or his/her agent provides them. Notifications of non-compliance, as well as complaints regarding invalid and fraudulent certificates, are received, but are seldom analyzed and almost never investigated.
- The NPPO keeps up-to-date information on the phytosanitary requirements of importing countries and regulated articles for which PCs are most often issued. Notifications of non-compliance are received and some that come from major import markets are analyzed, but seldom investigated. On exceptional occasions, complaints regarding invalid and fraudulent certificates are investigated.
- The NPPO has a system that keeps up-to-date information on the phytosanitary requirements of a wide range of importing countries and regulated articles for which PCs are issued. Most notifications are investigated and, in some cases, corrective measures are taken. In some cases, complaints regarding invalid and fraudulent certificates are investigated.
- The NPPO operates a system for compiling and recording information on the phytosanitary requirements of importing countries and pests in exporting countries. All notifications of non-compliance and complaints regarding invalid and fraudulent certificates are investigated and acted upon.

7. Technical innovation and access to information

The capacity of the NPPO to update its services in light of the latest technical and scientific advances and of requirements derived from the standards and other decisions of the IPPC.

Level of progress achieved

- The NPPO has only informal access to information on technical innovations, through individuals or external media sources.
- The NPPO has access to information on technical innovations and international standards, through subscriptions to scientific journals and electronic media.
- In addition, the NPPO has a specific program for identifying technical innovations and assigns personnel to monitor the activities of relevant international organizations that could improve its work and procedures.
- In addition, the NPPO has specific resources and receives collaboration or contributions from its stakeholders to incorporate technical innovations and gain access to information.
- In addition, the NPPO has a specific budget, in addition to the collaboration and contributions of stakeholders, to create, evaluate, implement and share technical innovations throughout the organization.

II. INSTITUTIONAL DEVELOPMENT: ORGANIZATION, HUMAN AND FINANCIAL CAPITAL



Institutional and financial sustainability ensured by the organizational model, human talent and the availability of resources.






Critical competencies:

1. Organizational model
2. Human talent
3. Updating and training
4. Professionalization of the organization
5. Stability of policies and programs
6. Technical independence
7. Sources of funding
8. Capacity for investment and improvement
9. Phytosanitary emergency funds

1. Organizational model

Institutional development which contributes to the sustainability and strength of the NPPO.

Level of progress achieved

-  There is no area within the public institutional framework that has been formally designated as or assigned the functions of an NPPO. When necessary, an individual or office of the government structure assumes the role of NPPO.
-  An office, laboratory or other lower level entity within a ministry⁴⁴ has been formally designated and is recognized as an NPPO. It has a simple organization, without a structure per se, and no specific functions. Its authority and competencies as an NPPO have not been established.
-  A higher level area within a ministry has been formally designated and is recognized as an NPPO. It has achieved a level of development that enables it to define structure, hierarchies and specific functions. Its authority and competencies as an NPPO are very general in nature.
-  The NPPO has its own formal organization outside the ministry that has designated and recognizes it as such, but continues to be politically subordinate to the ministry. It has its own organizational development, with a level of structure suited to its roles and functions, as well as formally established specific hierarchies and functions. Its authority and competencies as an NPPO are formally defined with a sufficient level of detail.
-  The NPPO is an organization designated and recognized by the highest legislative body of the country, enjoys functional and political independence from other government bodies and is self-governed. It defines its own organizational model and is structured in accordance with its roles and functions. Its authority and competencies as an NPPO are clearly described and formally established.

2. Human talent

The capacity to carry out efficiently the functions of technical positions, measured in three ways: number of people, academic level⁴⁵ and qualifications or capacity of personnel.⁴⁶



A. Level of progress achieved (number of people in relation to technical competencies)

- The NPPO has less than 25% of the personnel required to perform technical tasks effectively.
- The NPPO has more than 25%, but less than 50%, of the personnel required to perform technical tasks effectively.
- The NPPO has more than 50%, but less than 75%, of the personnel required to perform technical tasks effectively.
- The NPPO has more than 75%, but less than 100%, of the personnel required to perform technical tasks effectively.
- The NPPO has all the personnel required to perform technical tasks effectively.






B. Level of progress achieved (academic level)

- It is estimated that less than 10% of the positions in the NPPO which require an academic degree are occupied by personnel with a university or comparable degree⁴⁷ recognized by the State and relevant to the position.
- It is estimated that more than 10%, but less than one fourth of the positions in the NPPO which require an academic degree are occupied by personnel with a university or comparable degree recognized by the State and relevant to the position.
- It is estimated that one fourth, but less than one half, of the positions in the NPPO which require an academic degree are occupied by

personnel with a university or comparable degree recognized by the State and relevant to the position. Furthermore, more than one fourth of the personnel who occupy higher level positions hold a graduate degree.

-  It is estimated that one half, but less than three fourths, of the positions in the NPPO which require an academic degree are occupied by personnel with a university or comparable university degree recognized by the State and relevant to the position. Furthermore, more than one half of the personnel who occupy higher level positions hold a graduate degree.
-  It is estimated that three fourths or more of the positions in the NPPO which require an academic degree are occupied by personnel with a university or comparable degree recognized by the State and relevant to the position. Furthermore, all personnel who occupy higher level positions hold a graduate degree.

