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International
Plant Protection
Convention

REPORT

Expert Meeting – IPPC Monitoring and Evaluation

**Wellington, New Zealand
25-28 September 2017**

IPPC Secretariat

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1. Opening of the meeting

1.1 Welcome by the New Zealand Ministry for Primary Industries (MPI)

- [1] Mr. Peter Thomson, Director of Plants, Food and Environment, of NZ MPI opened the meeting by welcoming participants to Wellington, New Zealand. He expressed his interest in monitoring and evaluation, especially in a time where governments need to demonstrate how their work is making a difference nationally and likewise how IPPC works to make a difference to global plant health.

1.2 Welcome and general background by the IPPC on its monitoring and evaluation (M&E) initiative

- [2] Ms. Leanne Stewart, Programme Officer of the Implementation Review and Support System (IRSS) of the IPPC welcomed participants to the meeting and gave general background on why the IPPC is developing an M&E framework, the connection to the Implementation Review and Support System (IRSS) and how IPPC is seeking to move further towards results based management (managing for impact).
- [3] As the IRSS is the IPPC's primary mechanism to undertake evaluation activities, the development of the M&E framework is being undertaken within the scope of this project. The M&E framework will both provide input into the IRSS and complement its objective to improve contracting party implementation of the Convention and its international standards. Collectively, the IRSS and M&E framework will allow for responsiveness and continuous improvement for implementation of the IPPC frameworks, related procedures and Secretariat work areas.

1.3 Background from Wageningen University on M&E approach

- [4] Ms. Cecile Kusters, Senior Advisor of the Wageningen University Centre for Development and Innovation (CDI) provided participants with a detailed background of the work undertaken to date to develop the IPPC M&E framework, including what has been done, objectives of the meeting, the programme for this meeting and future steps.
- [5] The objectives of the meeting:
1. To generate shared understanding on key M&E concepts
 2. To get initial feedback from contracting parties on the draft M&E framework so far developed for IPPC
 3. To understand the current M&E systems and situations of contracting parties, including current indicators at national level and alignment with IPPC framework
 4. To get input from contracting parties to tailor the IPPC M&E framework to their specific needs and situations

- [6] The meeting provides a forum for discussion of issues related to the development of the IPPC M&E framework to seek feedback from contracting parties and to understand how they undertake M&E in their national situations. It is an interim step from what has been developed to date and moving forwards towards implementation.

2. Meeting Arrangements

2.1 Adoption of the Agenda

- [7] The agenda was adopted as presented in Appendix 1.

3. Administrative Matters

3.1 Documents list

- [8] The documents list was noted as presented in Appendix 2.

3.2 Participants list

- [9] The participants list records those attending the discussion group, as presented in Appendix 2.
- [10] The participants introduced themselves and gave some background on the experience they bring to the meeting and their expectations for IPPC monitoring and evaluation.

3.3 Local information

- [11] The IPPC Secretariat gave a short overview of meeting logistics and thanked MPI for assisting in the organization of the local arrangements.

4. Introduction to M&E concepts

- [12] To create a common understanding of M&E concepts, and how M&E can support managing IPPC towards enhanced impact, an outline of general M&E concepts was presented. In general, there is a significant trend worldwide for organizations to be accountable for work being done and for transparency, especially when there are contributors to supporting work.

4.1 Monitoring and evaluation

- [13] An overview of M&E was provided, including the difference between monitoring and evaluation and the different approaches that can be taken to use them, such as quantitate, qualitative and participatory. The use of logical frameworks (logframes) were discussed, including how they are used to structure M&E matrices. The development of the M&E logframe allows organizations and projects to plan towards their desired impact using a methodical approach from activities, outputs, outcomes, goals and impact.
- [14] The different M&E terms and definitions were discussed within the context of the IPPC M&E framework and how the general steps that are taken to develop it (see below text box).

