



NAPPO Regional Standards for Phytosanitary Measures (RSPM)

RSPM No. 6

Guidelines for the development and amendment of NAPPO Standards for Phytosanitary Measures

The Secretariat of the North American Plant Protection Organization
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Review

NAPPO Regional Standards for Phytosanitary Measures are subject to periodic review and amendment. The next review date for this NAPPO standard is 2013. This Standard was last reviewed in 2008. A review of any NAPPO Standard may be initiated at any time upon the request of a NAPPO member country.

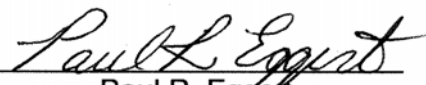
Approval

This Standard was updated and approved by the North American Plant Protection Organization (NAPPO) Executive Committee (EC) on October 20, 2008 and is effective from this date.

Approved by:



Greg Stubbings
Executive Committee Member
Canada



Paul R. Eggert
Executive Committee Member
United States



Javier Trujillo Arriaga
Executive Committee Member
Mexico

Implementation

Implementation Plans (IP) are not required for this standard.

Amendment Record

Amendments to this Standard will be dated and filed with the NAPPO Secretariat.

Distribution

This standard is distributed by the NAPPO Secretariat, to the Industry Advisory Group and Sustaining Associate Members, the International Plant Protection Convention (IPCC) Secretariat, and to other Regional Plant Protection Organizations (RPPOs).

Introduction

Scope

This Standard outlines the process and the format for the development, approval, amendment and superseding of NAPPO Regional Standards for Phytosanitary Measures. It also provides guidelines for the development of Implementation Plans for these standards.

References

Glossary of Phytosanitary Terms, 2008, ISPM No. 5, FAO, Rome.
NAPPO Glossary of Phytosanitary Terms, 2008, NAPPO RSPM No. 5.
IPPC Procedural Manual, 2007. FAO, Rome.

Definitions, Abbreviations and Acronyms

Executive Committee (EC)	The principal persons or designated alternate, representing the plant protection organization within each of the NAPPO countries (NAPPO)
Executive Director (ED)	The person appointed by the Executive Committee who is responsible for the financial and administrative operations of NAPPO and direction of the secretariat, panels and the working group (NAPPO)
Industry Advisory Group (IAG)	The group composed of one producer representative in each NAPPO country (NAPPO)
Panel	A designated group charged with developing information and recommendations in its specific area of expertise (NAPPO)
Secretariat	The office consisting of the NAPPO Executive Director, the Executive Assistant, the Technical Director, the Translator/Interpreter and such other staff required to achieve the NAPPO objectives as described in the NAPPO Constitution and By-Laws and the annual work plan (NAPPO)
Standard	Document, established by consensus and approved by a recognized body, that provides, for common and repeated use, rules, guidelines or characteristics for activities or their results, aimed at the achievement of the optimum degree of order in a given context (FAO)
Standards Panel	The panel responsible for oversight of standard setting activities within NAPPO (NAPPO)

Sustaining Associate Member (SAM)	Individuals or organizations that make financial contributions to support NAPPO activities (NAPPO)
Technical Advisory Group (TAG)	A designated group charged with assisting a panel in a specific area of expertise (NAPPO)
Working Group (WG)	The group consisting of representatives designated by each of the Executive Committee members from the three NAPPO countries, chaired by the Executive Director, and responsible to ensure the continuity of NAPPO activities between annual meetings (NAPPO)

Outline of Requirements

These guidelines describe the steps involved in the development of NAPPO Standards from their initiation to final approval. They also provide the process for amending and superseding existing standards. Specific guidance is given regarding the appropriate content of the various sections of a standard.

Requirements

1. Process for Development of NAPPO Standards for Phytosanitary Measures

1.1 Initiation of an assignment to develop a standard

The NAPPO Executive Committee (EC), the Working Group (WG), panels, the IAG, SAMs, or other groups or individuals may identify to the Executive Director (ED) the need to develop a NAPPO Standard for Phytosanitary Measures. The EC may request a written justification that would allow further consideration of the issue prior to deciding that a standard is necessary or appropriate. Once the EC agrees that a standard should be developed, the EC designates an existing panel or assembles a new panel to draft the standard.

