



CAPACITY DEVELOPMENT



**International Plant Protection Convention**  
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02  
2012

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# IPPC National Phytosanitary Capacity Development Strategy





# IPPC National Phytopsanitary Capacity Development Strategy

This paper presents the IPPC national phytopsanitary capacity development strategy divided by areas, agreed for implementation by the 5<sup>th</sup> Commission on Phytopsanitary Measures (2010) and the logical framework and work plan endorsed by the Commission in 2012, at CPM-7. The work presented herein has been prepared and reviewed by contracting parties, regional plant protection organizations, donors, international organizations and phytopsanitary experts from seven FAO regions. It also presents an agreed definition of National Phytopsanitary Capacity.

March 2010, Revised in 2012

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# Concept paper on National Phytosanitary Capacity

## Introduction

The purpose of this paper is to establish a common understanding of what is meant by national phytosanitary capacity. This provides the basis for assessing capacity assets and needs, and for formulating, implementing and evaluating capacity development responses.

## Phytosanitary Capacity

National Phytosanitary Capacity is defined as:

**“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”.**

The following concepts expand this definition, which applies to the national phytosanitary capacity of contracting and non-contracting parties.

- ◆ By referring to the individuals, organizations and systems of a country, it is recognized that national phytosanitary capacity combines the knowledge and functions of many entities in a country, not just NPPOs.
  - ◆ By referring to systems of a country, it clarifies that national capacity includes the ability for individuals and organizations to cooperate and communicate, both formally and informally. Such cooperation may be national, regional and international.
  - ◆ The functions which need to be performed are technical, legal, administrative, and managerial. Capacity includes the ability to develop and apply knowledge, skills and tools appropriate to these functions.
  - ◆ Each country will have its own level of capacity and it is recognized that phytosanitary capacity is not static and changes over time.
- ◆ The phytosanitary capacity, current or aspired to, will be influenced by overarching national policies and international obligations that may or may not be directly related to plant health considerations.
  - ◆ Many things contribute to the sustainability of the performance of functions. These include but are not limited to:
    - An enabling environment in countries such as policies which allow plant health activities to evolve and adapt to changing circumstance; plant health regulations which empower NPPOs to function; visibility and understanding of the IPPC and understanding of the importance of implementation
    - Private-public partnerships
    - Programs for staff retention
    - Mobilization of resources, including cost recovery policies
    - Viable business plan(s) for protecting plant health and trade
    - National commitment to sustain phytosanitary capacity
  - ◆ The definition for phytosanitary capacity refers to the ability to protect plants and plant products from pests. This ability to support biosecurity also contributes to achieving other national or international goals under other initiatives which deal with protecting biodiversity, food security, and poverty reduction.
  - ◆ Referring to the IPPC in the definition aligns national phytosanitary capacity with the Convention.

# National Phytosanitary Capacity Development Strategy

## Introduction

A strategy is a plan of action designed to work towards a vision, or a future desired situation ideally starting from a known current situation or starting point. A strategy facilitates decision making and provides a framework for effective action.

### Vision statement

NPPOs able to effectively and sustainably service the needs of their country in the protection of plants and plant products and the facilitation of trade.

Achievement of this vision would result in:

- a All contracting parties implementing the ISPMs they need.
- b All contracting parties meet their obligations under the IPPC.
- c The IPPC reflects the goals of all its members.
- d Phytosanitary capacity of contracting parties evolving in response to changing circumstances
- e Phytosanitary issues embedded in policy
- f Effective regional cooperation

## Situation analysis

An analysis of the current capacity of IPPC member countries to implement the IPPC and to fulfil their obligations as IPPC members, provides the justification and a starting point for the phytosanitary capacity development strategy. Various phytosanitary capacity situation analyses have been carried out over the past two or three years for a variety of purposes. The results of these analyses provide at least a partial situation description of the current capacity of IPPC member countries and the capacity of the IPPC community overall (encompassing the CPM, the IPPC Secretariat, the NPPOs, and the contracting parties) to develop further capacity among its members.

- ◆ The independent evaluation of the workings of the IPPC and its institutional arrangements analyzed the technical assistance activities of the IPPC Secretariat, the decisions and follow-up of (I)CPM decisions, and made recommendations regarding technical assistance and strengthening phytosanitary capacity. The evaluation included the observations that: there have been no priorities set for capacity building activities by the IPPC Secretariat; staff resources in the Secretariat were not sufficient to carry out TCP projects and provide follow up; scarce Secretariat resources were used for non-core IPPC capacity development activities; there was little donor involvement in phytosanitary capacity development projects. The evaluation recommended that IPPC should not be involved with phytosanitary capacity development projects, except for core activities such as training workshops for the implementation of standards, IPPC meeting attendance and support to the International Phytosanitary Portal. The CPM rejected the recommendation and decided to develop a phytosanitary capacity development strategy.
- ◆ The discussion paper prepared by the World Trade Organization for the OEWG-BNPC (Open ended working group on building national phytosanitary capacity which met in 2008) on building national phytosanitary capacity showed that plant protection projects are typically last on the list when it comes to disbursements related to training. It also noted that the confidentiality of the results of the Phytosanitary capacity evaluation tool (PCE) limits its usefulness from the perspective of coordinating technical cooperation activities.