C. Level of progress achieved (capacity of personnel in relation to requirements for positions)

-  It is estimated that less than 10% of the personnel of the NPPO are qualified⁴⁸ and trained⁴⁹ to perform effectively the tasks inherent to their positions.
-  It is estimated that more than 10%, but less than one fourth, of the personnel of the NPPO are qualified and trained to perform effectively the tasks inherent to their positions.
-  It is estimated that one fourth, but less than one half, of the personnel of the NPPO are qualified and trained to perform effectively the tasks inherent to their positions.
-  It is estimated that one half, but less than three quarters, of the personnel of the NPPO are qualified and trained to perform effectively the tasks inherent to their positions.
-  It is estimated that three fourths or more of the personnel of the NPPO are qualified and trained to perform effectively the tasks inherent to their positions.

3. Updating and training

The capacity of the NPPO to keep its personnel trained and up to date with relevant information and know-how, measured by the implementation of an annual training and updating plan based on needs, and by access to scientific and technical information.

A. Level of progress achieved (training and updating)

- The NPPO lacks plans for training and updating its personnel, but identifies training opportunities provided by other organizations.
- The NPPO has an annual training plan for its personnel, but does not update or fund it. The NPPO identifies and takes advantage of opportunities provided and funded by other organizations.
- The NPPO has a training plan for its personnel which is updated and funded, but is only partially implemented. The NPPO identifies and funds external training opportunities for its personnel.
- The NPPO has an annual training plan for its personnel which is updated and funded and fully implemented. Furthermore, the NPPO identifies and funds external training opportunities for its personnel based on the needs of the organization.
- The NPPO has an updated annual training plan for its personnel which is fully implemented and includes funding for external training opportunities for its personnel. The NPPO is in a position to offer training to other NPPOs.

B. Level of progress achieved (access to information)






- The NPPO has no access to up-to-date scientific and technical information.
- The NPPO has access to up-to-date scientific and technical information only occasionally.
- The NPPO has access to up- to-date scientific and technical information most of the time.
- The NPPO has access to up-to-date scientific and technical information at all times.
- Furthermore, the NPPO encourages and often requires its personnel to read certain technical and/or scientific materials, and to participate in national, regional and international events which provide access to information.



4. Professionalization of the organization

The capacity and authority of the NPPO to ensure that appropriate job specifications exist for the different technical and administrative positions within the organization.

Level of progress achieved

-  There are no terms of reference, procedures manuals or operating guidelines that describe the work of technical personnel. No procedures have been described or formally established to fill the technical and administrative positions.
-  There are terms of reference and procedure manuals that describe the work to be performed in some technical positions, but there are no operating procedures that describe the technical tasks to be performed. Procedures have been described and in some cases formally established to fill certain technical positions.
-  There are terms of reference and procedure manuals for most of the technical, administrative and management positions, which are used most often in the administration and technical operation of the NPPO. Procedures have been described and formally established to fill most technical positions.
-  The NPPO has established terms of reference for all technical, administrative and higher level positions. In some cases, they are not considered in selecting personnel. The procedures described and formally established for these positions are applied in filling almost all vacancies.
-  There are terms of reference and procedures manual for all technical, administrative and management positions, which are used most often in the administration and technical operation of the NPPO. Specific procedures have been formally adopted that describe how vacancies are to be filled, and are applied in all cases.

5. Stability of policies and programs

The capacity and authority of the NPPO to implement sustainable policies and programs that will enable it to systematically improve its activities and meet new demands, with independence from political changes.

Level of progress achieved

- The NPPO is frequently reorganized at all levels, or its policies and programs are changed regularly.
- The NPPO is frequently reorganized at certain levels, and some of its policies and programs are changed regularly. Staff turnover levels are high, affecting more than half of the personnel every two years or less.
- Only political positions in the NPPO are reorganized each time a political change takes place, but its policies and programs tend to be stable. Staff turnover affects less than half of the personnel every two years or less.
- Only political positions in the NPPO are reorganized each time a political change takes place, but its policies and programs tend to be stable. Staff turnover affects only higher level positions.
- The NPPO is stable at the technical level. Personnel changes are almost always based on professional merit and successful fulfillment of training requirements.

6. Technical independence

The capacity and authority of the NPPO to carry out its duties with autonomy and free from political, institutional, economic or other interference that may affect its technical and scientific decisions, measured on the basis of two criteria: political positions and technical bases for decisions.

A. Level of progress achieved (political positions)

- The head of the NPPO and the occupants of all other senior positions are political appointees.
- The head of the NPPO and the occupants of senior or high-level positions are political appointees.
- The head of the NPPO is the only political appointee.
- The appointment of officials to senior positions is based on merit. There are no political appointees in the NPPO. All positions are filled on the basis of the merits of candidates.

