Report on the Open Ended Working Group on Phytosanitary Capacity Building Workshop

7 - 16 December 2009

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Cover Photographs – Workshops Participants hard at work

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Executive Summary

This report documents the discussions of the Open Ended Working Group (OEWG) on Phytosanitary Capacity Building workshop held in FAO Rome between 7th and 16th December 2009.

The workshop's objectives were to develop a series of strategic plans in the area of Capacity Development for the next six years.

The workshop was attended by 17 participants who represented a judicious mix of staff from National Plant Protection Services and the International Plant Protection Convention (IPPC) Secretariat. It was chaired by Sidney Suma.

Following a welcome from Peter Kenmore and Jeff Jones, participants were updated on the recent development in both FAO and the IPPC. Important background papers and issues were discussed so that all participants felt up-to-date with key developments.

On the second day of the workshop participants were presented with an outline of Capacity Development (CD) in FAO. This session helped participants to focus on the important role of CD and some of its specific features and challenges.

The workshop facilitator then took participants through seven simple key questions in an experiential step-by-step manner - See Figure1 (below).

Step 1: Who are we?

Step 2: Where are we now?

Step 3: Where do we want to be?

Step 4: How do we get there?

Step 5: What may stop us getting there?

Step 6: How will we know if we've got there?

Step 7: What resources do we need to get there?

Figure 1 - The 7 Key Planning Questions

The outputs of the workshop are eight logframes with associated work plans and outline budgets. These are presented in Appendices D, E and F.

Key recurring issues raised by the workshop participants included:

- The importance of coordination of plant protection and trade facilitation work.
- Different countries report things in different ways and some simply do not want to disclose information as it may damage their trade.
- Many countries do not have the required capacity to undertake the work required. This needs to be fully recognised.
- Coordination of donor efforts. Despite the Paris Declaration there is a huge ongoing need for donor coordination.
- Many countries cannot say "no" to funding – this leads to fragmentation of approaches.
- The need for political support – without this we will not achieve the plans in this report.
- The risk of over and under budgeting – it needs to be recognised that the budgets in this report are outline budgets only.
- The need for IPPC to work with FAO Results Based Management Systems

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- Next Steps – A series of follow up activities are required.

If the framework developed is to become operational there is a need for further consultation with several key stakeholders. This itself will require a serious level of Capacity Development, coordination and leadership from the IPPC Secretariat. In this regard three recommendationas are made.

1. That an internal IPPC review of outputs of this workshop should be conducted and the framework further developed.

2. That the facilitated process undertaken in this workshop should be repeated at regional level for key National and Regional members.

3. That the OEWG should become a core group for technical assistance/capacity building/Capacity Development strategy development and review.

An end of **workshop evaluation** form seeking feedback from participants was given out. A summary of the feedback is presented in Appendix H.

The feedback from the workshop participants was generally very positive.

It is clear that a lot of new learning took place and many participants felt that good progress had been made. A wide range of learning points were recorded. Most participants feel the plans represent a very good output from the workshop.

The open and inclusive workshop process was very much appreciated by most participants. The mixed stakeholder composition of the workshop participants was appreciated by many. The mix of presentations and discussion was thought by most to be appropriate. The key presentations made were all considered useful. Likewise the clear and open facilitation of the event was very much appreciated.

Abbreviations

APEC	Asia Pacific Cooperation Forum
AR	Agricultural Research
ARD	Agricultural Research for Development
BNPC	Building National Phytosanitary Capacity
CD	Capacity Development
CGIAR	Consultative Group on International Agricultural Research
CIDT	Centre for International Development and Training, University of Wolverhampton, UK
EC	European Commission
ECDPM	European Centre for Development Policy Management
EU	European Union
FAO	Food and Agricultural Organisation of the UN
IEE	Independent External Evaluation
IPPC	International Plant Protection Convention
MDG	Millennium Development Goals
NGO	Non-Governmental Organisation
NPPO	National Plant Protection Organization
OEWG	Open Ended Working Group
SCAR	Standing Committee on Agricultural Research
SPTA	Strategic Planning and Technical Assistance
ToR	Terms of Reference
WB	World Bank
WTO	World Trade Organization

Acknowledgement

I am thankful to Peter Kenmore and Jeff Jones for finding time in their busy schedules to visit the workshop and demonstrate their clear and enthusiastic support for this important planning work.

I am also thankful to Orlando Sosa and Arundel Sakala for their logistical assistance both before and during the workshop. Thank you also to David Nowell for his clear guidance before the workshop and to the IPPC planning group who helped set up the Workshop Agenda.

Finally I am very thankful to all workshop participants for their very active participation and hard work. Together we achieved a lot in a small space of time.

PND 17-12-2009

1 Introduction and Background

This report documents the Open Ended Working Group (OEWG) on Phytosaniatary Capacity Building held between 7 – 16 December 2009 at the FAO headquarters in Rome, Italy.

The workshop was attended by 17 participants who represented a judicious mix of representatives from National Plant Protection Services and the International Plant Protection Convention (IPPC) Secretariat.

The facilitator's full Terms of Reference are presented in Appendix A.

A copy of the workshop programme is presented in Appendix B.

A list of participants attending the workshop is presented in Appendix C.

2 Workshop Programme

2.1 Opening and Welcome

The workshop meeting was chaired by Sidney Suma. Peter Kenmore, Deputy Director, AGP and Secretary of the IPPC, welcomed participants to the workshop and requested all participants to introduce themselves. Following this, he gave a short speech and updated participants on new developments in both the IPPC and FAO.

Peter requested that the workshop build on last year's work, where the participants had developed an important vision or goal for Capacity Development within IPPC, namely:

> ***"The ability of individuals, organizations and systems of a country to perform functions effectively and sustainably in order to protect plants and plant products from pests and to facilitate trade, in accordance with the IPPC."***

Peter stressed the fact that both FAO and the IPPC currently are going through a lot of change and that things are "unfreezing". He emphasised the fact that both organizations are decentralising and that regional and national offices are becoming evermore important.

Peter also noted that Capacity Development is critically important. In relation to decentralisation he carefully noted that

> ***"FAO and the IPPC should do more but that the real need is to build up national level capacity."***

Peter strongly stressed the need for all participants

> ***"not to be myopic but to look at the global picture and then focus on the national level. In other terms take a holistic approach to capacity building."***

He noted that the IPPC was not really mentioned in the recent Food Summit Conference but emphasised that this disappointment must act as a catalyst

to redouble efforts to provide good systems and standards as well as building up capacity at all levels.

Jeffrey Jones, Senior Officer (Phytosanitary Capacity Building) of the IPPC then gave a short speech of welcome. He stressed the need to build on the good work already undertaken last year[1] and requested the development of a good, practical work plan. He noted the critical importance of Capacity Development in the work of the IPPC. Like Peter, he stressed the need to **"think big but to focus efforts at the national level."**
Jeff also emphasised the need to balance "Trade Facilitation" and "Plant Protection". While market access is very important so is plant protection.

Jeff outlined important three core principles for the workshop: These are:

1. **Partnership working** (the IPPC cannot do everything; it needs to work in close partnership with a wide range of others).
2. **Regional empowerment** (regions need to be given resources).
3. **Shared responsibility** (we are all collectively responsible – empowering others does not mean we give away all the responsibility).

Information Exchange
In the second session of the workshop, a concerted effort was made to share all available knowledge about the current status of existing IPPC plans and the requirements for development. Key papers and plans were noted, copied and distributed to all participants. Critically important was the final paper from last year's OEWG meeting[2]. Logistical details of the workshop were also discussed.

Dr David Nowell (Information Exchange Officer of the IPPC) gave a useful update on the Convention. He carefully noted that the IPPC cannot (and indeed should not) tell others what to do. Empowerment was required. He also noted the real need for the workshop to be pragmatic and not be "up in the clouds" with any plans developed. He welcomed the participation of so many national representatives and urged them to "speak up and keep the rest of us on track!"

David noted that the virtual groups established after last year's meeting has simply not functioned. The need to avoid this situation arising again was emphasised. It was also noted that IPPC is part of FAO and therefore has to be aware of FAO rules and requirements.

In relation to Capacity Development, it was noted that slow progress is being made but that implementation plans are sometimes simply not delivering what is required. The need for extra resources to be put into Capacity

1 Commission on Phytosanitary Measures (Fourth Session) Rome 30 March – 3 April 2009. Outcome of the OEWG on Building National Phytosanitary Capacity Agenda Item 12.1 of the Provisional Agenda. CPM 2009/13 Rev 1.

2 Eleventh Meeting of the CPM Informal Working Group on Strategic Planning and Technical Assistance Building National Phytosanitary Capacity, Concept paper, draft strategy and draft operational plan SPTA 2009/21: BNPC Agenda 13.1.

Development was very clear. The need for both "carrots and sticks" to get people to apply the convention was required.

David outlined the plans to move from the current strategic plan into a new 2001 Business Plan. He noted that the seven strategic areas of the current plan, namely:

1. Standard Setting
2. Information Exchange
3. Dispute Settlement
4. Technical Assistance (FAO now call this Capacity Development)
5. Sustainable Development
6. Information Liaison (e.g. with the WTO and WB)
7. Global Review of Plant Protection

will be formulated into three new key areas:

1. Standard Setting
2. Implementation
3. Capacity Development

Other areas of work will be called cross cutting themes.
It was noted that Capacity Development was only one of three key areas and inevitably links with the others. It was also noted that if Capacity Development plans did not work, the other two strategic areas would also not work.

2.2 Outline of Capacity Development in FAO

In this session, **Sally Berman** (FAO Capacity Development Officer, Knowledge Exchange and Capacity Building Division) presented an overview of the new FAO Capacity Development (CD) Strategy.

The new Vision is that FAO will be a key agent for CD in agriculture and rural development (including forestry and fisheries).

> ***The Organization will play a catalytic role in partnership with national and international actors by delivering high quality integrated CD support grounded in national, regional and global plans, that combines normative, operational and convening activities.***

FAO's CD role will be geared towards facilitating the development of a sustainable capacity base of member countries and regions in food security, agriculture and rural development to help achieve the three Global Goals and the Millennium Development Goals (MDGs).

It was firstly noted that this is a new approach to CD based on an international consensus, not just that within FAO. The new accepted definition of Capacity Development is:

> ***"the "process whereby people, organizations and society as a whole unleash, strengthen, create, adapt and maintain capacity over time".***

It was noted that the key driver for change in FAO was the Independent External Evaluation (IEE).

The IEE had highlighted Capacity Development as a key area for improvement in FAO, given that adequate capacity of member countries is critical to the achievement of FAO's three Global Goals and the MDGs.

Furthermore, as laid out in the Paris Declaration, Capacity Development is considered of primary importance so that countries have the capacity to plan, manage, implement and account for their development efforts.

The key need is for change to:

- ensure sustainability and deep-level impact of CD efforts;
- enhance ownership and leadership of national actors;
- ensure quality, appropriate modalities and effectiveness of CD support; and
- partner in a crowded and competitive field.

In the context of FAO's reform, country capacities are required at three different dimensions: the individual, institutional and the policy enabling environment (Figure 2 - over):

- The **individual** dimension[3] relates to the people involved in agriculture and rural development including forestry and fisheries in terms of: knowledge, skill levels (technical and managerial) and attitudes that can be addressed through facilitated events, mentoring, training and competency development.
- The **institutional** dimension relates to public and private institutions, civil society organizations[4], and networks of institutions[5] in terms of:
  - (a) Institutional motivation;
  - (b) Strategic, organizational and management functions, structures and relationships;
  - (c) Operational capacity (processes, systems, procedures, sanctions, incentives and values);
  - (d) Human and financial resources (policies, deployment and performance);
  - (e) Knowledge and information resources; and
  - (f) Infrastructure.

3 e.g. public servants and staff of ARD organizations, distributors, producers, farmers, fishermen, herders, rural service providers, technicians, traders, food inspectors etc.

4 e.g. central and decentralized government agencies and ministries, social protection systems, inspectorates, laboratories, national agricultural research systems, global and regional economic commissions, enterprises, cooperatives, commerce chambers, consumer groups, producer associations, community-based organizations, NGOs and formal and non-formal education and training institutes, etc.

5 e.g. research and extension systems, transboundary natural resources management systems, surveillance systems and public-private partnerships, etc.

- The **policy** enabling environment dimension relates to political commitment and vision; policy, legal and economic frameworks; national public sector budget allocations and processes; governance and power structures; incentives and social norms.