- ◆ The evaluation carried out by CABI of the PCE showed that the PCE is a valuable tool in assessing a country's phytosanitary capacity, but falls short in several areas and is not always used as the basis for national development plans.
- ◆ The OEWG-BNPC (2008) noted that:
  - There is often poor communication on the importance of plant protection within countries; national governments may set policies and priorities that are not in line with the objective of preventing the spread of plant pests; public/private partnerships are useful and essential to the sustainability of plant protection programs; regional approaches work; there is a need for information of new and emerging plant pest issues.
  - "Plant protection" and "plant quarantine" do not capture attention in the way that "biosecurity" does.
  - Other agreements such as the SPS agreement have a significant impact on the work of the IPPC.
  - The low profile of IPPC internationally and of plant protection programs nationally, resulting in a perceived non-importance of plant protection, has resulted in few available resources and difficulty in acquiring resources, both for the Secretariat and to carry out the work programme of the IPPC.
- ◆ The OEWG-BNPC (2008) recognized that:
  - Implementation of standards can be complex, involving many different areas. Currently there is a gap between the development of standards and their implementation.
  - The proposed implementation review and support system, in particular the establishment of a help desk for the IPPC has not progressed.
- Not all RPPOs are equal and activities suggested to be carried out by RPPOs will not all be carried out to the desired level.
- There are a range of other geopolitical groupings that are relevant to the IPPC.
- The capacity levels of countries are very different. Thus a one-size-fits-all approach will not work.
- Phytosanitary capacity building is going on, but often the different initiatives are not well coordinated. There is a need to find out where the gaps are and prevent duplication.
- The lack of resources are a significant limiting factor to capacity building.
- The availability of expertise to develop and deliver capacity building is sometimes a limiting factor.
- ◆ The OEWG-BNPC (2009), which met in December 2009, amended the National Phytosanitary Capacity Building Strategy for presentation to CPM-5.

## Strategy

The strategy describes the components of a global framework in which stakeholders at national, regional and international level, each have a role to play in building the capacity of NPPOs. The strategy emphasizes the key role of the NPPO. However, it recognizes that the NPPOs should be supported by a number of entities if these national institutions are to be strengthened. The strategy was initially divided in 6 strategic areas and for clarity purposes and after consideration of the work plan in 2012, is presented divided into the following 8 areas with the principal stakeholders identified:



Code	Strategic areas	Key Stakeholder	Secondary Stakeholders
ST1	<p><b>1. National phytosanitary planning</b> Under this strategic area, the goal is to enhance national phytosanitary systems planning, management and leadership. NPPOs play the lead role since they are charged to prepare the national phytosanitary action plans.</p>	NPPOs	Technical Assistance Providers (national, regional and International)
ST2	<p><b>2. Standard setting</b> Under this strategic area, the goal is to improve capacity of contracting parties to participate in IPPC standard setting process. The IPPC is the lead entity since it has the responsibility to manage the process and help IPPC contracting parties to enhance their effective participation.</p>	IPPC	NPPOs, RPPOs, RECs etc.
ST3	<p><b>3. Standards implementation</b> Contracting parties (and non-contracting parties) are able to implement ISPMs in line with their needs. This is particularly challenging since NPPOs have varying national priorities and resource constraints. Understanding their needs and responding to them remains a challenge. The support that NPPOs receive from their own governments to enhance their capacities also varies greatly, in particular, considering the importance that agriculture has in national policy. The IPPC has an important role as a technical assistance provider, to make available technical resources to enhance global implementation of the Convention and its standards.</p>	NPPOs	All others and Technical Assistance Providers (national, regional and International)
ST4	<p><b>4. Coordination and communication</b> Under this strategic area, the goal is to ensure that there is coordinated phytosanitary capacity development addressing priority needs. The IPPC plays a central role to ensure that phytosanitary capacity development actions actually address the needs identified by NPPOs and RPPOs, that appropriate linkages are performed with donor organizations and possible opportunities for mentoring and coaching are identified.</p>	IPPC	NPPOs, Technical Assistance Providers and all others (national, regional and International)
ST5	<p><b>5. Pest Information</b> Under this strategic area, the goal is to enhance the capability of NPPOs to provide plant pest information. In some cases, the provision of this information is considered an obligation of IPPC contracting parties and in other cases it is intended to call the attention on emerging phytosanitary issues.</p>	IPPC	NPPOs, RPPOs, RECs and Technical Assistance Providers etc.
ST6	<p><b>6. Resource Mobilization (Fundraising)</b> Under this strategic area, the goal is to enhance capacity of NPPOs to mobilize funds to ensure sustainability of their programmes. The IPPC's own ability to support ISPM development and implementation is of paramount importance under this strategic area. The promotion of the IPPC and the national phytosanitary systems considered in the strategic area of Advocacy, are some of the most important purposes of this strategy, as key tools to mobilize resources.</p>	NPPOs	IPPC, RPPOs, RECs and donors etc.
ST7	<p><b>7. Advocacy</b> Under this strategic area, the goal is to improve capacity to promote national phytosanitary systems. NPPOs have the challenge to promote the importance they play at the national level, particularly where trade, environment and food security are concerned. Likewise, the poor record of the IPPC to gain international attention of its importance and relevance outside of the CPM underscores the need for better promotion and communication. The promotion of the IPPC and the national phytosanitary systems are some of the most important purposes of this strategy, as key tools to mobilize resources and to clearly establish the role and hierarchy of the Convention.</p>	NPPOs	IPPC, RPPOs, RECs etc.
ST8	<p><b>8. Monitoring and Evaluation</b> Under this strategic area, the goal is to ensure that phytosanitary capacity development is actively monitored, evaluated and lessons learned acted upon. There is considerable gaps in the knowledge of the extent of implementation of ISPMs and the impact of capacity development actions by technical assistance providers globally. Many NPPOs, in particular, lack the tools necessary to document their activities in order to promote appropriate national policies, new regulations and any other actions, since they lack approaches to assess their impacts involving broad ranges of stakeholders.</p>	NPPOs	IPPC, RPPOs, RECs etc.

The strategic areas above can be addressed individually or in combination with other areas. Strategic areas 4, 6, 7, and 8 can be considered cross-cutting and are often referenced in the other strategic areas.

The result of the implementation of the strategy is the prospective achievement of the identified vision, i.e. "NPPOs able to effectively and sustainably service the needs of their country in the protection of plants and plant products and the facilitation of trade".

Table 1 below summarizes the National Phytosanitary Capacity Development Strategy, as reviewed by the Expert Working Group on Capacity Development (EWG CD) for presentation to CPM-7 in 2012.

## Logical Framework

The strategy is further elaborated in corresponding logical frameworks and workplans prepared for each strategic area identified.