B. Level of progress achieved (basis for decisions)

- Technical decisions made by the NPPO are almost always based on political considerations. No procedures or guidelines exist to underpin decision making.
- Technical decisions take into account scientific principles, but are often changed on the basis of political or other criteria. Predetermined procedures have been established for some stages of decision making.
- Technical decisions are based on scientific principles, but may be subject to review or modification due to political or other criteria, and usually arise from a pre-established administrative procedure.
- Technical decisions are always based on scientific principles, are backed at all stages of the decision-making process by an administrative procedure and are not modified in response to political or other considerations.

7. Sources of funding

The capacity of the NPPO to secure financial resources for its continued and sustainable operation, free of political or stakeholder pressure.

Level of progress achieved

- Funding for the NPPO is not available or is not clearly defined. The organization's budget competes with those of other state institutions and is totally dependent on resources from the Treasury or Ministry of Finance.
- The NPPO is funded with a specific allocation from the national budget, but does not always have a budget that specifies how the resources are to be executed.
- The NPPO is funded with a specific allocation from the national budget and has a general operating budget. Additional income is generated via user fees charged for certain services, which cannot be used by the NPPO.
- The NPPO is funded with a specific allocation from the national budget and with user fees charged for certain services (e.g., inspection, registration and certification). The budget of the NPPO is quite detailed.
- In addition, the NPPO has a detailed budget at the level of its different areas, with specific responsibilities for each area where the Director is qualified to define how the budget is to be executed. It also receives funds from users to carry out specific programs.

8. Capacity for investment and improvement

The capacity of the NPPO to secure additional resources over time to be used in making sustained improvements throughout the organization. The use of such resources is not subject to political pressures and/or pressure from stakeholders.

Level of progress achieved

- There are no systematic measures in place to secure resources for or invest in the overall structure of the NPPO.
- The NPPO prepares and presents for consideration proposed structural improvements and secures investment funds via cooperation agreements or from donor agencies.
- The NPPO secures substantial resources over time for structural changes via special allocations from the Treasury or Ministry of Finance or from special budget items.
- In addition, the NPPO receives resources and capital investments from the private sector for improvements and programs planned jointly, for which it has established the necessary procedures.

9. Phytosanitary emergency fund

The capacity of the NPPO to access a special fund established to address phytosanitary emergencies and emerging issues, measured in terms of the ease with which contingency resources may be accessed.

Level of progress achieved

- No contingency fund exists and no provisions have been made for securing such resources, which must be approved by law or presidential decree.
- A contingency fund exists and resources are approved by law or presidential decree.
- A contingency fund has been established with limited resources. Additional resources must be approved by law or presidential decree.
- A contingency fund has been established with what are considered sufficient resources, but additional resources must be approved at the ministry level.
- A contingency fund has been established with what are considered sufficient resources. The fund is at the disposal of the NPPO when needed and includes additional resources generated by user fees and by arrangements that call for specific contributions from the private sector.

III. INSTITUTIONAL DEVELOPMENT: INTERACTION⁵³ AND CAPACITY TO REGULATE



The capacity of the NPPO to work closely with the private sector in implementing programs and activities.

Critical competencies:

1. Establishment of phytosanitary measures
2. Compliance with phytosanitary measures
3. Information and communication
4. Official representation
5. Authorization
6. Capacity to meet stakeholder needs

1. Establishment of phytosanitary measures

The capacity and authority of the NPPO to formulate and recommend for approval national legislation, and to establish regulations for processes and products in its area of competence, as well as the coverage of such regulations.

A. Level of progress achieved (participation in the legislative and regulatory process related to plant health)

- The NPPO does not have the authority to propose national legislation or regulations on plant protection.
- The NPPO has the technical capacity to promote the formulation of proposed national legislation and regulations for economically important crops.
- The NPPO has the technical capacity to promote the formulation of proposed national legislation and the authority to establish regulations for economically important crops.
- The NPPO, based on national legislation, formulates and submits proposed legislation for approval and formulates and adopts specific regulations, taking into account the opinions of stakeholders and international standards, guidelines and recommendations.

B. Level of progress achieved (coverage of plant protection regulations and oversight of compliance)

- Phytosanitary laws and regulations do not authorize the NPPO to regulate and supervise compliance throughout the entire production chain.
- Phytosanitary laws and regulations authorize the NPPO to regulate and supervise certain plants and plant products for export.
- Phytosanitary laws and regulations authorize the NPPO to regulate and supervise certain plants and plant products for use in certain local markets. The NPPO is also authorized to regulate the importation of certain plants and plant products.
- Phytosanitary laws and regulations authorize the NPPO to regulate and supervise regulated articles and their production, regardless of volume of production or market of destination. The NPPO is also authorized to regulate the importation of any regulated article.



2. Compliance with phytosanitary measures

The capacity and authority of the NPPO to ensure that its stakeholders comply with current regulations.







Level of progress achieved

- The NPPO has no programs in place to ensure stakeholders comply with relevant regulations.
- The NPPO implements programs to verify compliance with regulations relating to selected products and/or processes, but only reports cases of non-compliance.
- The NPPO implements supervision programs, which consist of verifying compliance with regulations relating to selected products and processes, and, if necessary, imposes sanctions for non-compliance.
- The NPPO implements supervision programs, which consist of verifying compliance with regulations relating to all products and processes in its area of competence and, if necessary, imposes sanctions for non-compliance.
- In addition, the NPPO conducts audits of the inspection and verification programs it implements to ensure compliance with relevant regulations.