Figure 2: The three dimensions of Capacity Development

In CD interventions, all three dimensions are interlinked; individuals, institutions and the policy enabling environment are parts of a broader whole. CD often involves the enhancement of knowledge of individuals, although the output of individuals greatly relies on the quality of the institutions in which they work. Furthermore, the effectiveness of institutions is influenced by the policy enabling environment.
Conversely, the policy enabling environment is affected by institutions and the relations between them. In other words, Capacity Development involves not only the knowledge and skills of individuals but also how institutions and organizations operate, as well as how structures of power create incentives and governance.
The key functional capacity areas for countries are shown in Table 1:

Policy	• leading policy reform • developing strategies, policies etc • defining quality standards consistently
Knowledge	• accessing/managing/producing information and knowledge • leading national processes of knowledge adaptation and sharing
Outreach and Partnering	• advocating partnership with a variety of actors • utilizing funding instruments to attract resources
Implementation and Delivery	• managing/implementing sector programmes • delivering services according to standards/norms • providing infrastructure

Table 1- The key functional capacity areas for countries

Some practical examples of FAO activities at each dimension are shown in Table 2.

CD Dimension	Example
Policy Enabling Environment	FAO may be instrumental in facilitating the analysis and adoption of policy, legal and economic framework changes as well as the adoption of structural, behavioural and incentive changes. This may entail communication and advocacy activities, support to decision-making via policy seminars or the facilitation of planning and budgeting activities at policy level.
Institutional	FAO may assist member nations or (sub) regional entities in assessing capacity needs and establishing priorities and plans to strengthen their institutions. As part of this process, FAO may facilitate the development of clear procedures and guidelines. FAO may also promote the creation of partnerships or networks between institutions and, when required, may promote adequate access and exchange of information and knowledge.
Individual	FAO may assist countries to establish education and training programmes which are customized for local needs and, via training of trainers or working with educational institutes, encourage a sustainable approach to learning in ARD.

Table 2: Examples of FAO activities in the three CD dimensions

It is good practice to carry out CD interventions bearing in mind all three dimensions. This is not always possible in any given sector; however, it is important that all dimensions are taken into consideration during planning and implementation**.** When any given dimension is excluded from consideration, chances of sustainability are greatly reduced.

As an example, if a CD initiative focuses on the individual dimension without considering sustainability at institutional and policy level, it is possible that the increased capacity of individuals is dissipated or lost and neither internalized nor made sustainable. In this example, the risk of 'brain drain' is particularly elevated and sustainability put at risk.

Workshop participants were requested to consider all three dimensions of CD during the workshop. These are illustrated in Figure 3 (over).

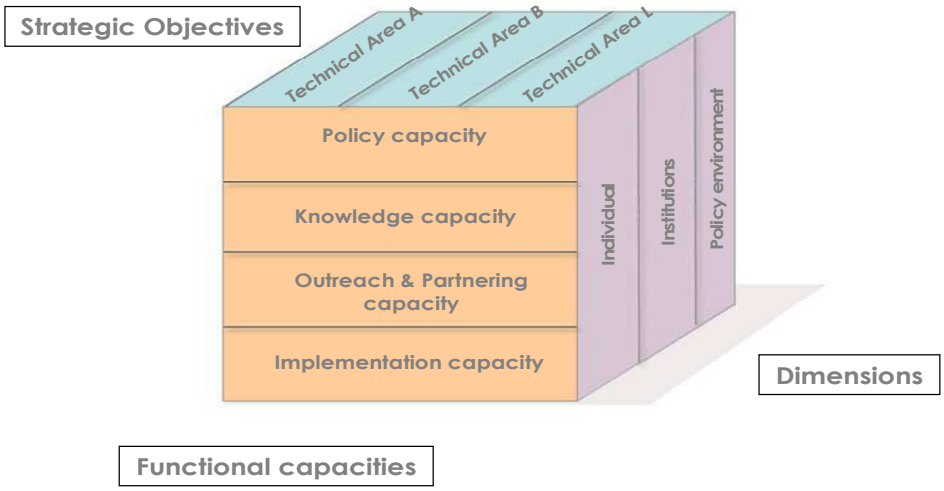

Figure 3: The three dimensions of New FAO CD Framework

Roger Day added to the discussion on CD by drawing attention to the recent work of the European Centre for Development Policy Management (ECDPM) and their recent Policy Management Brief on Capacity Change and Performance.[6]

The Brief highlights the many ways that organizations and systems go about developing capacity. It concludes that there are no "blue-prints" for CD and that the process tends to be more complex, nuanced and unpredictable than is sometimes assumed. On the basis of the case studies it identifies some generic characteristics of Capacity Development processes, which carry implications for the way external agencies, such as FAO, go about supporting CD. The five core capabilities are:

1. **To commit and engage**: violation, empowerment, motivation, attitude and confidence.

2. **To carry out technical, service delivery and logistical tasks:** core functions directed at mandatory goals.

3. **To relate and attach resources and support:** manage relationships, resource mobilisation, networking, legitimacy building, protecting space.

4. **To adapt and self renew**: learning, strategising, adaptation, repositioning, managing change.

6 Policy Management Brief on Capacity Change and Performance – Insights and Implications for Development Cooperation. ECDPM No 21 December 2008.

5. **To balance coherence and diversity**: encourage innovation and stability, control fragmentation, manage complexity, balance capability mix.

In the discussion that followed it was agreed that these are all important in relation to the work of both FAO and the IPPC.

2.3 Introduction to the Logical Framework Approach (LFA)

In this session the facilitator presented the overall workshop objectives and explained the working methodology.

Following a brief introduction to the FAO context and the FAO Project Cycle and Logical Framework Approach, linkages with the new FAO Strategic Framework were made.

Following this, participants were taken through a simple seven-step process (see Figure 4) in an experiential manner.

Step 1: Who are we? Getting people involved

- *Participation and Stakeholder Analysis*

Step 2: Where are we now? The current situation

- *Problem Analysis*
- *Objectives and Options Analysis*

Step 3: Where do we want to be?

- *Introducing the Logical Framework; The Higher Objectives; The First Column*

Step 4: How do we get there?

- *Logical Frameworks – The Lower Objectives*

Step 5: What may stop us getting there?

- *Risk Analysis and Assumptions*

Step 6: How will we know if we've got there? How do we prove it?

- *Laying the foundations for Monitoring and Evaluation*
- *Performance Indicators*
- *Data Sources*

Step 7: What resources do we need to get there?

- *Work Plans and Budgets*

Figure 4 - The Seven Key Steps in Planning

Following considerable debate, the six strategic areas identified in the 2008 OEWG plan were taken as the starting point for the development of work plans. These six areas were examined in detail through working groups undertaking a problem analysis of the six areas of work before "turning these over" into specific objectives. In this process, it was decided that strategic areas 2 and 3 needed to be subdivided into two sections.

Following the setting of objectives and completion of the left hand side of the eight logframes, participants undertook a detailed risk analysis of each area of work. Risks were identified and then categorised by their Importance and Probability. Mitigatory measures were then identified and discussed. Where appropriate, these were added as extra activities in the logframes. Residual assumptions were then added to the Assumptions column of the logframes.

Indicators and Sources of Data for each of the objectives were then established.

At each step of the process, the different working groups cross-checked each other's work in a constructively critical manner. This added to the overall coherence of the plans.

2.4 Writing up the Logical Frameworks

The Saturday of the workshop was spent typing up the eight newly developed logical frameworks. These were collated and circulated to all participants and members of the IPPC.

2.5 Editing the Logical Frameworks and Development of Work Plans

The second week of the workshop was spent developing work plans and outline budgets for the activities outlined in the logical frameworks. The final logframes are presented in Appendix D and the final agreed work plans in Appendix E. Each Logframe and work plan activity was costed and an outline budget for each activity by year was developed. These are presented alongside the work plans. A summary budget is presented in Appendix F.

2.6 Presentation of the Logframes and the Works Plans

In the final session of the workshop the logframes, work plans and summary budget were presented to staff of the IPPC. A copy of the slides for this presentation is given in Appendix G.

Peter Kenmore noted that the budget of approximately $15m a year is not an unrealistic target for IPPC Capacity Development work. Indeed, he felt that the overall budget would need to rise over the next six years of the work plan. He also noted that while some 30% was earmarked for advocacy and fund raising work he felt this was very much required. He noted that in a world where airline travel could move anyone around the globe in less than 24 hours, there was a huge need for plant protection work to be taken a lot more seriously. Weak links in developing and emerging countries were the same weak links in a global system for all countries. Investment in protection work is essential. The need to strengthen National level programmes was again stressed.

2.7 Challenges for Implementation

Several key challenges for implementation were noted during the workshop. These include:

- **Coordination of Plant Protection and Trade Facilitation work**

One of the biggest impediments is coordination of IPPC efforts. While these have been addressed in the work plans presented in this report, there is a real need for senior staff to be committed to improving coordination at all levels.

- **Different countries report things in different ways and some simply do not want to disclose information as it may damage trade**

The requirements for unified national, regional and international reporting have been examined and these are very much a feature in the work plans. It will, however, remain a serious challenge - especially as some counties do not want to report problems as they may damage their trade. Fair and open systems need to be put in place and then enforced.

- **Many countries do not have the required capacity to undertake the work required**.

This is very much the focus of the whole CD strategy, but there is a danger that implementation and standard setting work will squeeze out Capacity Development work. This must not be allowed. Investments in Capacity Development are critically important and indeed without them the other two areas cannot develop.

- **Coordination of donor efforts**

Despite the Paris Agreement and subsequent donor efforts on harmonisation, there is a real continuing need for all donors to work together on their own systems and procedures. All NPPOs and the IPPC must do their level best to push donors to work together in a “joined-up manner”.

- **Many countries simply cannot say “no” to funding**

Because of weak systems and a lack of resources many countries are happy to work on bilateral programmes. It was noted that this sometimes means there is less rather than more coordination. Ideally, an international systems and framework as proposed here is very much required.

- **The need for political support**

The need for advocacy work and fund raising are key elements in the work plans presented. Despite this, the importance of gaining political support at all levels is still a major challenge for implementation. The lack of it is simply a “killer risk” to all plans.

- **The risk of over and under budgeting**

The budgets presented in this report are "outline" budgets only and there is a recognised weakness in that some may "over budget" and some "under budget". One of the real challenges faced by participants is calculating "real" budgets. Sometimes "contributions in kind" may be included, sometimes not. Real total costs of a number of IPPC, regional and national operations are sometimes simply not known.

- **The need for IPPC to work with FAO Results Based Management Systems**

Workshop participants have generally found the logframe analysis process very helpful. There is, however, recognised resistance towards results based tools and results based management within IPPC and FAO. Strong visionary leadership and management will be required in the next few years as FAO is reformed and moves towards a results based management culture.

- **Next Steps**

If the framework developed is to become operational there is a need for further consultation with several key stakeholders. This itself will require a serious level of Capacity Development, coordination and leadership from the IPPC Secretariat. In this regard, three recommendations are made.

1. That an internal IPPC review of outputs of this workshop should be conducted and the framework further developed.

2. That the facilitated process undertaken in this workshop should be repeated at regional level for key National and Regional members.

3. That the OEWG should become a core group for technical assistance/capacity building/Capacity Development strategy development and review.

3 Workshop Evaluation

An end of workshop evaluation form seeking feedback from participants was given out. A summary of the feedback is presented in Appendix H.

The feedback from the workshop participants was generally positive. It is clear that a lot of new learning took place and many participants felt that good progress had been made. A wide range of learning points was recorded.

The open and inclusive workshop process was very much appreciated by most participants. The mixed stakeholder composition of the workshop participants was appreciated by many. The mix of presentations and discussion was thought by most to be appropriate. The key presentations made were all considered useful. Likewise the clear and open facilitation of the event was appreciated.

Many participants were pleased to have been invited to the workshop and have requested further contact with the OEWG process.

APPENDIX A

Terms of Reference

Purpose

The expected impact of a well-implemented capacity building work programme by the IPPC is an increased ability of contracting parties to implement the ISPMs and meet their obligations of the IPPC. Ultimately the project will contribute to strengthened capacity of beneficiaries to participate effectively in the multilateral trading system in particular with regard to the implementation of international, regional and bilateral trade arrangements and agreements.

Description of Activities/Services

This section describes the activities related to services expected to be provided by the consultant in connection with enhancing the development of an implementation framework for national phytosanitary capacity building. The duration of the period for which the facilitation services are required shall be nine days, i.e. one working day prior to the workshop event and eight full working days of the workshop.

Activities and Services:

A) The review the IPPC's implementation framework for building national phytosanitary capacity and advise on the best way to achieve the objectives during the workshop event.