The ED advises the appropriate panel and/or TAG members (“drafting group”) of the details of the assignment in writing and also ensures access to NAPPO documents and resources. Normally standards are developed in one year. Depending on complexity, this period could be extended (see usual timelines in Annex 3).

1.2 Drafting the standard

The drafting group chairperson establishes a working schedule and meeting dates in consultation with the ED. Draft documents must follow the NAPPO format (see Annex 1, format for NAPPO Regional Standards). Each revised draft must highlight the changes to facilitate translation. Where possible, the FAO Glossary of Phytosanitary Terms should be used. The NAPPO Glossary should be used in the absence of FAO

terminology or definitions. Definitions can be proposed for any new terms. Explanatory and supporting information should be placed in annexes to the standard. Consultation with experts within or outside the NAPPO region may take place during this stage and/or at subsequent stages.

1.3 Drafting the Implementation Plan

Implementation plans are normally needed for commodity and pest specific standards, but may also be needed for concept standards. An implementation plan is developed for each country. Implementation plans should be developed, as necessary, by the drafting group in collaboration with the Standards Panel and in parallel to the development of the standard. The steps leading to the preparation and approval of an implementation plan can be seen in Annex 2 and 3. See Annex 6 (Implementation Plans for NAPPO Standards) for guidance on formatting and developing this plan.

1.4 Review

Once the first draft has been completed, it is submitted to the NAPPO Secretariat. The NAPPO Standards Panel will review the draft standard against existing FAO and NAPPO terminology, and consistency with NAPPO policies and other NAPPO Standards. The Standards Panel may also provide more general comments, not related to terminology and NAPPO policy. Suggested revisions are returned to the drafting group and a draft is produced for country consultation. The Standards Panel will also review the implementation plans at this time.

1.5 Translation

The NAPPO Secretariat is responsible for translation of the documents into Spanish or English. Translation of documents may be done at any point during drafting of a standard at the request of the drafting group. Once the draft for country consultation is complete, the drafting group must submit it to the ED for translation.

1.6 Country Consultation

The ED distributes the draft standard and the implementation plans to the Working Group and drafting group members, and provides a ninety day deadline for the completion of country consultation. Since procedures for country consultation differ between the three NAPPO countries, a member of the drafting group from each country is responsible for the coordination of the consultation in their country. Country consultation includes both internal and external review and need not be limited to the NAPPO region. It consists of consultation with stakeholders, technical experts, industry and state/provincial and foreign governments, as appropriate. The WG will consult with the responsible drafting group members in identifying all stakeholders to be involved in the country consultation.

For the technical review, the scientific community as well as subject matter experts should be drawn upon. Industry review should be coordinated through the appropriate IAG representatives. In order to obtain as wide an input as possible, the ED will post

draft documents on the NAPPO website (www.nappo.org/stds_e.htm) and advise the IAG and SAMs of the availability of the draft documents for review. Draft standard comments from within the NAPPO region must be sent to the contact points identified on the NAPPO website using the format provided. Stakeholders outside the NAPPO region must send their comments to the NAPPO Executive Director by using the same format. Annex 4 presents the procedures to submit, review, analyze and respond to country comments of NAPPO Draft Standards. Annex 5 presents the format that stakeholders should use to submit comments.

1.7 Approval

Comments from the NAPPO region should be compiled by the contact points and sent to the respective panel chairs, immediately after the country consultation period is over. Comments from outside the NAPPO region should be compiled by the NAPPO Secretariat and forwarded to the respective panel chair. The drafting group in collaboration with the Standards Panel (SP) will review, analyze and summarize responses to comments. They will prepare a revised version of the draft standard. The Working Group will conduct a final review of the draft standard before submission to the NAPPO Secretariat.

The NAPPO Standards Panel and the WG carefully consider the draft standard with respect to consistency with NAPPO and international standards; domestic policies and regulations, and needs. Depending on the subject matter and the number of substantive changes made to the standard, country consultation may be repeated.