3. Information and communication

The capacity of the NPPO to inform stakeholders, effectively and in a timely manner, of its activities, programs and developments of interest in the area of plant protection and plant health.

Level of progress achieved

-  The NPPO has no information and communication mechanisms in place to facilitate dialogue with stakeholders, public institutions and other interested parties.
-  The NPPO has information stakeholders it can consult to enquire about standards, regulations and notifications. It also has channels for communication with those State institutions and stakeholders it works most closely with.
-  The NPPO routinely publishes the results of its activities and programs, as well as information on developments of interest in the area plant protection. The NPPO promotes and engages in dialogue with stakeholders regarding proposed, new and existing regulations.
-  In addition, the NPPO distributes to the public, over the Internet, up-to-date information on its programs, ongoing activities, developments of interest in the area of plant protection and standards under study and currently in force, and promotes dialogue with stakeholders in forums and meetings.
-  In addition, the NPPO has a formally established procedure for requesting comments from stakeholders on proposed standards and other relevant national issues, with a view to defining, in consultation with stakeholders, what the strategic issues in the area of plant protection are.
-  In addition, the NPPO reports regularly to the national system and to the phytosanitary measures authorities or focal points regarding changes in national standards or regulations, in order to ensure that the WTO, IPPC and trading partners are properly notified, as required under the SPS/WTO and IPPC.

4. Official representation

The capacity of the NPPO to regularly and actively participate in, continually coordinate with and follow up on the meetings of regional and international bodies such as the IPPC and the RPPO.

Level of progress achieved

- The NPPO does not participate in or follow up on the meetings of the IPPC or the RPPO.
- The NPPO participates sporadically and passively in the meetings of the IPPC and the RPPO. No process exists to ensure the participation of a qualified member of the personnel.
- The NPPO participates sporadically and passively in the meetings of the IPPC, but actively in the meetings of the RPPO. The designation of an official to participate in these meeting is seldom based on his/her qualifications.
- The NPPO takes into consideration the opinions of its stakeholders and participates periodically and actively in the meetings of the IPPC and the RPPO. Most of the time, the designation of an official is based on his/her qualifications, and the designation frequently extends to subsequent meetings.
- The NPPO defines strategic issues, provides leadership and coordinates topic selection with the delegates that represent the national agenda in the meetings of the SPS Committee of the WTO, of the RPPO and of the IPPC. The designation of an official is based on his/her qualifications, and the designation extends to subsequent meetings.

5. Authorization

The capacity and authority of the NPPO to establish procedures for authorizing third parties to implement specific activities.

Level of progress achieved

- The NPPO has neither the authority nor the capacity to authorize third parties.
- The NPPO is authorized to authorize third parties, but not to accredit specific activities, and has defined no procedures for doing so.
- The NPPO has a program, with established procedures, for authorizing third parties and for specific services.
- In addition, the NPPO can develop and implement authorization programs for new services and has defined procedures for doing so.
- In addition, the NPPO conducts audits of its authorization programs in order to ensure continued trust in the system.