B) Facilitate a workshop on building national phytosanitary capacity and guide the OEWG in the development of implementation plans spanning six (6) years as requested by CPM-3. The main objective being:
   a. Review and finalize the operational plan partially developed by the OEWG in December 2008
   b. Develop a Global Framework for building national phytosanitary capacity
   c. Develop six work plans covering the six strategic areas provided for in the strategic plan. For each:
      i. Propose measurable indicators, timetable and targets that can be used to monitor the successes, and level of implementation of the agreed implementation plans.
      ii. Estimate inputs needed and propose potential resources.
      iii. Suggest lead entities for accountability purposes.
      iv. Identify possible challenges in the implementation of the plan.

C) Prepare an issues and recommendations paper based on the outputs of the workshop concerning further development and implementation of the overall IPPC capacity building strategy.

Implementation:

Prepare an implementation plan for the activities outlined
Conduct interviews with staff to gather baseline on expectations for the workshop
Review and comment on the working documents, create a facilitation plan; propose an agenda and provide any power point presentations as required for distribution to the participants as appropriate and in a reasonable time ahead of the training.

Definition of Outputs

One workshop facilitated during the period December 7-16, 2009.
At the end of the workshop, a report in line with the activities performed.
The results of a workshop evaluation survey in line with the activities performed.
An issues and recommendations paper concerning further development and implementation of the overall IPPC capacity building strategy.

APPENDIX B

PARTICIPANT LIST

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APPENDIX C

Open Ended Working Group on Phytosanitary Capacity Building

Day 1 - Monday 7th December
1. Opening of the Meeting (Meeting Chair) • Meeting Chair • Welcome from IPPC Secretary **2. Review of the Agenda (Meeting Chair)** • Agenda • Documents List • List of Participants • Local Information **3. Discussion: Terms of Reference and Goals of the OEWG (Meeting Chair)** • Phytosanitary Capacity – Definition, and Lessons Learned • Background • Goals/Outputs **4. IPPC Concept Paper -- Presentation and Group Discussion (Meeting Chair)** • Over view of the IPPC Strategic Plan • Overview of the Strategic Areas • Implementing the Strategy - Capacity Building Strategy • Implementation Frame work *Q&A/ Group Discussion* **5. Operational plan** • Review and complete Indicative Operational plan *Group Discussion –elements of a phytosanitary capacity building strategy*

Tuesday 8th – Friday 10th December
Logical Framework "Refresher" Training • Objectives and programme • Introduction to the FAO context: the Standard Project Document, Project Cycle and Logical Framework Approach • Linkages with the Immediate Plan of Action follow up to the IEE-RBM and Strategic Framework Step 1: Who are we? Getting people involved • Participation & stakeholder analysis Step 2: Where are we now? The current situation • Problem Analysis • Objectives and Options Analysis Step 3: Where do we want to be? • Introducing the logical framework; the higher objectives; the first column Step 4: How do we get there? • Logical Frameworks – The lower objectives Step 5: What may stop us getting there? • Risk Analysis & Assumptions Step 6: How will we know if we've got there? How do we prove it? • Laying the foundations for monitoring and evaluation • Performance Indicators • Data sources Step 7: What Resources do we need to get there? • Work plans and Budgets

Saturday 10th
Development of Logframes and then workplans and cross checking with groups o Write up of Logframes and emailing to all participants and other key stakeholders
Monday 14 - Wednesday 16th
• **Agreement on elements of concept, strategy, indicators and implementation plan to be presented to the CPM**
Identification of Lead Institution, beneficiaries and donors
Follow-On Tasks and presentation of papers to the CPM (Meeting Chair)
Adjournment of Meeting (Meeting Chair)

APPENDIX D

Logical Frameworks of Strategic Areas

IPPC Strategy Name: National PS Planning (and management) … **Number:** 1…**Date:** 16/12/09…**Owner:** OEWG 2009

Design Summary-Objectives	Indicators	Data sources	Assumptions
Impact/Goal Improved ability of individuals, organisations and systems of a country to perform phytosanitary functions effectively and sustainably			Legislative and policy framework is in place There is political support for phytosanitary matters (advocacy) Public is aware and supportive of phytosanitary matters (advocacy) Consistent and stable policy framework
Outcome/Purpose Enhanced national phytosanitary system planning, management and leadership	Stakeholder behaviour reflect coherent position on PS systems Technical and administrative coherence evidenced by more trained personnel and application of improved management tools and diagnostic techniques	Institute audit reports Implementation, Review and Support Systems (IRSS)	Political will is forthcoming All players are willing to work together NPPO is able to attract and retain staff with commitment and leadership qualities

Outputs			
1 Fit-for-purpose tools and processes for PS planning	**Revised PCE or other relevant tools**	**PS requirement identified at National and regional levels**	**Tools are used by NPPOs**
	75 % of contracting parties use developed tools of which 50 % are developing countries	**IRSS, Documented NPPO feedback for development or improved of tools**	
2 Critical competencies available in the national phytosanitary system to undertake national planning, management and provide leadership to the NPPO.	**PS national planning framework on critical competencies available**	**NPPO Annual Reports Various internal documents on HR, succession plans, developments and annual budgets**	**Trained technical staff retained in PS system**
	Acquired skills used in planning		
	Increased profile of the NPPO nationally, regionally and internationally	**Mass media outputs, mention of phytosanitary matters in stakeholders reports**	**Advocacy programme is complementary to the efforts of the NPPO**
3 Best practice for national PS action plans developed	**Developed manuals on training, planning, project management and systems review**	**IPP, IRSS, priorities for ISPM, Data, skills and funding requirement documents**	**Consistent with regional and international standards.**
	Evidence of resource allocation matching plans	**National Budget**	**Advocacy and fundraising stages are commensurate to resource requirements**

Activities **1.1. Identifying and review tools for PS capacity evaluation** **1.2. Develop new or revise existing fit for purpose tools** **1.3. Development of IPPC core training materials** **2.1. Training (project management, proposal writing, administrative and management, leadership)** **2.2 Development of staff training programme** **2.3 Develop mentoring programme to support national phytosanitary planning and management** **2.4. Undertake baseline study on planning and management requirements in the national phytosanitary system including stakeholder engagement** **3.1 Develop national phytosanitary action plans including operational manuals, HR plans**			**Resources (human, funds, infrastructure) are available to support training.**

3.2 Develop national emergency response plans for major regional pests that incorporate Emergency Response plans by RPPO where they exist			

IPPC Strategy Name **Participation in standard setting** **Number** **2a** **Date** **16-12-2009** **Owner:** **OEWG 2009**

Design Summary-Objectives	Indicators	Data sources	Assumptions
Impact/Goal **Improved ability of individuals, organisations and systems of a country to perform phytosanitary functions effectively and sustainably**			
Outcome/Purpose **improved capacity of contracting parties to participate in IPPC standard setting.**	**Increase of x% change in contracting parties' perception of quality and relevance of standards** **Increase in number of new topics proposed by non traditional countries[7] to become ISPMs by NPPOs** **Increase in number of staff from non-traditional countries actively participating in technical panel expert working groups etc.**	**Survey data (baseline + intervals)** **IPPC Secretariat** **Survey data (baseline + intervals)**	**CPM responds to contracting parties' needs by preparing ISPMs that countries need;** **Governments are supportive and regional bodies' allocation of required resources is sustained**

[7]Non Traditional Countries are defined as not actively involved at the present time.

Outputs			
1 Enhanced regional coordination of inputs into the standard setting process	**1. Percent increase in number of regionally coordinated national comments presented to IPPC Secretariat.**	**1. RPPO data; IPPC data; regional economic organizations; workshop data/survey data**	**1. Regional bodies give priority and provide resources for PS issues and it is in their mandate to do so.**
2 Enhanced involvement of stakeholders at national level	**2. Percent increase in the number of contracting parties submitting substantive and technical comments endorsed by national stakeholders; percent change in number and variety of stake holders involved in in-country consultations**	**2. Survey to determine level of stakeholder participation in review of draft standards; national data – number of workshops held and numbers of participants**	**2. Stakeholders recognize benefits of participation; standard is potentially beneficial and relevant to country**
3 Quality of contracting parties participation in standard setting activities improved	**3. Increase in the number of countries with national positions prepared; reduction of comments at CPM for adoption of standards; number of referrals reduced; the number of topics submitted by contracting parties increased; increase in the number of countries submitting technical and substantive comments on standards; more comments on draft specifications**	**3. Surveys (numbers of participants, satisfaction, degree of contribution); IPPC data (number of comments received at each stage; number of breakout sessions needed)**	**3. Coordination and advocacy effective to convince release of members to participate; incentives are sufficient available to encourage appropriate/suitable coaches/peers**

Activities **1.1 Regional bodies hold discussion fora/workshops on draft standards, new topics, specifications and CPM preparation** **1.2 Training RPPOs and regional experts in all stages of the standard setting process (e.g. topics, specifications, representation on the SC and in other technical bodes, draft standards)** **1.3 Training RPPOs and regional experts to facilitate/ coordinate standard setting process** **2.1 Hold multi-stakeholder discussion, fora, training, workshops, web on draft ISPMs, new topics, specifications, CPM, etc** **2.2 Prepare and circulate accompanying draft implementation guidelines with draft standards.** **3.1 Hold orientation programme for new CPM delegates** **3.2 Peer/coaching/mentoring for new members of subsidiary bodies of the IPPC** **3.3 Support participation in EWGs and Technical panels** **3.4 Conduct in depth discussion on draft ISPMs**			**Regional bodies;** **Funds available;** **Stakeholders have time to participate; Government willing to facilitate process;** **Resources and experts exist and available;** **Country-specific information relevant to standard is available;** **IPPC continues setting standards;** **Stakeholders known to NPPOs; IPPC Secretariat has staff and partner networks**

3.5 Conduct in-depth discussion on standard setting process and develop and implement/use instruments of commitment.			

IPPC Strategy Name Standards implementation **Number** 2b **Date** 16-12-2009 **Owner:** OEWG 2009

Design Summary-Objectives	Indicators	Data sources	Assumptions
Impact/Goal Improved ability of individuals, organisations and systems of a country to perform phytosanitary functions effectively and sustainably			
Outcome/Purpose Contracting parties (and non-contracting parties) able to implement ISPMs in line with their needs	Increase in number of countries reporting implementation information	International Phytosanitary Portal / survey IRRS	International and regional support is mobilised (CPM); Government invests in phytosanitary institutions; Contracting parties and donors support establishment and maintenance of the system.
Outputs 1. Improved understanding of implementation requirements of specific standards 2. Support provided for implementation of priority ISPMs 3. Level of implementation of ISPMs is appropriate for national needs	Operational plan for implementation established Change in budget allocation for standard implementation at the national level; proportion of contracting parties using materials produced; implementation audit on resource needs; proportion of contracting parties using materials produced; percent reduction implementation difficulties,	Operational plans Annual report Reviews and audits Performance appraisals Budgets IRSS survey Report of IRSS	Products provided and used; NPPO recognizes and establishes priorities; Enough staff applies knowledge and remain in the service; ISPMs are relevant to the contracting parties; Implementation is consistent with implementation elsewhere in region; Trading partners value ISPMs; Implementation is coordinated effect thereby maintain support for standard and implementation process; Countries support and implement the system

	technical enquiries, disputes, disagreements between Phytosanitary services users and providers **Increase in budget allocation for standards implementation at national level; percentage funds provided by donors to Phytosanitary activities; increase in the percentage of training material available and used by contracting parties**		
Activities **1. Develop manuals; guidelines; factsheets; capacity needs assessment tools for implementing specific standards** **2.1 Training on implementation of ISPMs at the national and regional level** **2.2 Establishment of mentoring system for countries to help each other** **2.3 Mobilize resources for implementation of standards** **2.4 Regional coordination, cooperation on implementation, for example shared facilities** **a. Define data requirements collection methods,**			**Facilities, resources, expertise and systems in place;** **National government supports implementation;** **Dynamic leadership to drive the implementation process;** **Get experts; staff; money;** **That there are sufficient mentors to address mentee needs and that communication between mentors and mentees is active;** **Legislation is in place and the legal authority exists for the implementation of standards;** **Administrative framework is in place**

analysis methodologies, etc; use of common indicators to define implementation level of ISPMs **b. Collection and analysis of data** **3. Terms of reference for IRSS programme**			

IPPC Strategy Name: **Communication and Coordination.** **Number:** **3a** **Date:** **16 December 2009** **Owner:** **OEWG 2009**