The final standard and the implementation plans are submitted to the EC in both official NAPPO languages for approval and signature of each EC member.

When approved, original signed copies are distributed by the ED to the EC and the final version will be posted on the NAPPO website.

1.8 Implementation

NAPPO countries may need to make legislative and/or administrative changes to allow implementation of the Standard. If a standard cannot be implemented immediately because national legislation, regulations and/or programs need to be changed, the standard will indicate the need for implementation plans.

2. Process for Amending NAPPO Standards

2.1 Request for Review

All standards can be reviewed and amended as the need arises. A request for review must be submitted to one of the members of the EC. The EC will discuss the request and designate or assemble a panel, if it supports the request.

2.2 Regular Scheduled Review

Each NAPPO Standard for Phytosanitary Measures is reviewed every five years. The “Review” section of the standard indicates the next review date. The ED is responsible for monitoring the review schedule. The WG will carry out the initial review. If the WG decides that amendment is required, it will recommend to the EC to designate or assemble a panel to prepare the amendment. Even if no amendment is required, the names and signatures of the EC approving the revision will replace those who approved the previous version of the standard, and the date will be changed to the current date

2.3 Drafting an Amendment to the Standard

See section 1.2

2.4 Review

For significant amendments or major redrafting of the standard, the review process will be the same as for new standards. See section 1.2

For minor amendments, only the NAPPO Standards Panel will carry out a review.

2.5 Approval

The approval process for significant amendments is the same as for new standards (see 1.7).

2.6 Implementation

Implementation plans for amended standards are developed if needed (See Section 1.8).

3. Process for Superseding NAPPO Standards

When an International Standard for Phytosanitary Measures (ISPM) has been approved by the FAO on the same topic as for which a NAPPO Standard exists, the drafting group in collaboration with the Standards Panel will compare both Standards.

If the ISPM is equivalent to the NAPPO Standard or is more comprehensive than the NAPPO Standard, the SP will recommend to the WG and EC that the NAPPO Standard be superseded by the ISPM. The EC decision will be recorded and the previous NAPPO Standard will be kept as a record, but will no longer be used as a reference.

If the new ISPM is not equivalent to the NAPPO Standard and information would be lost if the NAPPO Standard was removed from active use, the EC may decide to continue to apply its regional standard as well.

Annex 1: Format for NAPPO Standards for Phytosanitary Measures

Using a standard format which closely follows the format used for International Standards for Phytosanitary Measures (ISPMs) developed by FAO helps streamline the information in the standard and makes it easier to use. It also facilitates their consideration as candidates for ISPMs.

The following text is intended to show the elements of NAPPO Standards for Phytosanitary Measures and to indicate which information goes into each section of the standard. Formatting of the text should remain simple, to allow for easier preparation for NAPPO website publication.

Title page:

The title page of NAPPO Standards has no page number.

NAPPO letterhead is provided by the NAPPO Secretariat.

A NAPPO document number is provided by the NAPPO Secretariat.

The title of the standard is provided by the drafting group.

Content Page(s)

The table of contents of the standard should list all major headings and their page numbers.

Every page except the title page should have a page number in the bottom right corner and footer in the bottom left corner containing the title and number of the standard.

Approval Page

The material under the headings: Review, Approval, Amendment Record, and Distribution, is standardized text for the administration of the standard and is not pertinent to its development. The text will be added by the NAPPO Secretariat prior to approval and does not need to be provided by the group drafting the standard.

The effective date of the standard is its approval date. However it may not be possible for countries to immediately implement the standard due to the need for regulatory changes or other factors. In these cases, implementation plans will identify the targeted implementation dates in individual countries.

If an implementation plan is required then the following text will be entered: "See the attached implementation plans for implementation dates in each NAPPO country."

If an implementation plan is not required then the following text will be entered: "No implementation plans are required for this standard."

Remaining text

The **Introduction** consists of the following sections: Scope; References; Definitions, Abbreviations and Acronyms; and Outline of Requirements.