Table 2 below shows the logical framework for the strategy, divided by area and including the overall impact/goal and outcome/purpose of each of them. The table contains the key indicators, means of verification and risks/assumptions proposed.

All the information contained in the Table is particularly useful for NPPOs at the time to elaborate their national phytosanitary action plans and for donors to get a clear picture of the expected outcomes in strengthening national phytosanitary capacities.

**Table 1. National Phytosanitary Capacity Development Strategy (summary of strategic areas showing goals)**

Strategic Areas	Goals	Outcome and Purpose	Activities
1. National phytosanitary planning	Enhanced national phytosanitary systems planning, management and leadership	<ul style="list-style-type: none"> <li>develop methods and tools to help countries assess and prioritize their phytosanitary needs, including gap analysis</li> <li>support preparation of national phytosanitary action plans (NPAPs)</li> <li>assist in project preparation to address priorities (legislation, surveillance, etc)</li> </ul>	<ul style="list-style-type: none"> <li>implement PCE improvements from the CABI review</li> <li>review the OIE-PVS (and IICA phytosanitary PVS tool) and use as basis to develop a new more comprehensive gap analysis process for phytosanitary needs (including stakeholders; peer review step etc.)</li> <li>develop tools and guidelines for preparing NPAPs</li> <li>encourage inclusive approaches for preparing NPAPs</li> <li>follow up on assessment with national phytosanitary capacity strategy</li> </ul>
2. Standard setting	Capacity of contracting parties to participate in IPPC standard setting improved	<ul style="list-style-type: none"> <li>enhance countries' effective participation in CPM (and in the standard setting process)</li> </ul>	<ul style="list-style-type: none"> <li>assess participation of countries at CPM</li> <li>develop orientation programme for new CPM delegates to participate in CPM (immediately prior to CPM)</li> <li>facilitate regional discussion on CPM positions (in region or immediately prior to CPM), and coordination during meetings</li> <li>continue regional draft standards workshops</li> <li>encourage and support participation in expert working groups, technical panels</li> </ul>
3. Standards implementation	Contracting parties (and non-contracting parties) are able to implement ISPMs in line with their needs	<ul style="list-style-type: none"> <li>establish and adopt standards implementation review and support system (IRSS)</li> </ul>	<ul style="list-style-type: none"> <li>develop guidelines/tips for implementation</li> <li>provide help desk</li> <li>develop training materials, deliver training, feedback mechanisms from workshops</li> <li>develop list of experienced facilitators for implementing ISPMs</li> <li>develop tools for sharing experiences</li> <li>regional draft standards workshops</li> <li>develop and use questionnaire as per proposal (OEWG on a Possible Compliance Mechanism at Kuching, 2007)</li> </ul>

Strategic Areas	Goals	Outcome and Purpose	Activities
4. Coordination and communication	<b>Coordinated phytosanitary capacity development are addressing priority needs</b>	<ul style="list-style-type: none"> <li>• collect, collate and disseminate information on plant protection programmes and existing capacity building providers and projects</li> <li>• advise countries and donors on possible synergies and opportunities</li> <li>• collaboration with partners (implementation and supervision agreements, initiatives, etc) – Standards and Trade Development Facility (STDF) projects, World Bank missions, Centers of Phytosanitary Excellence (COPE), etc.</li> <li>• create mechanism for matchmaking for mentoring, coaching and assistance</li> </ul>	<ul style="list-style-type: none"> <li>• define exactly what information to collect from whom (countries, donors, through linkages, all other partners)</li> <li>• take advantage of existing databases, projects, OCPM meeting reports</li> <li>• use linkages to make better programmes (benefit to NPPOs)</li> <li>• continue existing agreements</li> <li>• actively seek further opportunities to collaborate/provide technical input to programmes of others</li> <li>• engage stakeholders by convening international consultative group on phytosanitary capacity building</li> <li>• create similar format to the one used by for mentoring SPS Inquiry Points</li> </ul>
5. Pest Information	<b>Capability to provide plant pest information enhanced</b>	<ul style="list-style-type: none"> <li>• document world plant pest status (emerging issues), including regional perspectives (annual report as an advocacy tool)</li> </ul>	<ul style="list-style-type: none"> <li>• analysis of pest occurrence at national and regional levels, report of pest concerns at CPM.</li> <li>• Other official reports of the Secretariat or FAO Committee/Council such as State of Food and Agriculture (SOFA)</li> <li>• develop early warning system</li> </ul>
6. Resource Mobilization (Fundraising)	<b>Enhanced capacity to mobilize funds</b>	<ul style="list-style-type: none"> <li>• determine resource needs for IPPC secretariat related to capacity building</li> <li>• assess current resources available to IPPC to deliver capacity building strategy (targeted, trust fund, slush fund, assistance in-kind)</li> <li>• support NPPOs in raising funds for priority projects</li> <li>• obtain further resources and ensure effective use of resources</li> <li>• maintain and develop IPPC capacity building programmes</li> </ul>	<ul style="list-style-type: none"> <li>• prepare paper on staffing requirements for CB for CPM-4</li> <li>• raise funds (see resource mobilization paper presented under CPM-4 agenda item 13.6.6)</li> <li>• hire a dedicated fund raiser</li> <li>• Secretary takes raised profile for fundraising</li> </ul>
7. Advocacy	<b>Improved capacity to promote national phytosanitary systems</b>	<ul style="list-style-type: none"> <li>• adopt "Paris principles" for phytosanitary capacity building activities (national commitment, etc)</li> <li>• help countries 'embed' phytosanitary considerations in policy and national development strategies</li> <li>• assist phytosanitary authorities to communicate effectively with other institutions within their country, with other countries and with regional organizations</li> <li>• enhance visibility of IPPC (and phytosanitary concerns) among development partners</li> <li>• encourage adoption of risk-based approaches</li> </ul>	<ul style="list-style-type: none"> <li>• OEWG/sub group to draft principles for effective phytosanitary capacity building for approval by CPM</li> <li>• SPTA reviews principles</li> <li>• CPM 5 adopts principles</li> <li>• conduct sensitisation activities for policy makers</li> <li>• develop training modules for phytosanitary authorities in effective communication and advocacy</li> <li>• IPPC communication activities (publication, communication products, films, etc)</li> <li>• access to governing bodies (especially FAO, but also RECs); FAO and other goodwill ambassadors to reach senior decision makers</li> </ul>
8. Monitoring and Evaluation	<b>Capacity development actively monitored, evaluated and lessons learned acted upon</b>	<ul style="list-style-type: none"> <li>• develop approaches for impact assessment for phytosanitary capacity building (in accordance with "Paris principles" and regarding IPPC strategy)</li> <li>• monitoring to assess impact of capacity building activities (review and evaluation)</li> <li>• monitor and continuously improve IPPC capacity building programmes</li> <li>• develop IPPC 'seal of approval' for capacity building programmes</li> </ul>	<ul style="list-style-type: none"> <li>• ensure involvement of all stakeholders (including creating networks for sustainability, involving universities, public-private partnerships, etc)</li> <li>• link to other national initiatives</li> <li>• develop, test and adopt criteria for 'seal of approval'</li> <li>• promote with donors and countries</li> </ul>