Design Summary-Objectives	Indicators	Data sources	Assumptions
Impact/Goal **Improved ability of individuals, organisations and systems of a country to perform phytosanitary functions effectively and sustainably**			**Stability of agrarian systems**
Outcome/Purpose **Coordinated phytosanitary capacity development addressing priority needs**	**Evidence of favourable consideration of similar programs in regional fora** **Increase in percentage of priority areas (from phytosanitary plans, etc.) addressed** **Evidence of reduced duplication**	**Annual NPPO reporting** **Records of regional fora**	**Donors and countries recognize the value of coordinating Phytosaniatary Capacity Development**

Outputs **1. Information and resources of international, regional and national bodies identified, managed and coordinated.** **2. Methods and pathways for communication used** **3. Mechanism and synergies for coordination used** **4. Competencies for resource mobilization and management identified and supported through the national phytosanitary action plan** **(linkage to national planning log frame)**	**Number of meetings (at all levels) and consultations with donor agencies to coordinate projects highlighted in national phytosanitary plans** **Number of program documents in which system is referred** **National SPS committee effective/not effective as measured by cross-Ministry awareness of programs, successful integration and delivery of budgets, etc.**	**IPPC records (PCE implementation reports)** **Review of program documents and report by NPPO**	**Third parties allocate and sustain personnel to manage information** **Countries in region willing to accept strong NPPO taking the lead if necessary (i.e., someone willing to lead)** **THINGS *WILL* GET BETTER** **Communication infrastructure made a national a national priority** **IT infrastructure will improve** **All the ministries are cooperative**
Activities **International** **1.1 Build ICT system accessible to donors and recipients with limited general access** **1.2 Develop and conduct periodic survey of capacity development programs to populate the system** **1.3 Train users on system operations** **2.1 Establish "help desk" to facilitate partnering between**	**Percentage of data entered from baseline study** **Percentage change in number of linked programs at the national level** **Percentage change in number of linkages with regional and other multinational organizations.**	**Records of system custodian** **NPPO records** **RPPO records** **Records of help desk**	**Recruitment and retention benefits exist to sustain personnel base** **Willingness to follow directions** **Dynamic leadership** **Information produced is accurate and available** **Funds available**

donors and recipients **2.2 Each successive CPM encourages the use of help desk** **2.3 Help desk empowered to direct donors and recipients to specific projects** **Regional** **3.1 RPPO conducts baseline survey of ongoing or planned projects in member nations.** **3.2 RPPO reports information to IPPC** **National** **4.1 National networking mechanism established** **4.2 National biosecurity/trade facilitation committee established to engage other ministries/departments in cooperative activities that can benefit plant health efforts** **Cross-cutting activities** **5.1 Develop linkages between and among other regional and other multinational organizations**	**Number of requests for help in coordinating future programs.**		

IPPC Strategy Name: Pest information **Number: 3b** **Date: 16 December 2009** **Owner: OEWG 2009**

Design Summary-Objectives	Indicators	Data sources	Assumptions
Impact/Goal **Improved ability of individuals, organisations and systems of a country to perform phytosanitary functions effectively and sustainably**			**Agrarian system is stable**
Outcome/Purpose **Capability to provide plant pest information enhanced.**	**Increase in plant pest information being used.** **Increased evidence of timely and appropriate responses to pest outbreaks - in the form of risk mitigation actions (quarantine actions, development of preparedness plans etc; plans contain operational and budget details).** **Increase of evidence of regional responses complementing national responses.** **Increase in development of market access plans based on pest data by individual countries.** **% increase of CPs reporting**	**National and international economic data sources.** **Official (ad hoc and annual) reports from NPPOs and other Ministries - internal reports and reports to IPPC.** **IPPC reports.** **Media.** **Information from independent monitoring by experts.** **PRAs**	**Institutional cooperation sustained** **Countries meet their pest reporting obligations**

	pests. **% increase in global pest reporting**		
Outputs **1. Officially updated and accurate pest data accessible** **2, Pest data analysed, especially providing early warning for risk mitigation, market access and risk analysis.**	**1. Increase in number of action plans developed** **Number of records available.** **% of pest reports meeting prescribed standards** **Increase in number of pest data sheets updated based on data provided by countries.** **Commodity coverage of records.** **Country and regional coverage of pest data.** **Increase in number of countries with agreed mechanisms to provide data to NPPO.** **2. Number of reports published** **Number of reports accessible and read by plant protection staff** **% of reports regarded as "useful" by NPPOs** **number of personnel using system overall (i.e. primary data, reports, analyses)**		**Information not withheld internationally (e.g. because of trade concerns).** **Sufficient tools available to do the work.** **Underpinning scientific knowledge is adequate or required R&D can be commissioned** **International, expert resource available.** **Communication between partners is adequate (e.g. between researchers, NPPOs)** **Sufficient human resources available within developing countries or can be developed through scholarships etc.** **Recruitment & retention incentives in place to preserve key human resources.**

Activities **1 Gap analysis to determine requirements for surveillance, diagnostics, reference collections, information systems etc.** **2. Enhancement of surveillance skills through training - especially practical application.** **3 Enhancement of diagnostic capabilities through on-job training etc.** **4 Enhancement of diagnostic capability through development of laboratory infrastructure, tools and networking.** **5 Enhancement of reference collections – physical facilities, protocols.** **5 Create information systems at local and national levels. Mechanisms created to provide pest information to NPPOs.** **6. Training in compilation of pest information and management of information systems provided to national actors, including NPPOs.** **7. Pest information analysed; reports and early warnings issued.**	**1. Gap analysis undertaken and endorsed by NPPOs & regional bodies.** **2. Surveillance data meeting international standards.** **3. Number of diagnoses performed, international best practice and standards employed, coverage matches priority areas, voucher material in reference collections etc.** **4. Quantity and appropriateness of equipment, facilities, tools etc. Agreed cooperative arrangements among laboratories.** **4. Numbers of storage units etc. Degree to which management protocols conform to international best practice.** **5. Local information systems using international standards in place. In-country mechanisms created to provide pest information to NPPO.** **6. Information systems, data**	**1. NPPO and regional body records.** **2. Data in national information systems – NPPO reports.** **3, 4, 5. 6. 7. NPPO reports. In-country surveys.**	**Incentives exist for researchers etc to collaborate with NPPO (e.g. papers).** **Willing followers.** **Dynamic leadership.** **Funds.** **Partners to contribute expertise.**

8. Training provided in analysis of pest information, preparation of pest reports and issuing of pest warnings.	**conforms to international standards etc.** **7. Reports and warnings prepared.** **8. Number of developing country staff participating in preparation of pest reports and warnings.**		

IPPC Strategy Name: **Resource mobilization (Fundraising)** **Number:** **4** **Date:** **16/12/09**…**Owner:** **OEWG 2009**

Design Summary-Objectives	Indicators	Data sources	Assumptions
Impact/Goal **Improved ability of individuals, organisations and systems of a country to perform phytosanitary functions effectively and sustainably**			**Legislative and policy support for cost-sharing mechanism** **Political support** **Stakeholder including end-user support** **Strong advocacy for phytosanitary matters (IPPC, CPM, NPPO, FAO, CBD)**
Outcome/Purpose **Enhanced capacity to mobilize funds**	**Increased budget allocation** **Increase in number and value of the projects funded**	**Annual National budget** **Project documents** **NPPO reports**	

Outputs			
1 Enhanced capacity to engage donors at all levels	**No of dialogues held between, CPs and/or IPPC Secretariat with donors** **Evidence of coordinated funding of PS projects** **Guidelines on engaging donors available**	**Dialogue reports** **IPP and IRSS entries on national phytosanitary projects**	**Advocacy – willingness of donors to dialogue** **Donor priority is considerate of phytosanitary matters**
2 Enhanced capacity to raise funds from national sources.	**National trust funds established** **Increased budget allocation**	**Trust Fund Budget and statements** **National Budget**	**End-users of phytosanitary service agree to cost sharing policy**
3 Enhanced capacity to raise funds from donor and philanthropic funded projects	**Cost sharing mechanism established** **No and value of the projects funded**	**Operational manuals, budget documents** **Project Document, IPP**	**Philanthropies are sympathetic to phytosanitary concerns.** **Staff are adequate skilled in project writing, budgeting and communication**
Activities			
1.1 Donor coordination meetings at all levels **1.2 Coordinate PS project funds to maximise fund available for PS activities** **1.3 Develop guidelines for engaging donors** **1.4 Develop criteria and guideline for funding support**			

1.5 IPPC develops formal mechanism for donor dialogue **1.6 Hire dedicated fundraiser in the IPPC Secretariat** **1.7 IPPC facilitates meeting with donors e.g. at side meetings at the CPM** **2.1. Undertake national baseline analysis and determine level of funds required.** **2.2. Develop a cost sharing (cost-recovery/user-pay) mechanism** **2.3. NPPO management actively involved in budgeting process of the Ministry** **3.1 Training (project management, proposal writing, administrative and management, leadership)** **Needs to link to Logframe 3**			

IPPC Strategy Name: Advocacy **Number:** 5 **Date:** 16 - 12 - 2009 **Owner:** OEWG 2009

Design Summary-Objectives	Indicators	Data sources	Assumptions
Impact/Goal Improved ability of individuals, organisations and systems of a country to perform phytosanitary functions effectively and sustainably			
Outcome/Purpose Improved capacity to promote national phytosanitary systems	Increase in level of stakeholder understanding and approval of phytosanitary issues Increased number of contracting parties with updated legislation and policies in line with IPPC and SPS	Survey data; Report on baseline study; Country reports IRSS reports National Statutes FAO on-line legal data base (FAOLEX)	Cooperative environment in government structure; Governments support strategy. NPPO implement the strategy. Minister and key officials push for inclusion of capacity development

Outputs			
1 Enhanced involvement of the NPPO in formulating national policy **2 Enhanced NPPO capacity to develop and promote their own capacity development** **3 NPPOs have better capacity to develop and implement communication/advocacy strategies** **4 Enhanced capacity to coordinate national actors** **5 Enhanced capacity of regional bodies to influence, assist, and promote national policy** **6 Capacity to generate, access and retrieve data and information**	**1. Increase in number of agricultural policies: Poverty Reduction Strategy Plans (PRSPs), UNDAF, National Medium Term Policy Frameworks featuring phytosanitary content.** **2. NPPOs have formulated their own capacity development strategy.** **3. Increased funding of phytosanitary activities from various sources according to identified needs.** **4. Reduction on reliance of external funding assistance / increase in self-funding.** **5. NPPO's have formulated their own communication and advocacy strategy.** **6. Increased number of NPPOs whose mandate includes communication and advocacy.** **7. Increased number of evidence-based advocacy, communication and policy documents produced.** **8. Increased use of cost/benefit studies of phytosanitary services.**	**1. Policy documents. Policy Study data and report** **2. Donor funding information; national budget information; evidence of capacity development strategies approved** **3. Evidence of strategies in place – NPPO reports** **4. NPPO survey reports** **5. Survey of NPPOs for annual reports and other reports based on output, annual reports, studies, case studies policy documents; report documenting IPPC approved capacity development projects** **6. Annual reports**	**Agriculture minister and other policy makers support goals and objectives.** **Inclusion of appropriate components of strategy in policy revisions and development action plans.** **Sufficient data communication means are available.** **National policy is complementary with RPPO/IPPC/other regional economic organizations.** **Key stakeholders see relevance and stay involved.** **Recruitment and retention incentives**

Activities **1.1 Develop training materials; deliver training; evaluate training impact on ploicy** **1.2 National and regional mentoring** **1.3 Conduct study of policy documents for phytosanitary content** **2.1 Develop and apply needs assessment tools** **2.2 develop guidelines for phytosanitary phytosanitary capacity building based on Paris Principles** **3.1 Develop training materials; deliver training; evaluate training impact on communication and advocacy** **3.2 Enhance communication skills to convince senior officials** **4.1 Engage industry and other private stakeholders** **4.2 Formalize regular linkages – bridge building with customs, immigration, trade groups and private sector**			**Funds are available;** **active, engaged dynamic leaders with integrity;** **transparent environment;** **willingness to make changes** **Stakeholders support and are receptive** **NPPO managers have better communication and advocacy skills.** **NPPO able to argue their case**

4.3 Encourage public private partnership with users of phytosanitary service **4.4 Develop and promote case studies of private sector/public sector collaboration to achieve phytosanitary / bio security / market access objectives** **5.1 Create fora for interchange of experiences and skills on phytosanitary advocacy among regional bodies** **5.2 Utilize other international fora (e.g. APEC) to advocate for national phytosanitary systems** **5.3 Conduct baseline study of RPPO relevance** **6.1 Provide guidelines, training and tools for data generation, retrieval and analysis.** **6.2 Review of current phytosanitary advocacy and communication documentation**			