The **Scope** is a short statement of what the purpose of the standard is and the subject matter. The scope should mention what is included in the standard, and may mention what is not included.

The **References** section lists those references pertinent to the standard, including scientific publications, where appropriate.

The references should be in alphabetical order. ISPM titles should be in italics, the year of adoption, then the publication number should be cited, and followed by 'FAO, Rome'. For example:

Glossary of phytosanitary terms, 2003. ISPM No. 5, FAO, Rome.
Guidelines for pest risk analysis, 1996. ISPM No. 2, FAO, Rome.

Referenced NAPPO Standards also should first give the title of the standard in italics, then the year of endorsement, then the NAPPO document number. For example: *Guidelines for bilateral workplans*, 2003. RSPM No. 19, NAPPO, Ottawa.
NAPPO Glossary of Phytosanitary Terms, 2003. RSPM No. 5, NAPPO, Ottawa.

The IPPC itself should be referenced as follows:
International Plant Protection Convention, 1997. FAO, Rome.

Scientific and other publications and national regulations should be referenced by giving the name of the author or organization first, followed by the year of publication, then the title and other information required to obtain a copy of the publication.

When citing NAPPO or FAO standards in the text of a standard, the full title of the standard together with the NAPPO or FAO document number should be spelled-out the first time it appears in the text. The second and subsequent times the citation appears, only the NAPPO or FAO document number of the standard should be included. For example:

Guidelines for Pre-clearance Programs, RSPM No. 2 (first time) and RSPM No. 2 (subsequent times).

The **Definitions, Abbreviations and Acronyms** section should include only the relevant terms which are used in the standard. The FAO Glossary of Phytosanitary Terms and the NAPPO Glossary of Phytosanitary Terms are the main reference documents for the actual definitions. New definitions not already approved by NAPPO can be included and will be adopted and added to the NAPPO Glossary of Terms when the standard is approved. Terms which can be found in a dictionary do not need to be listed.

The reference of definitions, abbreviations and acronyms should only indicate the source. For example:

Executive Committee (EC).- The principal persons or designated alternate, representing the plant protection organization within each of the NAPPO countries (NAPPO).

The **Outline of Requirements** is the summary of the substance of the standard.