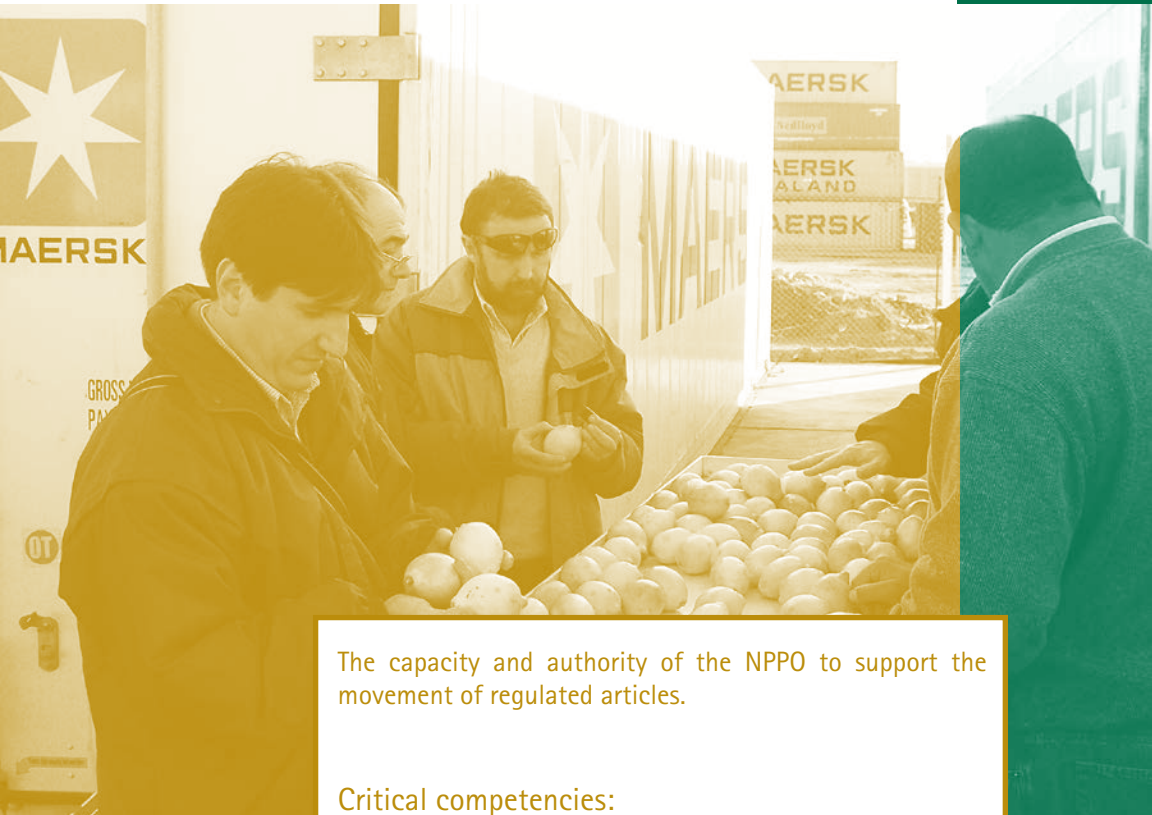
6. Capacity to meet stakeholder needs

The capacity of the NPPO to formulate, finance, implement and update programs with stakeholders as priorities and opportunities change.

Level of progress achieved

- The NPPO does not seek the participation of stakeholders in the analysis of changes in priorities and opportunities, and implements no joint programs with them.
- The NPPO maintains an informal dialogue with stakeholders regarding its existing capacity and changes in priorities and opportunities; there are some joint programs, but they are outdated and unfunded.
- The NPPO holds meetings and forums with stakeholders to define changes in priorities and opportunities. It establishes joint programs that are kept up to date and funded, but implemented only partially.
- In addition, the NPPO and stakeholders define jointly the resources, tasks and responsibilities of potential programs and services in response to changing priorities and opportunities, which are updated, financed and fully implemented.
- In addition, the NPPO implements educational and training programs for producers and its personnel in collaboration with the private sector.

IV. FACILITATION OF THE MOVEMENT OF REGULATED ARTICLES



The capacity and authority of the NPPO to support the movement of regulated articles.

Critical competencies:

1. Harmonization
2. Equivalence
3. Transparency
4. Regionalization

1. Harmonization⁵⁷

The capacity and authority of the NPPO to ensure that national regulations in its area of responsibility are consistent with international standards, guidelines and recommendations.

Level of progress achieved

-  The NPPO has no established process for familiarizing itself with international standards. National plant health regulations do not consider international standards, guidelines and recommendations.
-  The NPPO is aware of the existence of international standards, guidelines and recommendations, but has not established a process for identifying inconsistencies and no conformities between national regulations and the international standards, guidelines and recommendations.
-  The NPPO periodically reviews national plant health regulations as a means of harmonizing them with the international standards, guidelines and recommendations.
-  The NPPO plays an active role in analyzing and offering comments on new international plant protection standards, guidelines and recommendations, and amendments to existing ones, and ensures that they are compatible with the situation in the country.
-  The NPPO participates actively and regularly at the international level in the formulation and review of plant health standards, guidelines and recommendations.

2. Equivalence

The capacity and authority of the NPPO to negotiate, implement and maintain equivalence agreements and equivalence of measures⁵⁹ with other countries.

A. Level of progress achieved (equivalence)

- The NPPO lacks authority and capacity to negotiate and approve equivalence agreements with other countries.
- The NPPO has the authority to negotiate and approve equivalence agreements with other countries.
- In addition, the NPPO evaluates and proposes equivalence agreements with other countries relating to specific products and processes.
- In addition, the NPPO actively seeks the formalization of equivalence agreements with other countries relating to specific products and processes.
- In addition, the NPPO has a program that incorporates input from stakeholders and developments in terms of national and international standards, guidelines and recommendations and, based on same, promotes specific equivalence agreements with other countries.

B. Level of progress achieved (equivalence of measures)

- The NPPO has neither the technical capacity nor the resources needed to objectively demonstrate the equivalence of measures.
- The NPPO can objectively demonstrate the equivalence of some measures, but has neither the authority nor the capacity to negotiate and approve them with trading partners.
- The NPPO has financial resources and can demonstrate the equivalence of some its measures based on International Standards for Phytosanitary Measures (ISPMs),⁶⁰ and has the authority to negotiate and approve equivalence of measures with other countries. In those cases when the NPPO approves equivalencies with other countries, it conducts sporadic audits.
- In addition, The NPPO actively seeks the internal development of equivalence of measures with other countries for new products and processes. In those cases in which it accepts equivalencies with other countries, periodic audits are a pre-requisite.
- In addition, the NPPO has a program that incorporates input from stakeholders and developments in terms of national and international standards, guidelines and recommendations and, based on the same, promotes equivalence of measures with other countries.