IPPC Strategy Name: Monitoring & Evaluation **Number:** 6 **Date:** 16 December 09 **Owner:** OEWG 2009

Design Summary-Objectives	Indicators	Data sources	Assumptions
Impact/Goal Improved ability of individuals, organisations and systems of a country to perform phytosanitary functions effectively and sustainably			
Outcome/Purpose Capacity development actively monitored, evaluated and lessons learned acted upon	Increased evidence of influence on design of new projects – including implementation, M&E framework,	Donor records National records (esp. NPPOs) *Surveys satisfaction* *Budget allocation* *Stakeholder fora reports* *Annual reports of National, regional, international* *External Evaluations* *IRSS*	Open sharing of results of analyses takes place; methods subject to review.
Outputs 1 Monitoring and evaluation tools developed and used. 2 Periodic reviews and assessments being conducted. 3 Continual process of improvement (adaptive management) 4 IPPC Seal of Approval instituted. 5 Enhanced capacity to perform M&E at all levels.	Increase in activities reviewed. % of increase in partnerships with independent institutions conducting reviews. Number of evaluation reports produced. Evidence of improvement in analytical methodologies, data structures, % increase in number of	Obligatory report to IPPC from NPPO evaluation reports National PCE reports	Common methodology agreed. IPPC adopts seal of approval. RPPO/IPPC facilitates information gathering and sharing.

	projects using IPPC seal of approval. **% increase in number of NPPOs utilising M&E information for planning.**		
Activities **1.1 M&E tools developed, including depository tool.** **1.2. Establish baseline of available M&E tools.** **1.3. Training in use of depository.** **1.4. Training in use of M&E tools** **1.5. IPPC secretariat (and others) promote use of M&E tools.** **1.6. Data entry into depository.** **1.7 Adjust M&E tool when necessary** **2.1 Partner with leading institutions to conduct reviews and assessments.** **2.2. Create time frame and schedule for conducting long-term reviews.** **3. Share review results as appropriate.**	**Tools developed** **Quantity of data entered.** **Number of training session in M&E.** **Number of individuals/institutions using M&E principles.** **Evidence of IPPC promotion.** **Time frame for reviews created.** **Evidence of sharing of information.** **IPPC seal of approval exists** **Number of long-term reviews conducted.**	**Reports from NPPOs, IPPC records.** **Information solicited from donors.**	**Non-govt sector willing to participate.** **Skilled human resources available.** **Funds available.** **IPPC recognises need for seal of approval.**

4. Develop recognition mechanisms for countries using the IPPC seal of approval **5. M and E Training course designed and delivered.**			

APPENDIX E

Work Plans and Outline Budgets

IPPC Capacity Development Work Plans					Review	Development Activity	Ongoing Activity
Logframe No: 1	Strategic Area: National PS Planning and Management	Date: 15/12/09	Owner: OEWG 2009				

Timeframe Years/Months

Activity No:	Description:	Lead Entity:	Supported by:	Funding Options	Notes/Comments	Year 1				2				3				4				5				6				Budget Costs $US 000						Total
						1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Costs
1.1	Identifying and review tools for PS capacity evaluation	IPPC Sec	NPPO, RPPO	IPPC Sec, FAO-TCP, Donors	Donors includes bilateral, multilateral, regional and sub-regional funded projects																									20						20
1.2	Develop new or revise existing fit for purpose tools	IPPC Sec	NPPO, RPPO	IPPC Sec, RPPO, FAO-TCP, Donors	Other activities are depended on tools being revised or developed																									100	100					200
1.3	Development of IPPC core training materials	IPPC	NPPO, RPPO	IPPC Sec, RPPO, FAO-TCP, Donors																												300				300
2.1	Training (project management, proposal writing, administrative and management, leadership)	NPPO	IPPC Sec, RPPO	National, IPPC Sec, RPPO, FAO-TCP, Donors	National activities based on needs and priorities																									500	500	500	500	500	500	3000
2.2	Development of staff training programme	NPPO	IPPC Sec, RPPO	National, IPPC Sec, RPPO, FAO-TCP, Donors	National activities based on needs and priorities																										500					500
2.3	Develop mentoring programme to support national phytosanitary planning and management	IPPC Sec	NPPO, RPPO, STDF, others	National, IPPC Sec, RPPO, FAO-TCP, Donors																														150	10	160
2.4	Undertake baseline study on planning and management requirements in the national phytosanitary system including stakeholder engagement	NPPO	IPPC Sec, RPPO	National, IPPC Sec, RPPO, FAO-TCP, Donors	National activities based on needs and priorities																									2500						2500
3.1	Develop national phytosanitary action plans including operational manuals, HR plans	NPPO	IPPC Sec, RPPO	National, IPPC Sec, RPPO, FAO-TCP, Donors	National activities based on needs and priorities																											3000	3000			6000
3.2	Develop national emergency response plans for major regional pests that incorporate Emergency Response plans by RPPO where they exist	NPPO	IPPC Sec, RPPO	National, IPPC Sec, RPPO, FAO-TCP, Donors	National activities based on needs and priorities																												500	500	500	1500
																														3120	1100	3800	4000	1150	1010	14180

IPPC Capacity Development Work Plans					Review	Development Activity	Ongoing Activity
Logframe No: 2A	Strategic Area: Standard Setting	Date: 15/12/09	Owner: OEWG 2009				

Activity No:	Description:	Lead Entity:	Supported by:	Funding Options	Notes/Comments	Year 1				2				3				4				5				6				Budget Costs $US 000						Total
						1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Costs
1.1	Regional bodies hold discussion fora/workshops on draft standards, new topics, specifications and CPM preparation	RPPO	IPPC Sec, REOs	FAO, Donors, IPPC Sec	1 month per year for 6 years																									0.79	0.79	0.79	0.79	0.79	0.79	4.74
1.2	Training RPPOs and regional experts in all stages of the standard setting process (e.g. topics, specifications, representation on the SC and in other technical bodes, draft standards)	IPPC Sec	RPPOs, Experts	IPPC Sec, FAO, Donors, RPPOs	3 months over 6 years																									0.4	0.4	0.4	0.4	0.4	0.4	2.4
1.3	Training RPPOs and regional experts to facilitate/ coordinate standard setting process	IPPC Sec	Experts, RPPOs	IPPC Sec, FAO, Donors, RPPOs	2 days per year for 6 years (1 month total). Linked to budgeted workshops that the IPPC holds. This expenditure represents an additional days cost to the normal 5 day meeting																									0.016	0.016	0.016	0.016	0.016	0.016	0.096
2.1	Hold multi-stakeholder discussion, fora, training, workshops, web on draft ISPMs, new topics, specifications, CPM, etc	RPPOs/IPPC Sec	NPPOs, REOs, IPPC Sec, FAO	Donors, NPPO, RPPO, FAO, IPPC Sec	3 months over 6 years																									0.79	0.79	0.79	0.79	0.79	0.79	4.74
2.2	Accompanying draft implementation guidelines with draft standards (Approx 5 per year).	IPPC Sec/Expert	Experts, RPPOs, NPPOs	Donors, NPPO, RPPO, FAO, IPPC Sec	Implementation requirements guideline prepared that goes out with each draft standard sent for country consultation. 12 man months per standard per year.																															
	A. Prepare guideline																																			
	B. Circulate / review guideline																																			
	C. Distribute guideline at regional workshops																													0.05	0.05	0.05	0.05	0.05	0.05	0.3
3.1	Hold orientation programme for new CPM delegates	IPPC Sec	RPPOs, FAO	Donors, NPPO, RPPO, FAO, IPPC Sec	1 day over 6 years. A meeting of a few hours prior to start of the CPM.																															0.01
3.2	Peer/coaching/mentoring for new members of subsidiary bodies of the IPPC	IPPC Sec	RPPOs, FAO	Donors, NPPO, RPPO, FAO, IPPC Sec	1 month over 6 years. A meeting of a few hours prior to start of the Subsidiary Body's meeting (e.g. Bureau, SPTA, EWG, TPs, SC etc.)																															0.01
3.3	Support participation in EWGs and Technical panels (Max 2 technical standards per year)	IPPC Sec	RPPOs, NPPOs	Donors, NPPO, RPPO, FAO, IPPC Sec	Only done for technical standards for which the members of an EWG or TP needs a global view of the topic at hand																															
	Topic specific technical overview/field review for the purpose of orientation of members drafting a standard																													0.07	0.07	0.07	0.07	0.07	0.07	0.42
3.4	Conduct in depth discussion on draft ISPMs			Donors, NPPO, RPPO, FAO, IPPC Sec	8 months over 6 years assuming the IPPC produces 5 standards per year																															
	Review of draft standards at national level	NPPO	RPPO, REOs																											0.004	0.004	0.004	0.004	0.004	0.004	0.024
	Review of draft standards at regional level	RPPO	NPPO																											0.79	0.79	0.79	0.79	0.79	0.79	4.74
3.5	Conduct in-depth discussion on standard setting process and develop and implement/use instruments of commitment.	IPPC Sec/experts	RPPO, REOs	Donors, NPPO, RPPO, FAO, IPPC Sec	6 days over 6 years - this activity can be combined with other workshops or conducted independently																									0.017	0.017	0.017	0.017	0.017	0.017	0.102
3.6	Monitoring and evalutaion	CPM	NPPOs, RPPOs, IPPC Sec, Donors	Donors, NPPO, RPPO, FAO, IPPC Sec																																
	Annual reports																													0.002	0.002	0.002	0.002	0.002	0.002	0.012
	midterm review																																0.002			0.002
	external evaluation																																		0.01	0.01
																																			Total	17.606

IPPC Capacity Development Work Plans					Review	Development Activity	Ongoing Activity
Logframe No: 2b	Strategic Area: Implementation	Date: 15/12/09	Owner: OEWG 2009				

Activity No:	Description:	Lead Entity:	Supported by:	Funding Options	Notes/Comments	Year 1	2	3	4	5	6	Budget Costs $US 000						Total
						1-Mar, 3-Jun, 6-Sep, 9-Dec	1-Mar, 3-Jun, 6-Sep, 9-Dec	1-Mar, 3-Jun, 6-Sep, 9-Dec	1-Mar, 3-Jun, 6-Sep, 9-Dec	1-Mar, 3-Jun, 6-Sep, 9-Dec	1-Mar, 3-Jun, 6-Sep, 9-Dec	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Costs
1	**Develop manuals; guidelines; factsheets; capacity needs assessment tools for implementing specific standards**	IPPC		NPPO, RPPOs, Donors, IPPC Sec, FAO	72 months;													
	Implementation of 32 stds @ 2009	RPPOs/ Experts	IPPC Sec															
	Technical standards (e.g. Treatments, Diagnostic)																	
	Pest exclusion standards (Surveillance, Eradication, etc.)				Assume materials developed for 6 standards per year							0.12	0.12	0.12	0.12	0.12	0.12	0.72
	Market access standards (e.g. Import regulatory, Export certification, PFAs etc.)																	
	Review and improvement of existing tools e.g. PCE	IPPC/Experts	RPPOs, NPPOs		Assume ongoing PCE work in year 1 and 4 additional tools over 5 years thereafter							0.04						0.04
	Development of new tools for implmentation	IPPC/Experts	RPPOs, NPPOs									0.06	0.06	0	0	0	0	0.12
2.1	**Training on implementation of ISPMs**	RPPO		NPPO, RPPOs, Donors, IPPC Sec, FAO-TCP	Estimate 4 months per standard (32 stds @ 2009);													
	National level																	
	Implementation of 32 stds @ 2009	Experts, NPPO	RPPO															
	Technical standards (e.g. Treatments, Diagnostic)				Assume a target of 40 developing countries requiring assistance over 6 years; TCP valued at 400K per project.													
	Pest exclusion standards (Surveillance, Eradication, etc.)																	
	Market access standards (e.g. Import regulatory, Export certification, PFAs etc.)											2.4	2.4	2.8	2.4	2.4	2.4	14.8
	Regional level	RPPO/Experts	IPPC Sec		9 regional workshops													
	Workshops											0.79	0.79	0.79	0.79	0.79	0.79	4.74
	Higher level education	RPPO	IPPC Sec, NPPO															
	Establishment of centers of excellence				For 1 Center of Excellence - development of framework costs approx. 900k													
	Phytosanitary curriculum development																	0.9
2.2	**Establishment of mentoring system for countries to help each other**	RPPO	REOs, IPPC Sec, NPPOs	NPPOs, RPPOs, REOs	8 months to develop and the programme is ongoing thereafter							0.2	0.2	0.2	0.2	0.2	0.2	1.2
2.3	**Mobilize resources for implementation of standards**	NPPO		NPPOs, Donors, STDF, RPPOs, REOs, IPPC Sec	Continuous programme and draws on all aspects related in the CD strategy													
	Develop advocacy materials	IPPC Sec/FAO	RPPOs, REOs, SPTA									0.02						0.02
	Advocate	NPPO																0