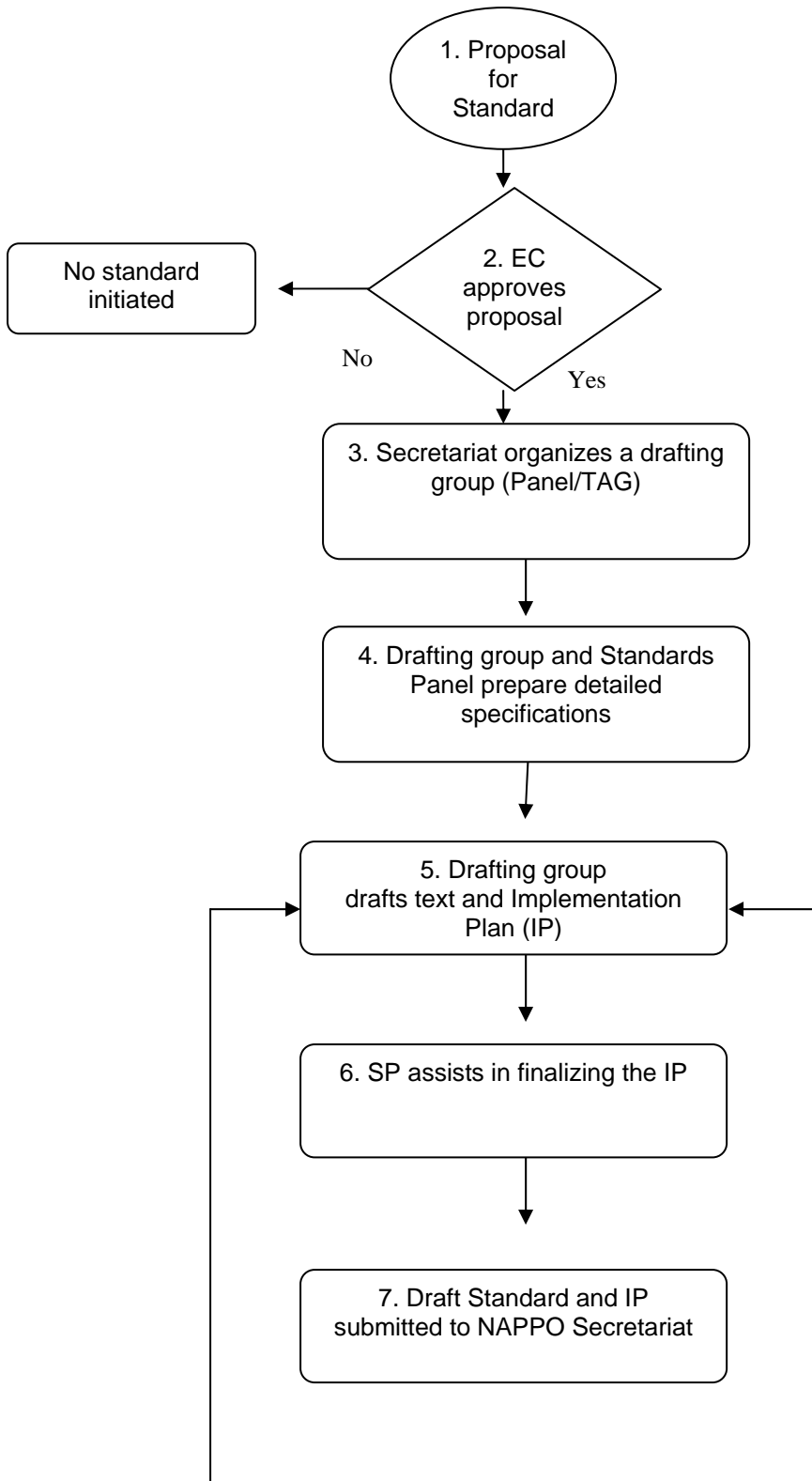
The **remaining text** can be organized with headings that are appropriate for the subject matter. A background section may give the reason why the standard was drafted or other information that aids in the understanding of the standard. The information may be subdivided under General Requirements and Specific Requirements or just Requirements.

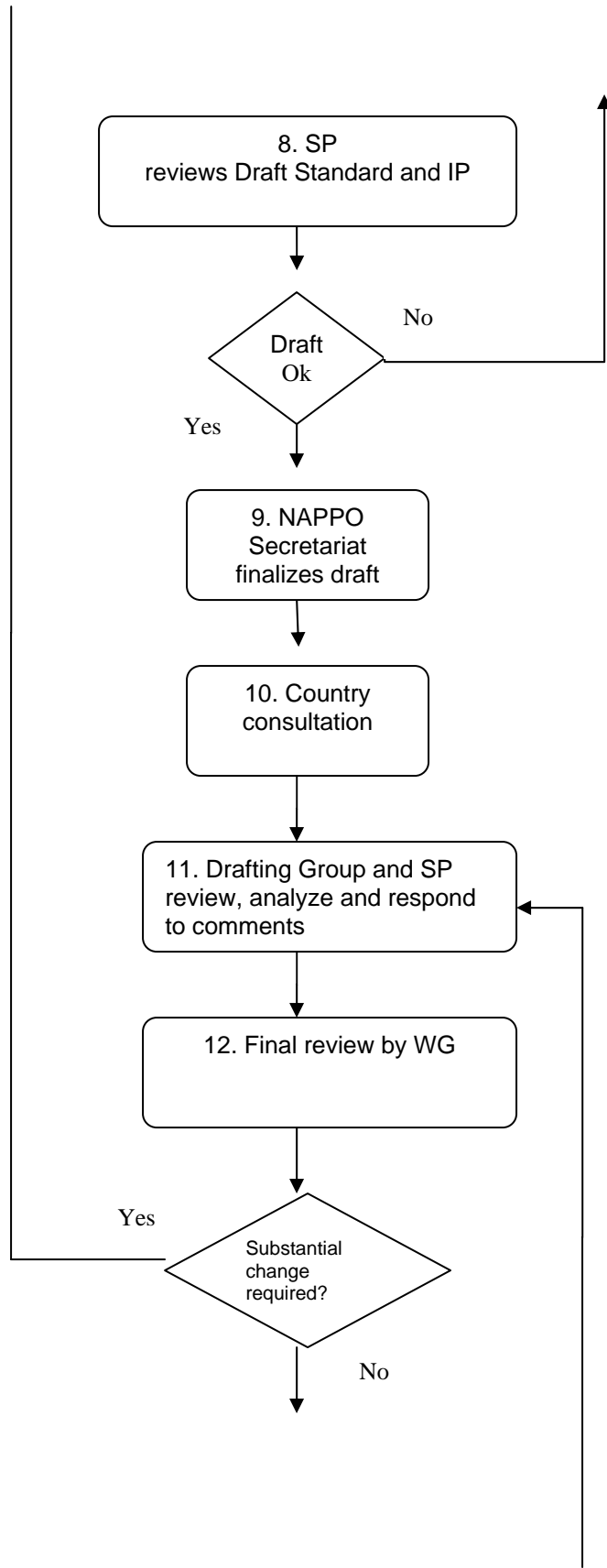
The information should be arranged in some logical order, e.g. chronological, or descending order of priority. Headings, subheadings, and further subdivisions should be numbered with Arabic numbers, not with letters or Roman numerals. Example: 1.1, 1.2.1, 1.3.2.2 etc.