**Table 2. Logical Framework for the IPPC National Phytosanitary Capacity Development Strategy**

Impact/Goal	Key Indicator	Means of Verification	Assumptions/Risk
Cooperation between nations in protecting the world's cultivated and natural plant resources from the spread and introduction of pests of plants, while minimizing interference with the international movement of goods and people	<ol style="list-style-type: none"> <li>1. Reduction of the absolute number of people suffering from hunger</li> <li>2. increased food production</li> <li>3. Sustainable management and utilization of natural resources</li> </ol>	Global poverty and hunger indices (World Bank, FAOSTAT, etc.)	Global economic crisis continues diverting resources from aid to agricultural productivity in Developing countries
Outcome/Purpose	Key Indicator	Means of Verification	Assumptions/Risk
NPPOs able to effectively and sustainably service the needs of their country in the protection of plants and plant products and the facilitation of trade	<ol style="list-style-type: none"> <li>1. Number of IPPC standards implemented per country</li> <li>2. Phytosanitary capacity evolving in response to changing circumstances</li> <li>3. Number of CPs with phytosanitary issues embedded in national phytosanitary policies</li> </ol>	<ol style="list-style-type: none"> <li>1. IRSS data; RPPO reports; NPPO reports</li> <li>2. PCE data; NPPO annual reports; RPPO reports; Independent evaluation reports</li> <li>3. Policy review reports</li> </ol>	Global conflicts, natural disasters and compounded effects at the national level by the global economic crisis diverts funds from NPPOs
Outputs	Key Indicator	Means of Verification	Assumptions/Risk
1. Enhanced national phytosanitary systems planning, management and leadership	<ol style="list-style-type: none"> <li>1. Application of the PCE tool</li> <li>2. National strategies or action plans approved</li> <li>3. # of CPs with managers trained in management best practices</li> <li>4. Number of emergency pest response plans develop by CPs</li> </ol>	<ol style="list-style-type: none"> <li>1. PCE data; NPPO annual reports; RPPO reports; Independent evaluation reports.</li> <li>2. IRSS data; RPPO reports; NPPO reports</li> </ol>	The IPPC and partners can develop tools, but NPPOs may not be able or have local support to apply them
2. Capacity of contracting parties to participate in IPPC standard setting improved	<ol style="list-style-type: none"> <li>1. Number of CPs attending CPM and key IPPC meetings</li> <li>2. Level of feedback of CPs after meetings</li> </ol>	<ol style="list-style-type: none"> <li>1. IRSS data; RPPO reports; REC and other partners' reports</li> <li>2. IPPC meeting reports; Survey feedback reports</li> </ol>	Governments do not allocate funding to ensure participation
3. Coordinated phytosanitary capacity development are addressing priority needs	<ol style="list-style-type: none"> <li>1. Number coordinated global, regional and national projects implemented per year</li> <li>2. Number of functional coordination mechanisms reported to be implemented by CPs</li> <li>3. Number of inter-organizational (donors, technical assistance providers, RECs etc.) meetings held per year addressing phytosanitary issues at global, regional or national level</li> <li>4. Degree of CP satisfaction on the assistance provided by the IPPC helpdesk</li> </ol>	<ol style="list-style-type: none"> <li>1. IRSS data; IPPC and Partners' reports</li> <li>2. Targeted survey feedback reports</li> <li>3. PCE data; NPPO annual reports; Audit reports; Independent evaluation reports.</li> <li>4. IPPC helpdesk data.</li> <li>5. IPPC projects database and activities data</li> </ol>	Partners disregard the need for coordination due to other priorities or policies and continue to implement capacity building resulting in duplicated work and resources