	Develop communication materials	IPPC Sec/FAO	RPPOs, REOs, SPTA																									0.02				0.02
	Communicate	NPPO																														0
	Develop planning tools	IPPC Sec/FAO	RPPOs, REOs																										0.02			0.02
	Plan	NPPO																														0
	Develop resource plan	NPPO	RPPOs, REOs, SPTA																											0.02		0.02
	Staffing	NPPO																														
	donor matching	IPPC Sec	RPPOs, REOs																													
	mentoring (see Activity 2.2)	NPPO	RPPOs, REOs, IPPC Sec																													
3	**Terms of reference for IRSS programme**	IPPC Sec																														0.13
	1. Active ongoing monitoring of IPPC reporting obligations	IPPC Sec	NPPO, RPPO, REOs		Year 1 to year 3 is development and implementation of the programme																											
	a. Define data requirements collection methods, analysis methodologies, etc; use of common indicators to define implementation level of ISPMs	IPPC Sec	NPPO, RPPO, REOs																													
	2. Implementation support system	IPPC Sec, RPPO	NPPO, RPPO, REOs	STDF, WTO, FAO, IPPC																												
	National and Regional coordination, cooperation on implementation, for example shared facilities				Year 4 - Year 6 review and improvement of the progamme																											
	3. Triennial review of the implementation of obligations other than reporting obligations	Expert, IPPC Sec	NPPO, RPPO, REOs																													
	a. Collection and analysis of data	NPPO, Expert	IPPC Sec, NPPO, RPPO, REOs																													
																														Total		22.73

IPPC Capacity Development Work Plans				Review	Development Activity	Ongoing Activity
Logframe No: 3a	Strategic Area: Communication and Coordination	Date: 15/12/09	Owner: OEWG 2009			

Activity No:	Description:	Lead Entity:	Supported by:	Funding Options	Notes/ Comments	Year 1				2				3				4				5				6				Budget Costs $US 000						Total
						1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Costs
1	Establish baseline	IPPC	NPPOs and RPPOs	Donors		30 days cumulative																														
1.1	Build ICT system accessible to donors and recipients with limited general access	IPPC	NPPOs and RPPOs	IDRC Canada (?)		20																								20						20
1.2	Develop and conduct periodic survey of capacity development programs to populate the system	IPPC	NPPOs and RPPOs	Donors																																
1.3	Train users on system operations	IPPC	NPPOs and RPPOs	Donors				350																						350						350
2.1	Establish "help desk" which is empowered to facilitate and maintain partnering between donors and recipients	IPPC	NPPOs and RPPOs	Donors	This will necessitate the hiring of an additional full time employee dedicated to help desk operations	150				150				150				150				150				150				150	150	150	150	150	150	900
2.2	Each successive CPM encourages the use of help desk	CPM	NPPOs and RPPOs	Donors																																
3.1	RPPO conducts baseline survey of ongoing or planned projects in member nations.	RPPO	NPPOs and RPPOs	Donors, RPPOs																																
3.2	RPPO reports information to IPPC	RPPO	NPPOs and RPPOs	Donors																																
4.1	National networking mechanism established	NPPO/ RPPO/IPPC	NPPOs and RPPOs	Donors	Initial development activity may require IPPC intervention for providing description of what is required - regional travel	25																								25						25
4.2	National biosecurity/trade facilitation committee established to engage other ministries/departments in cooperative activities that can benefit plant health efforts	NPPO/ RPPO/IPPC	NPPOs and RPPOs	Donors	Initial development activity may require IPPC intervention for providing description of what is required - regional travel	25																								25						25
5.1	Develop linkages between and among other regional and other multinational organizations	IPPC/RPPO	NPPOs and RPPOs	Donors	Five donor conferences held on a regional basis at an average cost of $75,000	375																								375						375
6.1	Mid-term review	IPPC	NPPOs and RPPOs	Donors																																
6.2	Final Review	IPPC	NPPOs and RPPOs	Donors																																
																														945	150	150	150	150	150	1695

IPPC Capacity Development Work Plans				Review	Development Activity	Ongoing Activity
Logframe No: 3b	Strategic Area: Pest Information	Date: 15/12/09	Owner: OEWG 2009			

Activity No:	Description:	Lead Entity:	Supported by:	Funding Options	Notes/ Comments	Year 1				2				3				4				5				6				Budget Costs $US 000						Total
						1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Costs
1	Gap analysis to determine requirements for surveillance, diagnostics, reference collections, information systems etc.	IPPC and Independent Consultants	IPPC/RPPO/NPPO and other institutions	Donors																										350						350
2	National Planning Activities	NPPOs	IPPC/RPPO/and other institutions	Donors																																
3.1	Enhancement of surveillance skills through training - especially practical application.	Member Consortia	NPPOs	Donors	This represents a two year cycle which will include a training workshop (train the trainer), followed by actual surveillance activities culminating in a consolidation workshop. The acitivities are governed by seasonality, and as a result the initial training workshops will need to be held over a six month period.																										1100	700	1100	700		3600
3.2	Development of Specialist Diagnosticians	Member Consortia	IPPC/RPPO/NPPO	Donors	Activitiy will be episodic and short term. Reflected as ongoing over the life of the project.																										400	400	400	400	400	2000
4.1	Enhancement of diagnostic capability through development of laboratory infrastructure.	Member Consortia	IPPC/RPPO/NPPO	Donors	Needs determined based on gap analysis and midterm review																										500		500			1000
4.2	Enhancement of diagnostic capability through development of tools.	Member Consortia	IPPC/RPPO/NPPO	Donors	These purchases will include books, Lucid keys, etc.																										100		100			200
4.3	Enhancement of diagnostic capability through development of networking.	Member Consortia	IPPC/RPPO/NPPO	Donors	Vision is to establish a regional network which would include a management committee, registers of expertise in regions, etc. This will also require a series of regional workshops each year.																										350	350	350	350	350	1750
4.4	Enhancement of reference collections – physical facilities, protocols.	Member Consortia	IPPC/RPPO/NPPO	Donors	Driven by gap analysis, and revisited periodically																										100		100			200
4.5	Confirmatory identifications	Member Consortia	IPPC/RPPO/NPPO	Donors																											100	75	50	40	30	295
5.1	Create and deploy information systems at local and national levels. Mechanisms created to provide pest information to NPPOs.	Member Consortia	IPPC/RPPO/NPPO	Donors																										80	80	80	80	80	80	480
5.2	Training in compilation of pest information and management of information systems provided to national actors, including NPPOs.	Member Consortia	IPPC/RPPO/NPPO	Donors																											100					100
5.3.	Data entry	NPPOs		Donors																												700				700
6.1	Training provided in analysis of pest information, preparation of pest reports and issuing of pest warnings.	Member Consortia	IPPC/RPPO/NPPO	Donors	Dependent on complexity of tasks to be done																															
7	Pest information analysed; reports and early warnings issued.	NPPOs	IPPC/RPPO/NPPO	Donors																																0
8	Embed SPS-related material in national tertiary and vocational curricula	NPPOs	IPPC/RPPO	Donors																																0
9	Strategy area management	IPPC/RPPO/NPPO		Donors																										300	300	300	300	300	300	1800
10	Midterm review	Independent NGO	IPPC	Donors																																0
																														730	3130	2605	2980	1870	1160	12475

IPPC Capacity Development Work Plans				Review	Development Activity	Ongoing Activity
Logframe No: 4	Strategic Area: Resource Mobilisation (Fundraising)	Date: 15/12/09	Owner: OEWG 2009			

Activity No:	Description:	Lead Entity:	Supported by:	Funding Options	Notes/ Comments	Year 1				2				3				4				5				6				Budget Costs $US 000						Total
						1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Costs
1.1	Donor coordination meetings at all levels	IPPC Sec	NPPO, RPPO	IPPC Sec, Donors	Donors includes bilateral, multilateral, regional and sub-regional funded projects																										20	20	20	20	20	100
1.2	Coordinate PS project funds to maximise fund available for PS activities	NPPO, IPPC Sec	RPPO, Donors	IPPC Sec, RPPO, Trust Funds, Donors																											20	20	20	20	20	100
1.3	Develop guidelines for engaging donors	IPPC Sec	NPPO, RPPO	IPPC Sec, RPPO, Donors																												60				60
1.4	Develop criteria and guideline for funding support	IPPC Sec	NPPO, RPPO	National, IPPC Sec, RPPO, Donors																												60				60
1.5	Hire dedicated fundraiser in the IPPC Secretariat	IPPC Sec	NPPO, RPPO, FAO and others	Trust Funds, IPPC Sec, Donors																											140	140	140	140	140	700
1.6	IPPC facilitates meeting with donors (e.g. side meetings at the CPM)	IPPC Sec.	NPPO, RPPO	Trust Fund, IPPC Sec, Donors																											60	60	60	60	60	300
2.1	Undertake national baseline analysis and determine level of funds required.	NPPO	IPPC Sec, RPPO	National, IPPC Sec, RPPO, FAO-TCP, Donors	National activities will be based on need																									2000						2000
2.2	Develop a cost sharing (cost-recovery/user-pay) mechanism	NPPO	IPPC Sec, RPPO, National stakeholders	National, IPPC Sec, RPPO, National end-user of PS services,Donors	National activities will be based on need and priority																									600	1000	1000	600	600	600	4400
2.3	NPPO management actively involved in budgeting process of the Ministry	NPPO	National stakeholders	National, IPPC Sec, RPPO, National end-user of PS services,Donors	National activities will be based on need																									300	1000	1000	1000	1000	1000	5300
																														2900	2240	2360	1840	1840	1840	13020

IPPC Capacity Development Work Plans				Review	Development Activity	Ongoing Activity
Logframe No: 5	Strategic Area: Advocacy	Date: 15/12/09	Owner: OEWG 2009			

Activity No:	Description:	Lead Entity:	Supported by:	Funding Options	Notes/ Comments	Year 1				2				3				4				5				6				Budget Costs $US 000						Total
						1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Costs
1.1	**Develop training materials; deliver training; evaluate training impact on policy**	**RPPO/REO**	**FAO**	**IFAD, FAO, WB, NPPO**	**6 months**																									0.1	0.1	0.1	0.1	0.4	0.4	1.2
1.2	**National and regional mentoring**	NPPO/RPPO	IPPC Sec	NPPO	72 months; ongoing, Costing only staff required by IPPC Sec and RPPO																									0.01	0.02	0.01	0.01	0.02	0.01	0.08
1.3	**Conduct study of policy documents for phytosanitary content**	RPPO/REOs	FAO	RPPO, REO, IFAD, FAO, WB, NPPO	3 months																									0.06						0.06
2.1	**Develop and apply needs assessment tools**	FAO	NPPO	RPPO, REO, IFAD, FAO, WB, NPPO	3 months; assumption: 4 tools to be developed and applied; Assume 7 workshops in year 5 and 6																									0.1	0.1	0.1	0.1	0.4	0.4	1.2
2.2	**Develop guidelines for phytosanitary capacity building based on Paris Principles**	REO/RPPO	NPPO, IPPC Sec	STDF,FAO,WB	1 month																									0.06						0.06
3.1	**Communication and advocacy**			FAO,WB,IFAD,	6 months; Assuming 20 countries per year																															
	Develop training materials;	FAO	IPPC Sec																											0.16						0.16
	deliver training;	REO/RPPO	Expert/NPPO/IPPC Sec																											0.06	0.06	0.12	0.06	0.06	0.06	0.42
	Evaluate training impact	FAO	Expert																											0.12	0.12	0.12	0.12	0.12	0.12	0.72
3.2	**Enhance communication skills to convince senior officials**	NPPO	RPPO/REO/FAO	NPPO,FAO,WB,RPPO,REO,	2 months per year; assume 20 countries conduct 2 national workshops per year																									0.16	0.16	0.16	0.16	0.16	0.16	0.96
4.1	**Engage industry and other private stakeholders**	NPPO	RPPO/REO	Private Sector, NPPO, RPPO, REO	3 months over 6 years; assume 20 countries conduct 2 national workshops per year																									0.16	0.16	0.16	0.16	0.16	0.16	0.96
4.2	**Formalize regular linkages – bridge building with customs, immigration, trade groups and private sector**	NPPO	REO	Private Sector, NPPO, REO	3 months over 6 years; assume 20 countries conduct 2 national workshops per year																									0.16	0.16	0.16	0.16	0.16	0.16	0.96
4.3	**Encourage public private partnership with users of the phytosanitary service**	NPPO	REO	Private Sector, NPPO, REO	3 months over 6 years; assume 20 countries conduct 2 national workshops per year																									0.16	0.16	0.16	0.16	0.16	0.16	0.96
4.4	**Develop and promote case studies of private sector/public sector collaboration to achieve phytosanitary / bio security / market access objectives**	Expert/FAO	REOs, RPPO, FAO, IPPC Sec	NPPO,FAO,WB,RPPO,REO, STDF	24 months at year 5 and 6; Assume a sample of 120 countries over 6 years = 12 country study.																													0.025	0.025	0.05
5.1	**Create fora for interchange of experiences and skills on phytosanitary advocacy among regional bodies**	RPPO/IPPC Sec	FAO, REOs	STDF, NPPO, WB, REO, RPPO	2 meetings per year; 3 months total																									0.12	0.12	0.12	0.12	0.12	0.12	0.72
5.2	**Utilize other international fora (e.g. APEC) to advocate for national phytosanitary systems**	RPPO/REOs	IPPC Sec	STDF, NPPO, WB, REO, RPPO	1 Meeting every quarter; 4 per year; 6 months total; Assuming 10 delegates from 9 RPPOs and the IPPC Sec attending 4 meetings per year																									0.2	0.2	0.2	0.2	0.2	0.2	1.2
5.3	**Conduct baseline study of RPPO relevance**	IPPC Sec	NPPO, REOs	FAO, NPPO, REOs	3 months																									0.06						0.06
6.1	**Provide guidelines, training and tools for data generation, retrieval and analysis.**	FAO	IPPC Sec, REOs, RPPOs	FAO, NPPO, REOs, STDF	4 months total																															0.06
6.2	**Review of current phytosanitary advocacy and communication documentation**	FAO/IPPC Sec	NPPO, REOs, RPPOs	IPPC, FAO, WB, STDF, NPPO, REO, RPPO	3 months																									0.06						0.06
																														TOTAL						9.89