Annex is an official part of a standard (prescriptive) and this should be stated in the header. An annex adds technical information to the standard. Typically it includes tables, figures, and information which further clarify or provide explanation of the provisions of the standard. It is referred to in the main text of the standard. Annexes to an RSPM are numbered sequentially with Arabic numerals not with letters or Roman numerals. Page numbering continues from the main body of the standard and does not start again at page 1 for each annex.

Appendices are not official parts of standards (for information only, not prescriptive) and this should be stated in the header. Appendices should be the last component document in a standard. Appendices provide references or further information relevant to the standard. Appendixes to an RSPM are numbered sequentially with Arabic numerals, not with letters or Roman numerals. Page numbering continues from the main body of the standard and does not start again at page 1 for each appendix.

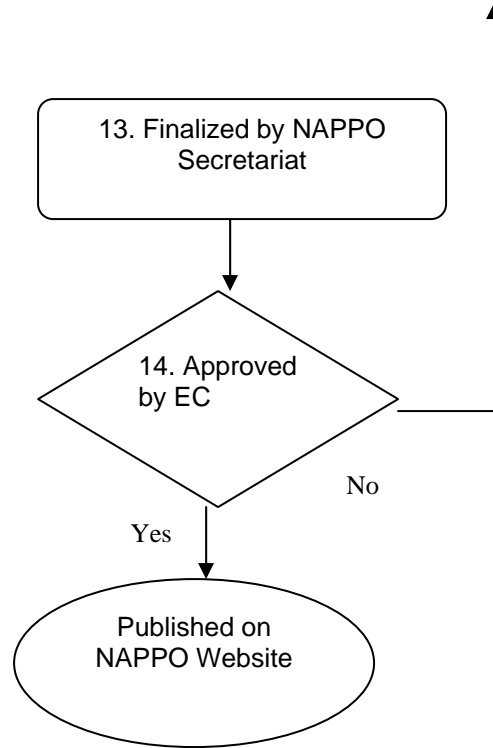
Annex 2: Flowchart for the NAPPO Standard Setting Process