Outputs	Key Indicator	Means of Verification	Assumptions/Risk
4. Capability to provide plant pest information enhanced	<ol style="list-style-type: none"> <li>1. Rate of pest reporting by CPs and RPPOs through the IPPC portal</li> <li>2. Number of functional diagnostic laboratories at regional or national levels reported by CPs or RPPOs</li> <li>3. Rate of change of number pest specimens hosted in national collections</li> <li>4. Number of pest notifications reported through pest early warning systems</li> </ol>	<ol style="list-style-type: none"> <li>1. IPP data; IPPC and Partners' reports</li> <li>2. Targeted survey feedback reports</li> <li>3. PCE data; NPPO annual reports; Audit reports; Independent evaluation reports.</li> </ol>	NPPOs refuse to notify pests status for fear of reprisals such as trade prohibitions or restrictions
5. Enhanced capacity to mobilize funds	<ol style="list-style-type: none"> <li>1. Number of inter-organizational (donors, technical assistance providers, RECs etc.) meetings held per year for resource mobilization to address phytosanitary issues at global, regional or national level</li> <li>2. Degree of change over previous years of budgetary support to IPPC</li> <li>3. Degree of self sustainability of NPPOs of CPs</li> <li>4. Degree of change over previous years of budgetary support to NPPOs</li> </ol>	<ol style="list-style-type: none"> <li>1. IRSS data; IPPC and Partners' reports</li> <li>2. Targeted survey feedback reports</li> <li>3. PCE data; NPPO annual reports; Audit reports; Independent evaluation reports</li> <li>4. IPPC projects database and activities data</li> <li>5. Partners' financial reports</li> </ol>	Reduction in aid for agricultural development or redirection of funds to other emerging priorities
6. Improved capacity to promote national phytosanitary systems	<ol style="list-style-type: none"> <li>1. Number of policies and legislation developed, updated or enforced, at regional and national levels, with phytosanitary issues embedded.</li> <li>2. Number of guidelines, documentation, training and other materials addressing advocacy developed and used at global, regional and national levels</li> <li>3. Level of participation and investments in global, regional and national trainings specific to policy makers, senior government officials and private sector stakeholders</li> <li>4. Number of public-private sector partnerships reported by CPs</li> </ol>	<ol style="list-style-type: none"> <li>1. IRSS data; IPPC and Partners' reports</li> <li>2. Targeted survey feedback reports</li> <li>3. PCE data; NPPO annual reports; Audit reports; Independent evaluation reports</li> <li>4. IPPC projects database and activities data</li> <li>5. Partners' financial reports</li> </ol>	The fluid dynamics of politics (impact of national elections on the NPPO and within government structures) particularly in developing countries may limit the impact of the programme in the short-term
7. Capacity development actively monitored, evaluated and lessons learned acted upon	<ol style="list-style-type: none"> <li>1. Degree of uptake of M&amp;E methods by CPs</li> <li>2. Number and type of reviews conducted by CPs, RPPOs and other phytosanitary agencies</li> <li>3. Number of excellence awards provided by the IPPC</li> <li>4. IPPC global capacity development strategy updated every 6 years</li> </ol>	<ol style="list-style-type: none"> <li>1. IRSS data; RPPO reports; REC and other partners' reports</li> <li>2. IPPC reports; Survey feedback reports</li> <li>3. NPPO annual reports; Audit reports; Independent evaluation reports.</li> <li>4. IPPC M&amp;E data</li> <li>5. IPPC projects and activities database data</li> </ol>	Country level data may not be shared readily for fear that such information may impact trade opportunities for some countries



## Work plan for the IPPC Strategy on Capacity Development

The work plan addressing the IPPC national phytosanitary capacity development strategy (to be used by the IPPC contracting parties, the Secretariat and other organizations) is a comprehensive and useful document that has been endorsed by CPM-7 in 2012, after review by the EWG CD. After the improvements, it was recognised that the global operational work plan is a dynamic and theoretical activity to be accomplished over many years.

It was also considered that this document has a strategic and non-operational nature and it would be useful to show to governments and donors the investment options and priorities to reinforce phytosanitary capacities, but not hypothetical values of the activities.

In some areas the Secretariat has a lead role to play, while in others, such as national phytosanitary

planning, the Secretariat can support or assist an activity led by another stakeholder.

Table 3 presents the IPPC Capacity Development Workplan organized by activity, output and subactivity, for an estimated period of six years.

For clarity purposes, each row refers to one subactivity and is covered by a triple code (e. g. ST2/O1/A1.1) identifying the strategic objective, output number into that objective, activity and subactivity.

The contents of the table is very useful in terms of setting leaderships and supporting commitments for all activities intended to implement the IPPC national phytosanitary capacity development strategy, suggesting funding options that could be explored by NPPOs, the IPPC and other organizations and adding comments and notes on details linked to the practical implementation of the subactivities.

Table 3. The IPPC Capacity Development Workplan

Strategic Area 1: National PS Planning and Management						
Activity No.	Output	Sub-activities	Lead Entity	Supported by	Funding Options	Notes/Comments
ST1/01/A1.1	1. Fit-for-purpose tools and processes for phytosanitary systems (PS) planning	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
ST1/01/A1.2		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
ST1/01/A1.3		Development of IPPC core training materials	IPPC	NPPO, RPPO	IPPC Sec, RPPO, FAO-TCP, Donors	Other activities are depended on tools being revised or developed
ST1/02/A2.1	2. Critical competencies available in the national phytosanitary system to undertake national planning, management and provide leadership to the NPPO. Critical competencies available in the national phytosanitary system to undertake national planning, management and provide leadership to the NPPO	Regional or national policy discussions including planning management and leadership on the mandate of the NPPO	RPPO	NPPO, IPPC Sec and others	RPPO, National, IPPC Sec, FAO-TCP, Donors, others	
ST1/02/A2.2		Training (project management, proposal writing, administrative and management, leadership, staff training programme development)	NPPO	IPPC Sec, RPPO, STDF	National, IPPC Sec, RPPO, FAO-TCP, Donors, others	National activities based on needs and priorities
ST1/02/A2.3		Undertake baseline study on planning and management requirements in the national phytosanitary system including stakeholder engagement	NPPO	RPPO, IPPC Sec.	National, IPPC Sec, RPPO, FAO-TCP, Donors	National activities based on needs and priorities
ST1/02/A2.4		Develop mentoring opportunities to support national phytosanitary planning and management	NPPO	RPPO, IPPC Sec, STDF, others	National, IPPC Sec, RPPO, FAO-TCP, Donors	
ST1/03/A3.1	3. Best practice for national phytosanitary action plans developed	Develop national phytosanitary action plans and HR plans and succession planning	NPPO	RPPO, Others, IPPC Sec.	National, IPPC Sec, RPPO, FAO-TCP, Donors	National activities based on needs and priorities
ST1/03/A3.2		Develop national emergency response plans for regulated pests that incorporate regional Emergency response plans, where they exist	NPPO	RPPO, Others, IPPC Sec.	National, IPPC Sec, RPPO, FAO-TCP, Donors	National activities based on needs and priorities