3. Transparency

The capacity and authority of the NPPO to notify the IPPC and the SPS Committee of the WTO of its national regulations and phytosanitary situation, in keeping with the guidelines established by those organizations.

Level of progress achieved

- The NPPO lacks the authority and capacity to notify the IPPC of newly implemented import regulations and/or changes in the country's phytosanitary situation.
- The NPPO has the authority and capacity to notify the IPPC and trading partners regarding newly implemented import regulations and/or changes in the country's phytosanitary situation, but does so only sporadically.
- In addition, the NPPO notifies the IPPC, stakeholders and, through the national SPS notification mechanism, the SPS Committee of the WTO and trading partners, of developments regarding its import regulations and phytosanitary situation.
- In addition, the NPPO has procedures in place and personnel trained for implementing its policy on transparency.
- In addition, the NPPO, in collaboration with other State institutions, conducts audits of its policy on transparency.







4. Regionalization

The capacity and authority of the NPPO to establish, maintain and recognize pest free areas⁶¹ or areas of low pest prevalence⁶² in accordance with the standards of the IPPC.⁶³

A. Level of progress achieved (authority and administrative procedures)

- The NPPO lacks the authority to define, establish, maintain and recognize pest free areas or areas of low pest prevalence.
 - The NPPO has the authority to establish pest free areas or areas of low pest prevalence in its territory, but lacks procedures that guarantee the technical soundness of decisions and take into consideration specific ISPMs.⁶⁴
 - The NPPO has the authority to establish and recognize pest free areas or areas of low pest prevalence in its territory. It has procedures in place that guarantee the technical soundness of decisions and take into consideration the ISPMs, which are applied only in some cases.
 - In addition, the NPPO has the authority to recognize pest free areas or areas of low pest prevalence in the territories of its trading partners. It also has the authority to ask trading partners and other organizations to recognize pest free areas or areas of low pest prevalence in its territories, and to comply with the procedures required to obtain such recognition.
 - The NPPO only establishes pest free areas or areas of low pest prevalence in its territory and in the territories of its trading partners as a result of the application of procedures that have been formally established. The NPPO has a verification program in place which is implemented irregularly and does not have its own funding.
 - In addition, the NPPO has a verification program in place which is implemented regularly and has its own funding.
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B. Level of progress achieved (capacity and technical procedures)

-  The NPPO does not have a surveillance system which would enable it to make the decision to establish pest free areas or areas of low pest prevalence.
 -  The NPPO has a general or specific surveillance system which generates the information needed to define and establish pest free areas or areas of low pest prevalence. The information in the system has not been systematized. There are no administrative measures in place to impose restrictions on the movement of regulated articles.
 -  As part of its procedures to establish and recognize pest free areas or areas of low pest prevalence, the NPPO has a surveillance system and administrative measures that restrict the movement of regulated articles, which are defined on the basis of local information on the biology of the pest, the characteristics of the area and the presence of hosts, determined through the evaluation of risks. The data generated by the surveillance system and controls placed on the access of regulated articles into the area have been systematized.
 -  In addition, the NPPO uses the surveillance data and data on the movement of regulated articles to improve the measures it applies in the pest free areas it establishes, maintains or recognizes. The NPPO has described the technical procedures required for each component of the pest free areas or areas of low pest prevalence, as well as the roles and responsibilities of the NPPO personnel involved, producers, merchants and the population in general.
 -  In addition, the NPPO has defined operating plans for each component intended to establish or maintain a pest free area or area of low pest prevalence in its territory, and requires such plans from their trading partners in cases of recognition. The NPPO has a plan for corrective action for each one of the pest free areas or areas of low pest prevalence in its territory and requires such plans from their trading partners in cases of recognition.
 -  In addition, the NPPO has adopted technical and administrative procedures for suspending and reinstating the condition of pest free areas or areas of low pest prevalence in its territory and in those it recognizes in the territory of its trading partners.
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References

- 1 An official service established by a State to discharge the functions specified in the International Plant Protection Convention (IPPC) (FAO, 1990; formerly National plant protection organization).
- 2 Any species, strain or biotype of plant, animal or pathogenic agent injurious to plants or plant products. Note: In the IPPC, the term plant pest is used on occasion instead of pest (FAO 1990; revised FAO, 1995; IPPC, 1997; revised SPSC, 2012).
- 3 Agreed interpretation: Any legislation, regulation or official procedure having the purpose to prevent the introduction and/or spread of pests or to limit the economic impact of regulated non-quarantine pests (FAO, 1995; revised IPPC, 1997; ICPM, 2002; clarification, 2005). ISPM 5. Glossary of phytosanitary terms. 2012.
- 4 Surveillance: An official process which collects and records data on pest occurrence or absence by survey, monitoring or other procedures (ICPM, 1996). ISPM 5. Glossary of phytosanitary terms. IPPC. 2012.
- 5 Established, authorized or performed by a National Plant Protection Organization (FAO, 1990). ISPM5. Glossary of phytosanitary terms. IPPC. 2012.
- 6 The presence in an area of a pest officially recognized to be indigenous or introduced and not officially reported to have been eradicated (FAO, 1990; revised FAO, 1995; ISPM 17, 2002; formerly occur). ISPM 5. Glossary of phytosanitary terms. IPPC. 2012.
- 7 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). ISPM 5. Glossary of phytosanitary terms. IPPC. 2012.
- 8 An official ongoing process to verify phytosanitary situations (CEPM 1996; formerly verification). ISPM 5. Glossary of phytosanitary terms. IPPC. 2012.
- 9 Regional Plant Protection Organization. FAO 1990, revised ICPM 2001. IPPC. ISPM 5. Glossary of phytosanitary terms. 2012.
- 10 A process whereby information on particular pests which are of concern for an area is gathered from many sources, wherever it is