Stage 2: Consultation

Stage 3: Approval



Annex 3: Usual Chronology of Events for the NAPPO Standard Setting Process

EVENT	TIME PERIOD (12 month cycle)	Number of working days
1. Proposal for Standard	n/a	n/a
2. Executive Committee (EC) approves preparation of draft standard	October 31	n/a
3. Secretariat organizes a drafting group (Panel/TAG)	October 31 – November 30	30
4. Drafting group and Standards Panel prepare detailed specifications	November 15 - 30	20
5. NAPPO Secretariat assigns tasks to panels	October 31- December 1	30
6. Drafting group drafts standard and Implementation Plans	December 1 – May 1	150
7. SP assists in finalizing the IP	December 1- May 1	150
8. Draft standard and IPs submitted to NAPPO Secretariat	May 1	n/a
9. SP reviews draft standard and IPs	May 1 – 15	15
10. NAPPO Secretariat finalizes draft (editing, formatting, translation)	May 1 - 31	30
11. Country consultation	June 1 – August 31	90
12. Drafting group and SP review and analyze comments respond to comments as necessary and revise standard	September 1 - 25	25
13. Final review by WG	September 25 -October 15	20
14. Final translation and preparation of Standard(s) by NAPPO Secretariat	September 25 – October 17	22
15. Approval by EC	October 20	n/a

Annex 4: Procedures for Country Comments on NAPPO Draft Standards

STEP	ACTION	TIME PERIOD
1	Draft standard comments from within the NAPPO region must be sent to the contact points identified on the NAPPO web-site using the format provided.	June 1 - August 31
2	Stakeholders outside the NAPPO region must send their comments to the NAPPO Secretariat Director using the format provided.	June 1 - August 31
3	Comments from the NAPPO region should be compiled by the contact points and sent to the respective panel chairs, immediately after the country consultation period is over.	September 1 - 5
4	Comments from outside the NAPPO region should be compiled by the NAPPO Secretariat and forwarded to the respective panel chair.	September 1 - 5
5	The Drafting Group(s) in collaboration with the Standards Panel (SP) will review, analyze and summarize responses to comments. They will prepare a new version of the draft standard.	September 1 -12
6	The Working Group will conduct a final review of the draft standards before submission to the NAPPO Secretariat.	September 8 - 19
7	Panels will prepare the final draft for submission to the NAPPO Secretariat. The Secretariat will keep a record of comments and responses.	September 15 - 25
8	NAPPO Secretariat will prepare a final version of the standard(s) (editing, formatting and translation).	September 25 - October 15
9	NAPPO Secretariat will present the standard to the Executive Committee for approval during the Annual Meeting.	October 31

Annex 5: Format for Country Comments on NAPPO Draft Standards

DRAFT RSPM: (TITLE)

NAPPO member countries should use this table for sending their comments to the contact points identified for each draft standard on the NAPPO web-site. See instructions on how to use this format at the end of the table. Filling this form will greatly facilitate the compilation of comments by the Drafting Group, Standards Panel and NAPPO Secretariat.

Country: _____

1. Section	2. Type of comment	3. Location	4. Proposed rewording	5. Explanation	6. ¹ Accept/Reject	7. ¹ If reject why?
I. General Comments						
ii. Specific Comments						
2.1 Title Of The Draft						
2.2 Introduction						
2.2.1 Scope						
2.2.2 References						
2.2.3 Definitions						
2.2.4 Abbreviations, Acronyms Used In This Standard						
2.2.5 Outline Of Requirements						
2.3 Background						
2.4 Requirements						
2. 4.1 General Requirements						
2.4.2 Specific Requirements						
III. Annex						
IV. Appendix						

¹This two columns are to be completed by the respective NAPPO Panel Members.

INSTRUCTIONS FOR THE USE OF THE FORMAT

Tables of comments will be compiled so that all country comments on each section (or even paragraph) will appear together. The compiled tables will be transmitted to the Standards Panel. **Please do not add or delete columns and do not change their width.**

Title of the columns and expected content:

COUNTRY

- To facilitate compilation of comments, the country name should be indicated in every row for which a comment is being made
- **This section should always be completed.**
- **The country name should be that of the country submitting the comments**

1. SECTION

- This gives the titles of sections as they appear in the draft, plus a row for general comments. If changes are proposed for titles of sections, they should be made in the column "proposed rewording".
- **There should be no empty cells in this column**
- General comments apply to the entirety of the standard. Specific comments apply to a defined section of the draft, which should be clearly identified.
- If several comments are made on several paragraphs of a same section, it is suggested that one or several row(s) should be added. The titles of the section should be repeated in the new rows
- If there is no comment on one section, the other cells in the row should be left empty or the entire row should be deleted.