Strategic Area 2: Participation in Standard Setting						
Activity No.	Output	Sub-activities	Lead Entity	Supported by	Funding Options	Notes/Comments
ST2/O1/A1.1	1. Enhanced regional coordination of inputs into the standard setting process	RPPO coordinate discussion for a/workshops on draft standards, new topics, specifications and CPM preparation	RPPO	IPPC Sec, RECs, Other integration organizations	FAO, Donors, IPPC Sec	
ST2/O1/A1.2		Training RPPOs staff and regional experts on participation in all stages of the standard setting process (e.g. topics, specifications, representation on the SC and in other technical bodies, draft standards)	IPPC Sec	RPPOs, Experts	IPPC Sec, FAO, Donors, RPPOs	
ST2/O1/A1.3		Training RPPOs staff and regional experts to facilitate/coordinate standard setting meetings	IPPC Sec	RPPOs, Experts, RPPOs	IPPC Sec, FAO, Donors, RPPOs	Linked to budgeted workshops that the IPPC holds. This expenditure represents an additional days cost to the normal 5 day meeting
ST2/O2/A2.1	2. Enhanced involvement of stakeholders at national level	Hold multi-stakeholder discussion, fora, training, workshops, web on draft ISPMs, new topics, specifications, CPM, etc	NPPO	RPPOs, ECs Other organizations, IPPC Sec, FAO	Donors, NPPO, RPPO, FAO, IPPC Sec	
ST2/O3/A3.1	3. Quality of contracting parties participation improved	Hold orientation programme for new CPM delegates	IPPC Sec	RPPOs, FAO	Donors, NPPO, RPPO, FAO, IPPC Sec	A meeting of a few hours prior to start of the CPM
ST2/O3/A3.2		Peer/coaching/mentoring for new members of subsidiary bodies of the IPPC	IPPC Sec	RPPOs, FAO	Donors, NPPO, RPPO, FAO, IPPC Sec	A meeting of a few hours prior to start of the Subsidiary Body's meeting (e.g. Bureau, SPTA, EWG, TPs, SC etc.)
ST2/O3/A3.3		Support X 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 need a global view of the topic at hand
ST2/O3/A3.4		Conduct in depth discussion with all stakeholders, on draft ISPMs	NPPO	RPPOs	Donors, NPPO, RPPO, FAO, IPPC Sec	
		Review of draft standards at national level	NPPO	RPPO, RECs and other organizations		
		Review of draft standards at regional level	RPPO	NPPO		
ST2/O3/A3.5		Engage government to commit the human and financial resources for the NPPO to participate in the standard setting process and formalize its commitments using relevant instruments	NPPO	RPPO, RECs and other organizations	Donors, NPPO, RPPO, FAO, IPPC Sec	This activity can be combined with other workshops or conducted independently
ST2/O3/A3.6		Monitoring and evaluation	CPM	NPPOs, RPPOs, IPPC Sec, Donors	Donors, NPPO, RPPO, FAO, IPPC Sec	
		Annual reports				
		Midterm review				
		External evaluation				



Strategic Areas 3: Standards Implementation						
Activity No.	Output	Sub-activities	Lead Entity	Supported by	Funding Options	Notes/Comments
ST3/01/A1	Enhanced involvement of stakeholders at national level	Identifying implementation issues associated with adopted and draft standards (Approx 5 per year).	NPPO	RPPOs, RECs Other organizations, IPPC Sec, FAO	Donors, NPPO, RPPO, FAO, IPPC Sec	
		Accompanying draft implementation guidelines with draft standards (Approx 5 per year). A. Prepare guideline B. Circulate /review guideline C. Distribute guideline at regional workshops	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.
ST3/02/A2	Improved understanding of implementation requirements of specific standards	Develop manuals; guidelines; factsheets; capacity needs assessment tools for implementing specific standards Implementation of 34 standards @ 2011 Development of new tools for implementation				
ST3/02/A2.1	Support provided for implementation of priority ISPMs	Training on implementation of ISPMs				
		National level Implementation of 34 standards @ 2011	Experts, NPPO	RPPO		
		Regional level	RPPO/ Experts	IPPC Sec		
		Workshops				
		Higher level education	RPPO	IPPC Sec, NPPO		
		Establishment of centers of excellence				
		Establishment of mentoring system for countries to help each other	RPPO	RECs and other organizations, IPPC Sec, NPPOs		
ST3/02/A2.2	Mobilize resources for implementation of standards		NPPO		NPPOs, RPPOs, RECS and other organizations	

**Strategic Areas 3: Standards Implementation**

Activity No.	Output	Sub-activities	Lead Entity	Supported by	Funding Options	Notes/Comments
ST3/O2/A2.3		Develop advocacy materials	IPPC Sec/ FAO	RPPOs, RECS and other organiza- tions, SPTA	NPPOs, Donors, STDF, RPPOs, RECS and other organizations, IPPC Sec	Continuous programme and draws on all aspects related in the CD strategy
		Advocate and Communicate	NPPO			
		Develop communication materials	IPPC Sec/ FAO	RPPOs, RECS and other organizations, SPTA		
		Develop planning tools for specific ISPMs identified by the NPPOs	IPPC Sec/ FAO	RPPOs, RECS and other organizations		
		Develop resource plan	NPPO	RPPOs, RECS and other organizations, SPTA		
		Staffing	NPPO			
		donor matching	IPPC Sec	RPPOs, RECS and other organizations		
		mentoring (see Activity 2.2)	NPPO	RPPOs, RECS and other organizations, IPPC Sec		
		Implement IRSS programme	IPPC Sec	RPPO, NPPO, RECS and other organizations		