- available and provided for use by the NPPO. ISPM 6 Guidelines for Surveillance. 1997. IPPC. 2012.
- 11 International Standard for Phytosanitary Measures: An international standard adopted by the Conference of FAO, the Interim Commission on Phytosanitary Measures or the Commission on Phytosanitary Measures, established under the IPPC (CEPM, 1996; revised CEPM, 1999). ISPM 5. Glossary of phytosanitary terms. IPPC. 2012. IPPC.
 - 12 Procedures by which NPPOs obtain information on pests of concern on specific sites in an area over a defined period of time. ISPM 6 Guidelines for Surveillance 1997. IPPC. 2012. Examples: surveillance programs for a specific pest in a specific area, pest control programs, post-entry quarantine, nursery inspection and others.
 - 13 Does not belong to, but is authorized by the NPPO.
 - 14 A quarantine pest or a regulated non-quarantine pest (IPPC, 1997). ISPM 5. Glossary of phytosanitary terms. IPPC. 2012.
 - 15 Agreed interpretation: 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. (FAO, 1995; revised IPPC, 1997; ISPM 2, 2007). ISPM 5. Glossary of phytosanitary terms. IPPC. 2012.
 - 16 Any plant, plant product, storage place, packaging, conveyance, container, soil and any other organism, object or material capable of harboring or spreading pests, deemed to require phytosanitary measures, particularly where international transportation is involved. (FAO, 1990; revised FAO, 1995; IPPC, 1997; clarification, 2005). ISPM 5. Glossary of phytosanitary terms. IPPC. 2012.
 - 17 Pest Risk Analysis.
 - 18 For quarantine pests: Evaluation of the probability of the introduction and spread of a pest and the magnitude of the associated potential economic consequences. (See Supplement No. 2 of the Glossary) (FAO, 1995; revised ISPM 11, 2001; ISPM 2, 2007). For regulated non-quarantine pests: The probability that a pest in plants for planting affects the intended use of those plants with an economically unacceptable impact (See Supplement No. 2 of the Glossary) (ISPM 2, 2007). ISPM 5. Glossary of phytosanitary terms. IPPC. 2012.
 - 19 Any means that allows the entry or spread of a pest. (FAO, 1990; revised FAO, 1995). ISPM 5. Glossary of phytosanitary terms. IPPC. 2012.

- 20 A recently detected pest population, including an incursion, or a sudden significant increase of an established pest population in an area. (FAO, 1995; revised ICPM, 2003). ISPM 5. Glossary of phytosanitary terms. IPPC. 2012.
- 21 Capacity and authority to respond rapidly to a phytosanitary emergency. Includes: prevention, detection, response, re-establishment and evaluation.
- 22 To have legal authority and financial support means that the NPPO has a legal framework and the financial resources needed to take immediate action.
- 23 Re-establishment of the condition of the pest (in an area): capacity and authority to establish the production cycle and trade relations.
- 24 A documented plan for phytosanitary actions to be implemented in an area officially delimited for phytosanitary purposes if a pest is detected or a specific pest level is exceeded, or in the case of faulty application of officially established procedures (SPSC, 2009). ISPM 5. Glossary of phytosanitary terms. IPPC. 2012.
- 25 A prompt phytosanitary action undertaken in a new or unexpected phytosanitary situation. (ICPM, 2001). ISPM 5. Glossary of phytosanitary terms. IPPC. 2012.
- 26 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). ISPM 5. Glossary of phytosanitary terms. IPPC. 2012.
- 27 Commercial import, export and transit operations. Other types of inspections are described in the "Surveillance" critical competence, conducted using the systems and surveys mentioned there.
- 28 Official rule to prevent the introduction and/or spread of quarantine pests, or to limit the economic impact of regulated non-quarantine pests, including the establishment of procedures for phytosanitary certification. (See Supplement N.º 2 of the Glossary.) (FAO, 1990; revised FAO, 1995; CEPMP, 1999; revised ICPM, 2001). ISPM 5. Glossary of phytosanitary terms. IPPC. 2012.
- 29 Border inspection point: a place authorized by the NPPO and located at an entry-exit point where inspection procedures are applied to consignments of plants and products, as well as other regulated articles destined to import and export, as well as to control international transit. This place must provide the