Development steps of an M&E framework

1. Assess and establish ability and readiness for M&E
2. Agree on purpose and scope of the M&E
3. Agree on key M&E information needs
4. Agree on data collection, processing and analysis
5. Agree on critical reflection and sense-making
6. Agree on communication and reporting for use and influence
7. Plan for implementation
8. Evaluate and adapt the M&E

4.2 Theory of Change (ToC)

- [15] The Theory of Change (ToC) within an M&E system was outlined, including how the ToC comprehensively describes and illustrates how and why a desired change is expected to happen in a particular context. A ToC is both a process and a product and should be seen as an ongoing process of discussion-based analysis and learning to inform the direction of moving towards your intended impact.
- [16] In general, ToC is used:
- To support the strategic planning process, especially when working in complex environments
 - As a basis for monitoring and evaluation
 - For adaptive management (strategic and operational)
 - To make explicit underlying assumptions about why we think change happens and herewith support working towards impact, especially in partnerships

- [17] The information in a ToC is based on the M&E matrix and shows the pathway of change, which can vary from ordered (simple and complicated) to unordered (complex and chaotic) approaches. There are many ways a ToC can be visualized depending on its purpose and use. The ToC has different levels that are based on our degree of control and associated assumptions. This ranges from our 'sphere of control', to 'sphere of influence', to 'sphere of indirect influence' and finally our 'sphere of interest'.
- [18] The general steps to develop a ToC are included in the below text box.

- Development steps of an M&E framework
1. Identify the purpose of the ToC
 2. Develop the vision and define the desired change
 3. Identify the domains of change
 4. Identify your strategic priorities
 5. Develop pathways of change
 6. Review and adapt the ToC

4.3 Managing for sustainable development impact (M4SDI)

- [19] The managing for sustainable development impact (M4SDI) concept was introduced, which is based on an integrated approach to planning, monitoring and evaluation. To highlight the M4SDI approach CDI has recently published a [book](#) this year providing practical guidance for planning and managing for impact.
- [20] The focus of M4SDI centres on the three aspects - orientations (the people learning context), communication and capacities and conditions. These contribute to strategic guidance, effective operations, monitoring & evaluation and impact focus (see Figure 1).



Figure 1: The M4SDI Framework

5. Pre-meeting survey findings

- [21] Prior to the meeting CDI circulated a pre-meeting M&E survey to participants to seek their level of M&E understanding and any M&E activities undertaken within their national phytosanitary systems.

5.1 Review of survey findings

- [22] The findings of the surveys were shared with participants and the main themes were noted with the intention of addressing them throughout the meeting.

5.2 Expectations of IPPC M&E

- [23] Initial expectations of the IPPC M&E framework and initiative were discussed and participants provided their feedback on what they expect from the meeting and future use of the framework.
- [24] Common expectations included how countries will be able to both contribute to and benefit from the IPPC M&E framework once established. A framework that is simple and clearly communicates IPPC M&E and something for use at the national level to demonstrate performance, effectiveness and impact to stakeholders was considered very important. It was thought that through using M&E frameworks from the global to national levels would enhance transparency and encourage stakeholder buy in, especially in regard to resource partners.

6. IPPC Theory of Change discussion

- [25] Participants discussed how the ToC can be used within the context of the current and planned IPPC strategic frameworks.

6.1 IPPC Strategic Framework (current and future)

- [26] To provide context for the Convention and global direction for protecting plant resources from pests the IPPC Strategic Framework 2012-2019 was developed outlining the IPPC's vision, mission and strategic objectives. The strategy provides an outline for how IPPC's contracting parties' implementation of the Convention supports the world's needs and demands for food security, environmental protection, trade facilitation and strengthening national phytosanitary capacity. The current strategy has provided a clear outline how IPPC operates and the challenges and benefits of contracting parties' implementation.
- [27] The planned IPPC Strategic Framework 2020-2030 was presented to meeting participants by one of the drafting authors. The draft elaborates on the current strategy given the evolved operational environment that IPPC now works in, focusing on the existing key areas and looking forward to what needs to be achieved in the next ten year period. Of particular relevance is the IPPC Development Agenda which outlines priority programmes of new work to be achieved during the time period.
- [28] The IPPC M&E framework will be used to measure the implementation of the new strategy, which hasn't been done for the current strategy. The new strategy resembles the draft IPPC ToC, which will be updated as the strategy is further developed and finalized. Through measuring our progress in implementing the new strategy we will understand what success looks like and also where the gaps are.