Strategic Areas 4: Communication and Coordination						
Activity No.	Output	Sub-activities	Lead Entity	Supported by	Funding Options	Notes/Comments
ST4/01/A1	Information and resources of international, regional and national bodies identified, managed and coordinated	Establish baseline	IPPC and RPPOs	NPPOs and RPPOs	Donors	
ST4/01/A1.1		Build ICT system accessible to donors and recipients with limited general access	IPPC	NPPOs and RPPOs	Donors	
ST4/01/A1.2		Develop and conduct periodic survey of capacity development programs to populate the system	IPPC	NPPOs and RPPOs	Donors	
ST4/01/A1.3		Train users on system operations.	IPPC	NPPOs and RPPOs	Donors	
ST4/02/A2.1	Methods and pathways for communication used	Establish "help desk" which is empowered to facilitate and maintain partnering between donors and recipients	IPPC	NPPOs and RPPOs	Donors	Calculated in the IRSS program
ST4/02/A2.2		Each successive CPM encourages the use of help desk	CPM	NPPOs and RPPOs	Donors	
ST4/03/A3.2	Mechanism and synergies for coordination used	Contracting parties or RPPOs reports information to IPPC on ongoing or planned projects in member nations	RPPO	NPPOs and RPPOs	Donors	
ST4/04/A4.1	Competencies for resource mobilization and management identified and supported through the national phytosanitary action plan	National networking mechanism established	NPPO	NPPOs and RPPOs	Donors	Initial development activity may require IPPC intervention for providing description of what is required - regional travel
ST4/04/A4.2		National coordination committee (SPS/biosecurity/trade facilitation, etc) established to engage other ministries/departments in cooperative activities that can benefit plant health efforts	NPPO	NPPOs and RPPOs	Donors	Initial development activity may require IPPC intervention for providing description of what is required - regional travel
ST4/04/A5.1		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

## Strategic Area 5: Pest Information

Activity No.	Output	Sub-activities	Lead Entity	Supported by	Funding Options	Notes/Comments
ST5/O1/A1	Contracting parties updated regulated pest lists and timely report outbreaks of regulated pests	Gap analysis to determine requirements for surveillance, diagnostics, reference collections, information systems etc.	IPPC	IPPC/RPPO/ NPPO and other organizations	Donors	
ST5/O2/A2	Pest data analysed, especially providing early warning for risk management, market access and risk analysis	National Planning activities related to surveillance, diagnostics and related activities underpinning food security	NPPOs	IPPC/RPPO/ and other organizations	Donors	This is a component frequently integrated into many cooperation projects
ST5/O/A3.1		Enhancement of surveillance skills through training - especially practical application	NPPO	RPPOs, IPPC Sec, Technical Assistance providers	Donors	Assuming 80 countries receiving 400.000 each over 2 years.
ST5/O/A3.2		Development of specialized diagnostic support at a regional level	RPPO	NPPO/IPPCC	Donors	Reflected as ongoing over the life of the project.
ST5/O/A4.1		Enhancement of diagnostic capability through development of laboratory infrastructure	NPPO	NPPO/RPPO/ IPPC	Donors	Needs determined based on gap analysis and midterm review. Assuming 80 countries receiving 500.000
ST5/O/A4.2		Enhancement of diagnostic capability through the provision of diagnostic tools	NPPO/RPPO/ IPPC	NPPO/RPPO/ IPPC	Donors	This will include taxonomic reference material, electronic or otherwise.
ST5/O/A4.3		Enhancement of diagnostic capability through development of networking	IPPC	RPPO/NPPO	Donors	Vision is to establish a network, registers of expertise, etc.
ST5/O/A4.4		Enhancement of reference collections and related physical facilities and curation protocols	NPPO	RPPO/IPPCC	Donors	Driven by gap analysis, and revisited periodically
ST5/O/A4.5		Confirmatory identifications for specimens to assist with reference collections, early warning for risk management, market access and risk analysis	NPPO	RPPO, IPPCC	Donors	
ST5/O/A5.1		Create and deploy information systems at national level. Mechanisms created to provide pest information to NPPOs	NPPO	IPPC/RPPO	Donors	
ST5/O/A5.2		Training in compilation of pest information and management of information systems provided to national actors, including NPPOs	NPPO	IPPC/RPPO	Donors	
ST5/O/A5.3.		Data entry	NPPOs		Donors	
ST5/O/A6.1	Capability to provide plant pest information enhanced	Training provided in analysis of pest information, preparation of pest reports and issuing of pest alert	NPPO/ RPPO	IPPC	Donors	Dependent on complexity of tasks to be done
ST5/O1/A7		Pest information analyzed; reports and early warnings issued	NPPOs	IPPC/RPPO/ NPPO	Donors	
ST5/O/A8		Embed IPPC related material in national tertiary and vocational curricula	NPPOs	IPPC/RPPO	Donors	

Strategic Area 6: Resource Mobilization (Fundraising)						
Activity No.	Output	Sub-activities	Lead Entity	Supported by	Funding Options	Notes/Comments
ST6/01/A1.1	Enhanced capacity to engage donors at all levels	Donor coordination meetings at all levels	IPPC Sec	NPPO, RPPO	IPPC Sec, Donors	
ST6/01/A1.2		Coordinate and maximize the effectiveness of the funds available from various sources.	STDF, IPPC Sec	NPPO, RPPO, REC's, Donors	IPPC Sec, RPPO, Trust Funds, Donors	
ST6/01/A1.3		Develop guidelines to be used by NPPOs for engaging donors	IPPC Sec	NPPO, RPPO	IPPC Sec, RPPO, Donors	
ST6/01/A1.4		Develop recommendations to be used by donors for granting funding support	IPPC Sec	NPPO, RPPO	National, IPPC Sec, RPPO, Donors	
ST6/01/A1.5		Hire a full-time fundraiser in the IPPC Secretariat	IPPC Sec	NPPO, RPPO, FAO and others	Trust Funds, IPPC Sec, Donors	Staff resource shared with other areas of the IPPC
ST6/02/A1.6		Train users on system operations.	IPPC Sec	NPPOs and RPPOs	Donors	
ST6/02/A2.1	Enhanced capacity to raise funds from national sources.	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 and cost is considered under ST1
ST6/02/A2.2		Develop a mechanism to ensure sustainability of the operations of an NPPO, including cost sharing /cost-recovery/user-pay models	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 and cost is considered under ST1
ST6/02/A2.3		NPPO management develops and pursues appropriate funding level through the national budgetary processes	NPPO	National stakeholders	IPPC Sec, RPPO, National end-user of PS services, Donors	National activities will be based on need and cost is considered under ST1