2. TYPE OF COMMENTS

For each comment on specific sections of the text, governments are requested to clearly indicate if the comment is considered to refer to:

- a technical/substantive issue with the content of the standard.
- an editorial issue
- a translation issue.

Technical/substantive issue

These are the comments which suggest changes to the meaning of the standard, if the concepts expressed or the technical content is wrong in the view of the country commenting. They cover conceptual problems, scientific errors, technical adjustments etc. Rewording should be proposed and detailed explanations should be given to facilitate understanding and review by the Standards Panel.

Editorial issue

The ideas expressed are thought to be correct, but the wording could be improved (spelling, vocabulary used, grammar or structure of the sentence) to clarify or simplify the text. **The meaning must not be changed.** Examples:

- A term appears in the text and is thought to be needed in the definitions section of the standard.
- A sentence needs to be changed to make it consistent with wording used elsewhere in the text.
- A clearer word which does not change the meaning could be used.
- The language used could be simplified

Note: Any change, although minor, which might change the meaning of the text is not editorial and should be classified as technical.

Translation issue

This is limited to points for which the English version is thought to be correct, but appears wrongly translated in the Spanish versions, or vice versa. Examples:

- A term of the Glossary used in the English version has not been given its proper Glossary equivalent in the Spanish version or vice versa.
- A technical term has not been translated with its proper technical equivalent in the plant protection framework

- A quote from another document should have been taken directly from the document concerned but has been retranslated.

3. LOCATION

The place where the comment applies in the section concerned should be clearly identified. It should refer to the text as circulated for country comments. To facilitate compilation of countries tables, it is suggested that governments refer to titles, paragraphs, sentences, indents with a standard wording to be used as indicated in the table below. Do not use "page" or "line" as these may vary depending on the word processor used.

Examples:

Comment regarding	Wording to be used	Further specification of location
Title of the section	Title	
Rewording of the second paragraph of the section	Para 2	
Rewording of the fourth sentence of the 3rd paragraph of the section	Para 3, sentence 4	
Rewording of the 6th indent of paragraph 4	Para 4, indent 6	
Addition of a new indent after indent 2 in paragraph 7	Para 7, indent 2	Add after indent 2:
Addition of a new indent after the last of a list	Para 7, last indent	Add last indent
Addition of a new paragraph after paragraph 4	Para 4	Add new paragraph after para 4:

4- PROPOSED REWORDING

- **Rewording should always be proposed for any changes thought necessary to the text. As relevant, modifications to the current text should appear as revision marks (i.e. text which is added or deleted should appear in a distinct way from unchanged text, for example text added can be underlined and delete text can be ~~struck-through~~, as suggested on the example below.**
- Suggestions for new paragraphs/indents should be clearly identified as such ("add....").

5- EXPLANATION

This field should always be completed and should include the justification for the comment made. Such explanations are essentials and should be sufficient for the Standard Panel to understand the comment and the proposed change.

Annex 6: Recommended Format for Implementation Plans for NAPPO Standards

1. Name of Standard

List the name of the standard

2. Country Reporting

List the name of the country

3. Relevant Authority

3.1 Current Authority

Identify which current authority covers or partially covers the standard [If revisions are needed then go to 3.2]

3.2 Revisions to authority

Identify any revisions to existing authority which are required in order to comply with the standard.

4. Obtaining Authority to Adopt the Standard

Provide a brief description of the process required to revise existing authority or draft new authority, as appropriate. Identify the most critical activities and the estimated dates for completion.

Activity

Estimated Completion Date

5. Implementation of Standard

This section is strictly an estimate since the dates are contingent upon factors that the importing country no longer controls, such as the ability of the exporting country to agree to and meet the requirements.