IPPC Capacity Development Work Plans				Review	Development Activity	Ongoing Activity
Logframe No: 6	Strategic Area: Monitoring and Evaluation	Date: 15/12/09	Owner: OEWG 2009			

Activity No:	Description:	Lead Entity:	Supported by:	Funding Options	Notes/Comments	Year 1				2				3				4				5				6				Budget Costs $US 000						Total
						1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	1-Mar	3-Jun	6-Sep	9-Dec	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Costs
1.1	Establish baseline of available M&E tools.	IPPC	NPPOs	Donors																										30						30
1.2	M&E tools developed, including depository tool.	IPPC	NPPOs and other institutions	Donors																										30	10	10	10	10	10	80
1.3	Training in use of depository.	IPPC		Donors																										175	175					350
1.4	Training in use of M&E tools	IPPC		Donors																										175	175					350
1.5.	IPPC secretariat (and others) promote use of M&E tools.	IPPC and other instiututions		Donors																																0
1.6.	Data entry into depository.	NPPOs	IPPC	Donors																																0
1.7	Adjust M&E tool when necessary	IPPC contracting		Donors, Interested NGOs																																0
2.1	Partner with leading institutions to conduct reviews and assessments.	IPPC		Donors																																0
2.2.	Create time frame and schedule for conducting long-term reviews. Emphasizing impact.	IPPC contracting		Donors	This activity requires funding for the commissioning of the long term reviews.																															0
3	Share review results as appropriate.	IPPC		Donors																												100	50	50	50	250
4	Develop recognition mechanisms for countries using the IPPC seal of approval	IPPC		Donors																																0
5	Management of M and E tool	IPPC		Donors																										30	30	30	30	30	30	180
6	Review	IPPC contracting		Donors																																0
																														440	390	140	90	90	90	1240

APPENDIX F

Summary Budgets by Strategic Areas for the six-year Phytosanitary Capacity Building Plan

Logframe No.	**Capacity Development Strategic Area**				**YEAR**	(000)			
	Strategic Area		1	2	3	4	5	6	Total
1	Enhanced national phytosanitary systems planning, management and leadership.		3,120	1,100	3,800	4,000	1,150	1,010	14,180
2a	Capacity of contracting parties to participate in IPPC standard setting improved.		2,929	2,929	2,929	2,931	2,929	2,929	17,576
2b	Contracting parties (and non-contracting parties) are able to implement ISPMs in line with their needs.		3,630	3,590	3,930	3,530	3,510	3,510	21,700
3a	Coordinated phytosanitary capacity development are addressing priority needs.		945	150	150	150	150	150	1,695
3b	Capability to provide plant pest information enhanced.		730	3,130	2,605	2,980	1,870	1,160	12,475
4	Enhanced capacity to mobilize funds.		2,900	2,240	2,360	1,840	1,840	1,840	13,020
5	Improved capacity to promote national phytosanitary systems.		1,750	1,360	1,410	1,350	1,985	1,975	9,830
6	Capacity development actively monitored, evaluated and lessons learned acted upon.		440	390	140	90	90	90	1,240
	YEAR TOTAL		16,444	14,889	17,324	16,871	13,524	12,664	91,716

APPENDIX G

Slides of Final Workshop Presentation

Open Ended Working Group on Phytosanitary Capacity Building

"Singing to a goat"

7 – 16 December 2009

Rome Italy

Welcome!

Facilitator: Philip Dearden
Centre for International Development and Training (CIDT),
University of Wolverhampton

Purpose of the Workshop

Why are all came here!

- The expected impact of a well-implemented capacity building work programme by the IPPC is an increased ability of contracting parties to implement the ISPMs and meet their obligations of the IPPC.

What did we plan to do!

- This workshop is to develop a strategic plan that will guide Contracting Parties, RPPO, IPPC Secretariat Staff and other interested parties or partners to implement of the IPPC building national phytosanitary capacity (BNPC) programme

What did we do! (1)

- Review the outline implementation framework for building national phytosanitary capacity.
- Develop implementation plans spanning six (6) years as requested by CPM-3. The main objective being:
  - Review and finalize the operational plan partially developed by the OEWG in December 2008
  - Develop a Global Framework for building national phytosanitary capacity
- Develop 8 work plans covering the six strategic areas provided for in the strategic plan.

What did we do! (2)

– For each of the 8 plans:
- Propose measurable indicators, timetable and targets that can be used to monitor the successes, and level of implementation of the agreed implementation plans.
- Estimate inputs needed and propose potential resources.
- Suggest lead entities for accountability purposes.
- Identify possible challenges and issues in the implementation of the plan.

The missing middle

Activities → Outputs → **Outcome** → Impact

"I THINK YOU SHOULD BE MORE EXPLICIT HERE IN STEP TWO."

6

Very useful opening guidance

-"the real need is to build up national level capacity".

"think big but to focus efforts at the national level."

Three Principles:

- Partnership working
- Regional Empowerment
- Shared responsibility

"...take a holistic approach to capacity development"

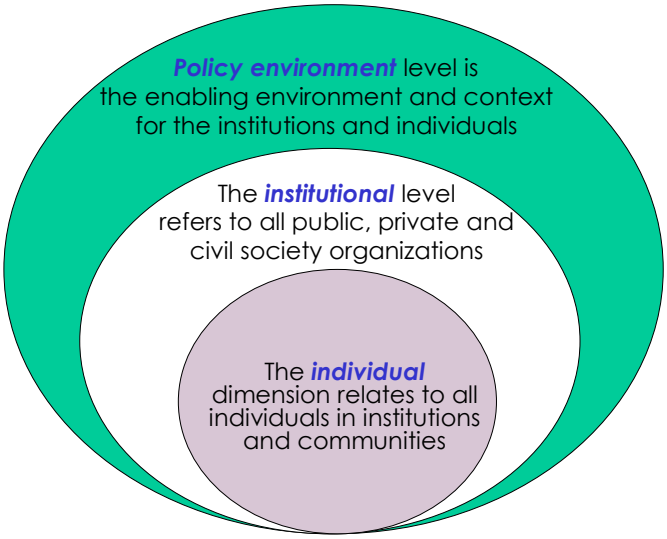
1. Standard Setting
2. Information Exchange
3. Dispute Settlement
4. Technical Assistance
5. Sustainable Development
6. Information Liaison
7. Global Review of Plant Protection

Old Business Plan

1. **Capacity Development**
2. **Implementation**
3. **Standards**

New Business Plan

The three dimensions of CD

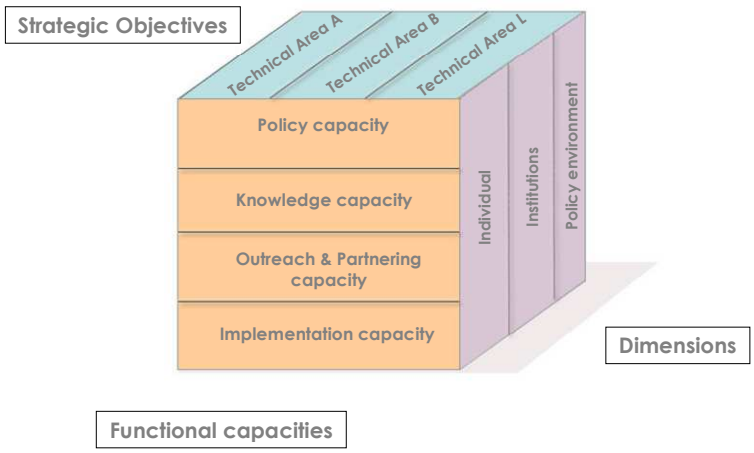


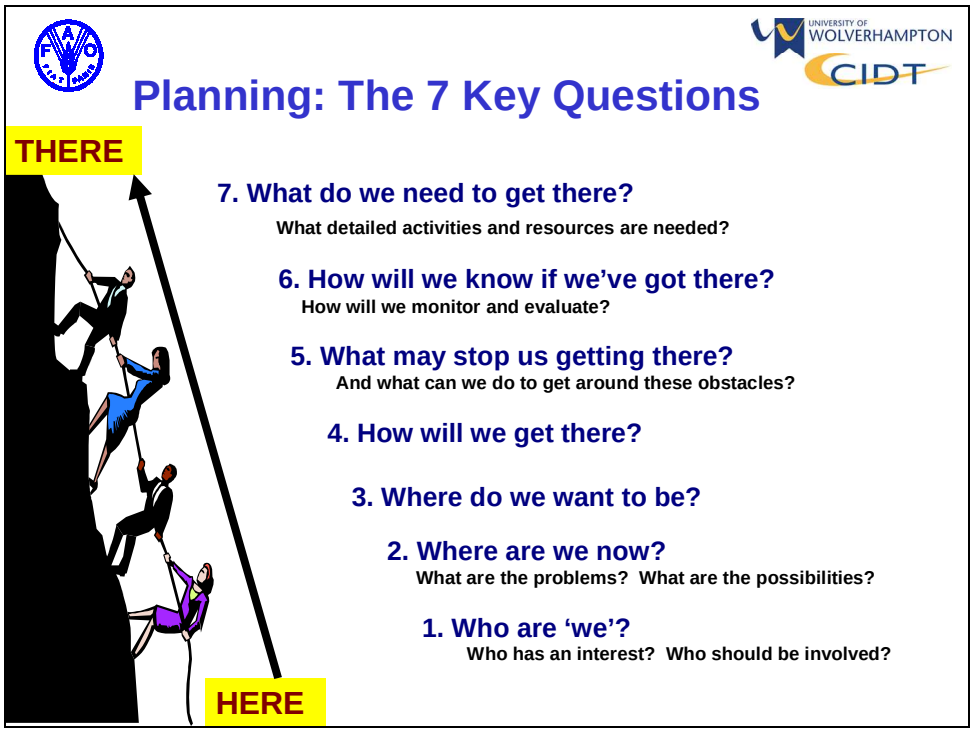
To ensure sustainability, CD takes place across all dimensions in an interdependent manner.