Strategic Area 7: Advocacy						
Activity No.	Output	Sub-activities	Lead Entity	Supported by	Funding Options	Notes/Comments
ST7/01/A1.1	Enhanced involvement of the NPPO in formulating relevant national policies	Develop training materials; deliver training; evaluate training impact on policy	Multinational organizations	FAO, IPPC Sec., RPO/RECS and other organizations	IFAD, FAO, WB, NPPO	
ST7/01/A1.2		National and regional mentoring	NPPO/RPO	IPPC Sec	NPPO/RPO	Costing only staff required by IPPC Sec and RPO
ST7/01/A1.3		Conduct study of policy documents for possible impact on the phytosanitary system	RPO/RECS and other organizations	FAO	RPO, RECS and other organizations, IFAD, FAO, WB, NPPO	
ST7/02/A2.2	Enhanced NPPO capacity to promote their own capacity development needs	Develop guidelines for phytosanitary capacity building based on Paris Principles	IPPC Sec	FAO, NPPOs, RPOs	STDF,FAO,WB	
ST7/03/A3.1	NPPOs have better capacity to develop and implement communication/advocacy strategies	Develop training materials Deliver training	IPPC Sec RPOs, RECS and other organizations	FAO Expert/NPPO/RECS and IPPC Sec	FAO, WB, IFAD	
ST7/04/A4.1	Enhanced capacity to coordinate national stakeholders	Evaluate training impact Engage industry and other private sector stakeholders and NGOs	NPPO NPPO	Expert RPO/RECS and other organizations	Private Sector, NPPO, RPO, RECS and other organizations	
ST7/04/A4.2		Formalize regular linkages – bridge building with customs, immigration, trade groups and private sector	NPPO	RECS and other organizations	Private Sector, NPPO, RECS and other organizations	
ST7/04/A4.3		Encourage public private partnership with users of the phytosanitary service	NPPO	RECS and other organizations	Private Sector, NPPO, RECS and other organizations	
ST7/04/A4.4		Develop and promote case studies of private sector/public sector collaboration to achieve phytosanitary / bio security / market access objectives	STDF, IPPC Sec and others	RECS and other organizations, RPO, FAO, IPPC Sec	NPPO, FAO, WB, RPO, RECS and other organizations, STDF	
ST7/05/A5.1	Enhanced capacity of regional bodies to influence, assist, and promote national policy	Create fora for interchange of experiences and skills on phytosanitary advocacy among regional organizations	RPO/IPPC Sec	FAO, RECS and other organizations	STDF, NPPO, WB, RECS and other organizations, RPO	
ST7/05/A5.2		Utilize other international fora (e.g. APEC) to advocate for national phytosanitary systems	RPO/RECS and other organizations	IPPC Sec	STDF, NPPO, WB, RECS and other organizations, RPO	
ST7/05/A5.3		Conduct baseline study of RPO relevance	IPPC Sec	NPPO, RECS and other organizations	FAO, NPPO, RECS and other organizations	

ST7/O6/A6.1	Enhanced the capacity of contracting parties to generate, access and retrieve data and information on advocacy	Develop tools for evidence based advocacy (economic analysis, cost/benefit, etc)	STDF, FAO	NPPOs	RPO, RECS and other organizations, IFAD, FAO, WB, NPPO	Ongoing
ST7/O6/A6.2	Review of current phytosanitary advocacy and communication documentation	Review of current phytosanitary advocacy and communication documentation	NPPO, IPPC Sec, other organizations	RPOs, RECS and other organizations	IPPC, FAO, WB, STDF, NPPO, RECS and other organizations, RPO	

**Strategic Area 8: Monitoring and Evaluation**

Activity No.	Output	Sub-activities	Lead Entity	Supported by	Funding Options	Notes/Comments
ST8/O1/A1.1	Monitoring and evaluation tools developed and used throughout the implementation of the global phytosanitary strategy at all levels	Identify existence and use of M&E tools by contracting parties and others	IPPC Sec	NPPOs	Donors	
ST8/O1/A1.2		M&E tools developed or adapted,	IPPC Sec	NPPOs and other organizations	Donors	
ST8/O1/A1.3		Develop and populate a depository tool	IPPC Sec	NPPOs and other organizations	Donors	
ST8/O1/A1.4		Training in use of M&E tools (including use of the depository)	IPPC Sec		Donors	
ST8/O1/A1.5		IPPC secretariat (and others) promote use of M&E and depository tools	IPPC Sec, NP-POs and other organizations		Donors	
ST8/O1/A1.7		Adjust M&E tool when necessary	IPPC Sec, NPPOs		Donors, Interested NGOs	
ST8/O2/A2.1	Periodic review and assessment being conducted	Partner with leading organizations to conduct reviews and assessment	IPPC Sec		Donors	
ST8/O3/A3	Continual process of improvement (adaptive management)	Share review results as appropriate and implement corrective measures	IPPC		Donors	Ongoing









## IPPC

The International Plant Protection Convention (IPPC) is an international plant health agreement that aims to protect cultivated and wild plants by preventing the introduction and spread of pests. International travel and trade are greater than ever before. As people and commodities move around the world, organisms that present risks to plants travel with them.

### Organization

- ◆ The number of contracting party signatories to the Convention exceeds 177.
- ◆ Each contracting party has a National Plant Protection Organization (NPPO) and an Official IPPC contact point.
- ◆ 10 Regional Plant Protection Organizations (RPPOs) have been established to coordinate NPPOs in various regions of the world.
- ◆ IPPC liaises with relevant international organizations to help build regional and national capacities.
- ◆ The Secretariat is provided by the Food and Agriculture Organization of the United Nations (FAO-UN).



### International Plant Protection Convention (IPPC)

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