6.2 IPPC ToC

- [29] The IPPC Theory of Change (ToC) was introduced and discussed by the meeting participants with consideration of the current IPPC Strategic Framework 2012-2019 and the planned 2020-2030 framework.
- [30] During phase one of the project the ToC was developed by the IPPC Secretariat with input through several iterations and is now subject to feedback from the meeting participants. To elaborate on the ToC schematic an accompanying narrative will be developed to tell the 'IPPC story'. During phase two it is intended that the ToC will form the basis for M&E plan for implementation.

7. Contracting party M&E experiences

- [31] NZ MPI Biosecurity 2025 Direction Statement
- [32] Mr. Andrew Bell, Manager Border and Biosecurity System Policy, of NZ MPI presented the new Biosecurity 2025 Direction Statement to the group that will guide the New Zealand biosecurity system until 2025. He highlighting the mission for biosecurity, guiding principles for how they will do the work, the five strategic directions outlining the main priority areas for improvement, targets for 2025 and initial actions for implementation.

[33] Mr. Bell provided participants with copies of the direction statement publication and answered questions about the current monitoring and evaluation activities intended to be associated with B2025. The direction statement can be found at this [link](#).

[34] National M&E presentations

[35] Participants presented on monitoring and evaluation activities used within their national phytosanitary systems, describing the below aspects:

- How to plan, monitor and evaluate plant health activities within national systems
- What is going well in terms of planning, monitoring and evaluation
- How planning, monitoring and evaluation could be improved
- Current national involvement in IPPC planning, monitoring and review activities

[36] The perspectives of the participating countries (Belize, Canada, Estonia, New Zealand, Singapore, Tonga and the United Kingdom) were discussed and the collated into key successes, key challenges and suggestions for moving forwards with developing some guidance for national monitoring and evaluation.

8. IPPC M&E matrix

[37] Participants reviewed the draft IPPC M&E matrix, including the different levels of ultimate impact, intermediate impact and outcomes and outputs and activities. It was generally agreed the ultimate impact level was most difficult to review given its high level and the difficulty in identifying meaningful indicators to monitor and evaluate progress towards the IPPC and FAO strategic frameworks and the United Nations Sustainable Development Goals (SDGs).

[38] The use of the matrix and how it will help contracting parties demonstrate to their governments and national stakeholders the value of plant health activities and implementing the Convention and its international standards was agreed to be the priority for participants. Discussion about how the inputs and outputs of the matrix will be used centred on the need for support, both current and future, which is a common national challenge in the plant health sector.

[39] Participants provided feedback on the draft matrix which will be consolidated into an updated version and shared with the group at a later date.

9. National M&E good practices

[40] The national monitoring and evaluation good practices were collated for use by the IPPC Secretariat to later develop generic national monitoring and evaluation guidance. It is intended to highlight some of the good practices presented in this guidance as case studies.

10. Any other business

[41] No other business was discussed.

11. Conclusions

[42] The meeting report will be finalized and published on the IPP.

12. Close of meeting

[43] The IPPC Secretariat thanked MPI for hosting the meeting and for their contributions and facilitation of meeting proceedings. Participants of the meeting were also thanked for their active participation and critical analysis and feedback into the IPPC M&E framework.