- conditions required to apply additional phytosanitary measures. COSAVE. Standard 2.12. "Requirements for the authorization of border inspection points (BIP) for regulated articles" <http://www.cosave.org/sites/default/files/erpfs>. 24 August 2013.
- 30 In this case, reference is to the procedures established in the specific requirements of ISPM 23: examination of documents, verification of identity and integrity and visual examination. <https://www.ippc.int/core-activities/standards-setting/ispms>. 24 August 2013.
- 31 Airport, seaport, river port or land border point officially designated for the import and export of consignments, and the entry or exit of international transit and passengers. COSAVE. Standard 2.12. "Requirements for the authorization of border inspection points (BIP) for regulated articles" <http://www.cosave.org/sites/default/files/erpfs>. 24 August 2013.
- 32 Person authorized by a National Plant Protection Organization to discharge its functions (FAO, 1990). ISPM 5. Glossary of phytosanitary terms. IPPC. 2012.
- 33 Pest risk management (for quarantine pests): Evaluation and selection of options to reduce the risk of introduction and spread of a pest (FAO, 1995; revised ISPM 11, 2001). Pest risk management (for regulated non-quarantine pests): Evaluation and selection of options to reduce the risk that a pest in plants for planting causes an economically unacceptable impact on the intended use of those plants. (See Supplement N° 2 of the Glossary) (ICPM, 2005). ISPM 5. Glossary of phytosanitary terms. IPPC. 2012.
- 34 COSAVE. Standard 2.12. "Requirements for the authorization of border inspection points (BIP) for regulated articles" http://www.cosave.org/sites/default/files/erpfs/ANEXO%20V%20Resolucion%20200%2076%2012%20CD%20ERPF%20PIF_1.pdf. 24 August 2013.
- 35 Use of phytosanitary procedures leading to the issue of a Phytosanitary Certificate (FAO, 1990). ISPM 5. Glossary of phytosanitary terms. IPPC. 2012.
- 36 Any official method for applying phytosanitary measures, including, inspection, testing, surveillance or treatment relating to regulated pests (FAO, 1990; revised FAO, 1995; CEPM, 1999; ICPM, 2001; ICPM, 2005).
- 37 An official paper document or an official electronic equivalent patterned after the model certificates of the IPPC which states that

a consignment is in compliance with phytosanitary requirements for imports (FAO, 1990; revised SPSC, 2012). ISPM 5. Glossary of phytosanitary terms. IPPC. 2012.

- 38 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). ISPM 5. Glossary of phytosanitary terms. IPPC. 2012.
- 39 See ISPM 13. Guidelines for the notification of non-compliance and emergency action. 2001
- 40 See ISPM 12. Phytosanitary Certificates. (2011).
- 41 Ibid.
- 42 Refers to information sources to which the NPPO has not directly subscribed, such as scientific publications and journals.
- 43 Includes consulting publications and news on the web sites of the IPPC, as well as regular participation in international forums.
- 44 Generally the Ministry or Agriculture or a similar entity.
- 45 Not all professional positions require a university degree. However, the percentage of university degrees serves as an indicator of professional excellence within the NPPO.
- 46 Not all the NPPOs have sufficient professionals for the tasks required; therefore, the percentage of qualified and trained professionals is an indicator of the excellence of the NPPO.
- 47 Relevant university or comparable degree: an appropriate degree for the position occupied.
- 48 Development of skills commensurate with the requirements of the position.
- 49 Knowledge commensurate with the requirements of the position.
- 50 Partially implemented refers to implementation for only certain personnel, or for all personnel but only partially.
- 51 Staff turnover refers to changes in the roster of personnel who occupy different positions, not included among the professional or administrative positions of the organization.
- 52 A stable organization has maintained its same structure and basic functions for five years or more.
- 53 Refers to how the NPPO interacts with public institutions, regional and international organizations and stakeholders.
- 54 In most cases, every six months or less.
- 55 Passive participation refers to the fact that the NPPO attends but barely contributes to the meetings.

- 56 Active participation refers to the NPPO's preparing in advance of and contributing to meetings. This includes exploring common solutions and submitting proposals for approval.
- 57 The establishment, recognition and application by different countries of phytosanitary measures based on common standards [FAO, 1995; revised CEPM, 1999; definition based on the World Trade Organization Agreement on the Application of Sanitary and Phytosanitary Measures. ISPM 5. Glossary of phytosanitary terms. IPPC. 2012.
- 58 A country can be active in the process of setting international standards without actively promoting changes in national regulations. What is important is to promote change at the national level.
- 59 Equivalence of measures: The situation where, for a specified pest risk, different phytosanitary measures achieve a contracting party's appropriate level of protection [FAO, 1995; revised CEPM, 1999; based on the World Trade Organization Agreement on the Application of Sanitary and Phytosanitary Measures. ISPM ° 24, 2005).
- 60 ISPM 24:2005
- 61 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). ISPM 5. Glossary of phytosanitary terms. IPPC. 2012.
- 62 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; clarification, 2005; formerly areas of scarce pest prevalence. ISPM 5. Glossary of phytosanitary terms. IPPC. 2012.
- 63 Through December 2013: ISPM 4:1995; ISPM 22:2005; ISPM 26:2006; ISPM 30:2008;
- 64 ISPM 4:1995; ISPM 22:2005; ISPM 26:2006; ISPM 30:2008.

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