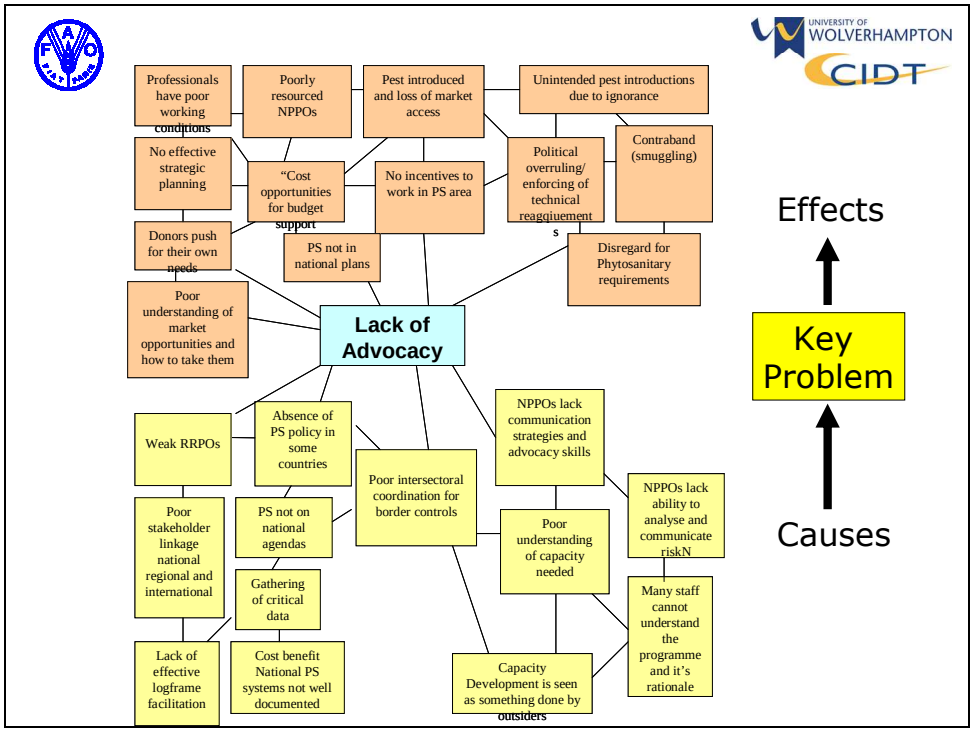
What are the key functional capacity areas?

CAPACITIES OF COUNTRIES for….	
Policy	• leading policy reform • developing strategies, policies etc • defining quality standards consistently
Knowledge	• accessing/managing/producing information and knowledge • leading national processes of knowledge adaptation and sharing
Outreach & Partnering	• advocating partnership with a variety of actors • utilizing funding instruments to attract resources
Implementation & delivery	• managing/implementing sector programmes • delivering services according to standards/norms • providing infrastructure

FAO's CD Framework




UNIVERSITY OF WOLVERHAMPTON
CIDT
Planning: The 7 Key Questions
THERE
7. What do we need to get there?
What detailed activities and resources are needed?
6. How will we know if we've got there?
How will we monitor and evaluate?
5. What may stop us getting there?
And what can we do to get around these obstacles?
4. How will we get there?
3. Where do we want to be?
2. Where are we now?
What are the problems? What are the possibilities?
1. Who are 'we'?
Who has an interest? Who should be involved?
HERE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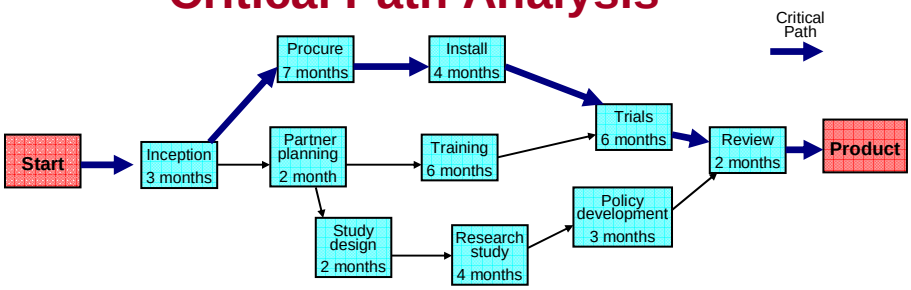
CIDT
Professionals have poor working conditions
Poorly resourced NPPOs
Pest introduced and loss of market access
Unintended pest introductions due to ignorance
No effective strategic planning
"Cost opportunities for budget support
No incentives to work in PS area
Political overruling/ enforcing of technical reagqiuements
Contraband (smuggling)
Donors push for their own needs
PS not in national plans
Disregard for Phytosanitary requirements
Poor understanding of market opportunities and how to take them
Lack of Advocacy
Weak RRPOs
Absence of PS policy in some countries
Poor intersectoral coordination for border controls
NPPOs lack communication strategies and advocacy skills
NPPOs lack ability to analyse and communicate riskN
Poor stakeholder linkage national regional and international
PS not on national agendas
Poor understanding of capacity needed
Gathering of critical data
Many staff cannot understand the programme and it's rationale
Lack of effective logframe facilitation
Cost benefit National PS systems not well documented
Capacity Development is seen as something done by outsiders
Effects
Key Problem
Causes

Lots of hard work…

Six year strategic plan

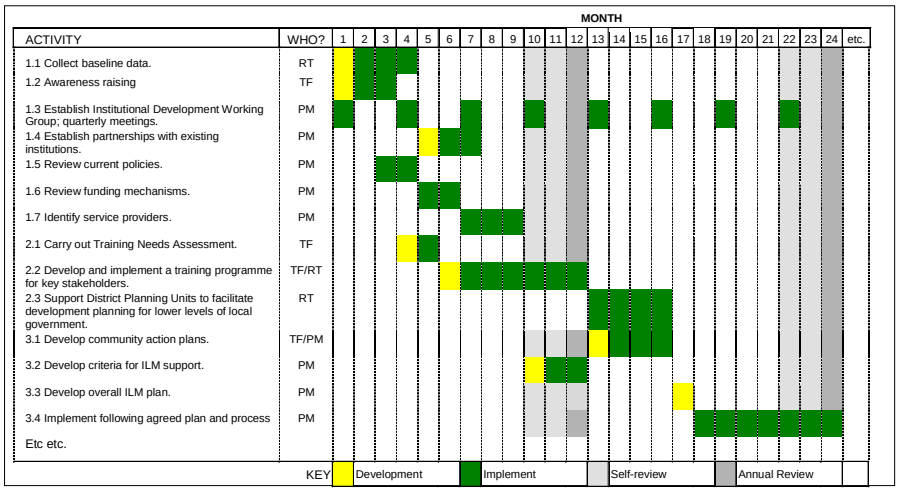
Impact/ Goal	
Outcome	Improved ability of individuals, organisations and systems of a country to perform phytosanitary functions effectively and sustainably
Output 1	Enhanced national phytosanitary systems planning, management and leadership.
2a	Capacity of contracting parties to participate in IPPC standard setting improved.
2b	Contracting parties (and non-contracting parties) are able to implement ISPMs in line with their needs.
3a	Coordinated phytosanitary capacity development are addressing priority needs.
3b	Capability to provide plant pest information enhanced.
4	Enhanced capacity to mobilize funds.
5	Improved capacity to promote national phytosanitary systems.
6	Capacity development actively monitored, evaluated and lessons learned acted upon.

Critical Path Analysis



- Write all necessary activities, one per postit
- On each postit, write how long it will take
- Arrange the postits on flipchart in the sequence in which they have to be done, linking where they are interdependent; show where parallel tasking is possible
- Determine the critical path, the minimum time it will take to deliver the product or service
- Set key stages as milestones to assess progress
- Use the CPA later when you come to estimate costs.

Preparing a project workplan



Outputs of the Workshop

1. Eight Logframes developed.
2. Eight six–year work plans developed.
3. Outline budgets for all eight work plans.
4. Total outline budget for work plan.
5. Key implementation issues identified.

Summary Budgets by Strategic Areas for the six-year Phytosanitary Capacity Building Plan

Logframe No.	Capacity Development Strategic Area				YEAR	(000)			
	Strategic Area		**1**	**2**	**3**	**4**	**5**	**6**	Total
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	YEAR TOTAL		16,444	14,889	17,324	16,871	13,524	12,664	**91,716**

Issues

Next steps?
This needs a champion – Who?
Advocacy and Resource mobilisation
Budgeting (over and under)
Fitting in with RBM in FAO
Political will(?)

…at the end of the day!!

APPENDIX H

SUMMARY OF EVALUATION QUESTIONNAIRE

IPPC Open Ended Working Group Strategic Planning Workshop

7 - 16 December 2009

We request your help in ensuring the quality of our work. We would appreciate your frank responses to the following questions:

Evaluation of the Learning Outputs of the workshop.
Please tick (✓) the box which most nearly accords with your views:

(1). Workshop Outputs	Strongly Agree	Agree	Disagree	Strongly Disagree
The workshop has helped clarify the meaning of "Capacity Development" in FAO and in relation to the IPPC Business Area	6	3		
The workshop has achieved generation of ideas of what the expected outputs of the capacity building programme with global focus should be.	4	5		
The Workshop has helped develop a useful framework for IPPC CD implementation	6	3		
others				

(2a). Workshop Content	Value of session			
Session Topic	**Very Useful**	**Useful**	**Of Limited Use**	**General Comments**
Welcome Introductions	6	3		
Introduction to Project Cycle/ Logframes in FAO	5	4		
Capacity Development	5	4		Presentation & content were excellent. Rated as 'useful' because I have I already had some exposure to these concepts
Problem Trees	6	3		
Hierarchy of Objectives	5	3	1	
Risk Analysis/ Assumptions	4	5		
Indicators and Data Sources	5	3	1	
Work Plans and Budgets	3	6		
Reporting and Communicating with the Logframe	4	3	1	

(2b). Please add any general comments on the content you may wish to make:

- The product of the workshops was fantastic. Many of the activities need to revisited or merged
- I found the 'telling a story' approach to explain LF very useful
- Can be used at all levels

(3). Please write any comments about your current attitude to Logical Frameworks and the end product that you feel reflect the achievement of the workshop: -

- Improved my attitude tremendously and will enable me to re-orient process of developing institutional work plans
- A useful and appropriate tool for our purpose. Similar approach would be useful for development of a wider operational framework for the IPPC
- Valuable tool for planning & evaluating Capacity Development projects/programs
- Though I have used LF for the past 9 years or so this is the first formal training I've attended so it was very useful
- The logical framework was more meaningful to me and can teach others
- Really appreciated the chance of participate as it gave me a chance to learn and the way to approach planning

(4). Please comment on the facilitation

The Facilitator...	Strongly Agree	Agree	Disagree	Strongly Disagree
Encouraged participation	9			
Had a good relationships with participants	7	2		
Was approachable and friendly	7	2		
Gave structured and well organised sessions	7	2		
Was enthusiastic for the subject	9			
Was clear and understandable	7	2		
Used varied and well produced teaching resources	7	2		
Worked at the correct level	7	2		
Provided you with opportunities to explore your understanding	9			

Comments:

- Would recommend facilitator without hesitation to manage wide range of planning etc activities – thoroughly professional with exception skills
- The facilitation was good
- Well done. The exercise should be repeated for weak RPPO and leading NPPOS in these regions
- Good workshop
- Particularly skilled at appreciating the content and building with its cohesive working

(5). Please list the most useful part of the workshop.

- Small group discussion, plenary reviews
- Explaining LF to others
- Problem tree and indictors was quite challenge
- Problem tree
- Logframe analysis and work plan development
- Clear instruction in use of Logframes

(6). Please list the least useful part of the workshop.

- I cannot think of any

(7). Please list down any comments you may have on the six-year plan developed and/or the process of developing it.

- A stakeholder buy-in plan needs to be pursued for this framework to become operational.
  This will require serious level of coordination and leadership from the IPPC Secretariat
- There still remains a doubt regarding the activities in the county level and the level of costs involved in delivering these activities
- Some activities need to made more clear or merged with others. Capacity development for members of CPA should be included
- A useful tool for guidance of PS Capacity Development

(8). Please list down any other requests/ideas you may have for follow up work and/or Capacity Development.

- An internal (IPPC Centric) post mortem review of this workshop should be conducted with a view for consolidating the elements identified in the framework develop during this process for the IPPC Secretariat to conduct. A work planning framework for the IPPC Secretariat should be developed and financed as appropriate and submitted to the Bureau for approval
- Repeat the process at the weak regional members
- Pre-workshop questionnaire

(9). Please note down the strengths of the workshop and what you personally have gained from it?

- The caliber, level of interaction (participation) and team work by this group of professionals was the best mix for achieving the objectives. This group should be commended and recognized by CPM for the quality of work produced. The group could also become in the future as a core group for technical assistance/capacity building/Capacity Development strategy development and review. A sub-unit of the SPTA
- Learning about Logframes
- Linkage of framework with the real situation made the process to register and delivery and illustration and the stories behind the thoughts
- Logframe analysis as a method of turning ideas into realistic plans

(10). Please add any further comments you may wish to make here and/or over

- Repeat the exercise at the national and regional level

Thank you.