Appendix 01 – Agenda

	Agenda Item	Document No.	Presenter
1.	Opening of the Meeting		
1.1	Welcome by the New Zealand Ministry for Primary Industries (MPI)	--	TBC
1.2	Welcome and general background by the IPPC on its monitoring and evaluation (M&E) initiative	--	Stewart/Sosa
1.3	Background by Wageningen University on M&E approach	--	Kusters
1.4	Participants introductions	--	All
2.	Meeting Arrangements		
	Adoption of the Agenda	01_IPPCM&E_2017_Sep	Kusters
3.	Administrative Matters		
3.1	Documents lists	02_IPPCM&E_2017_Sep	Stewart
3.2	Participants lists	03_IPPCM&E_2017_Sep	
3.3	Local information	04_IPPCM&E_2017_Sept	
4.	Introduction to M&E concepts		
	<ul style="list-style-type: none"> - Monitoring and evaluation - Theory of Change (ToC) - Managing for sustainable development impact (M4SDI) 	05_IPPCM&E_2017_Sept	Kusters
5.	Pre-meeting survey findings		
	<ul style="list-style-type: none"> - Review of survey findings - Expectations of IPPC M&E 	--	Kusters
6.	IPPC Theory of Change discussion		
6.1	IPPC Strategic Framework (current and future)	06_IPPCM&E_2017_Sept 07_IPPCM&E_2017_Sept	TBC
6.2	IPPC ToC	08_IPPCM&E_2017_Sept	Stewart/Sosa
7.	Contracting party M&E experiences		
7.1	Singapore	--	Yap
7.2	United Kingdom	--	Bishop
7.3	New Zealand	--	Butcher/Hedley
7.4	Estonia	--	Lavrentjeva
7.5	Belize	--	Gutierrez
7.6	Tonga	--	Kami
7.7	Canada	--	McAllister
8.	IPPC M&E Matrix		
8.1	Ultimate impact	10_IPPCM&E_2017_Sept	Kusters
8.2	Intermediate impact and outcomes	11_IPPCM&E_2017_Sept	Kusters
8.3	Outputs and activities	12_IPPCM&E_2017_Sept	Kusters
9.	National M&E good practices		

Agenda Item		Document No.	Presenter
	Components of national practices to take forward	--	Stewart
10.	Any Other Business		Stewart
11.	Conclusions		Stewart
12.	Close of the Meeting		Stewart/Sosa

Appendix 02 – Documents List

DOCUMENT NO.		DOCUMENT TITLE (PREPARED BY)	LEVEL OF ACCESS	DATE POSTED / DISTRIBUTED
Other Documents				
01_IPPCM&E_2017_Sep - Agenda	2.0	IPPC Secretariat	Open	23 August 2017
02_IPPCM&E_2017_Sep – Documents lists	3.1	IPPC Secretariat	Open	23 August 2017
03_IPPCM&E_2017_Sep – Participants lists	3.2	IPPC Secretariat	Open	23 August 2017
04_IPPCM&E_2017_Sept-Local Information	3.3	IPPC Secretariat	Open	23 August 2017
05_IPPCM&E_2017_Sept – Introduction to M&E concepts	4.0	Wageningen University	Open	23 August 2017
06_IPPCM&E_2017_Sept-IPPC strategic Framework Current	6.1	IPPC Secretariat	Open	23 August 2017
07_IPPCM&E_2017_Sept – IPPC Strategic framework Future	6.1	IPPC Secretariat	Open	23 August 2017
08_IPPCM&E_2017_Sept – IPPC ToC	6.2	Wageningen University/ IPPC Secretariat	Confidential	23 August 2017
09_IPPCM&E_2017_Sept – IPPC M&E Matrix, ultimate impact	9.1	Wageningen University/ IPPC Secretariat	Confidential	23 August 2017
10_IPPCM&E_2017_Sept – IPPC M&E Matrix, Intermediate impact and outcomes	9.2	Wageningen University/ IPPC Secretariat	Confidential	23 August 2017
11_IPPCM&E_2017_Sept – IPPC M&E Matrix, Outputs and activities	9.3	Wageningen University/ IPPC Secretariat	Confidential	23 August 2017

Appendix 03 – Participants List

	Participant role	Name, mailing, address, telephone	Email address
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