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**Surveillance pilot project analysis - Implementation Pilot Programme on
Surveillance - Programme Review and Evaluation including
recommendations**

Agenda item 9.2

**Prepared by Mr Dale, Mr Bishop, Mr Sepúlveda Luque and the IPPC
Secretariat with inputs from the IC and the SC**

I. Background and history of the Implementation Pilot Programme on Surveillance

1. During CPM-13 (2018), the Implementation and Capacity Development Committee (IC) and Standards Committee (SC) were formally requested to review and evaluate the progress of the *Implementation Pilot Programme on Surveillance* (hereafter called pilot programme) against the agreed deliverables and milestones of the pilot programmes strategic work plan. The evaluation team were asked to identify lessons learnt and recommend revisions to the pilot programme and its work plan to CPM as necessary, taking into account the experience of the regional initiatives implemented through APPPC and the recently adopted ISPM 6 (*Surveillance*).

2. Conceptualized and developed during CPM-9 (2014) through an Open Ended Working Group (OEWG) on implementation and on the basis of a 2011 Implementation Review and Support System (IRSS) review of ISPM 6 implementation, the pilot programme was formally approved by CPM-10 (2015)¹. The pilot programme aimed to address global and regional surveillance implementation issues

¹ CPM-10 (2015) Implementation Programme on Surveillance and the Implementation, Review and Support System (IRSS) – update CPM_2015_23_Rev_02: <https://www.ippc.int/en/publications/8072/>

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associated with surveillance related issues such as surveillance policy, legislation, stakeholder engagement, resourcing, diagnostics and surveillance information management. It was recognized that considerable guidance and resource materials were already available amongst contracting parties to support surveillance implementation initiatives, but a structured and coordinated approach was needed to consolidate and make this information available at a global level to all contracting parties.

3. A five year 'strategic work plan' for the pilot programme was approved by CPM-10 (2015). The IPPC Secretariat (through the Capacity Development Committee (CDC)) was delegated responsibility for the coordination and management of the project under the oversight of the Bureau, including project resourcing, communication, contracting Parties coordination and reporting. CPM-10 (2015) also urged contracting parties to contribute resources to ensure that the pilot programme is a success and has the expected impact.

4. An IPPC Secretariat Project team was formed to implement this pilot programme.

5. The resources implications to the budget of the IPPC Secretariat are summarized in the dedicated template provided in CPM 2019/INF/02.

II. *Implementation Pilot Programme on Surveillance Review Process and Methodology*

6. The IC and SC discussed the issue and assigned IC member Christopher Dale (Australia) and SC member Samuel Bishop (United Kingdom) to evaluate the pilot programme and develop a review paper to be reported to the IC and SC November 2018 meetings for comment and feedback and then to CPM-14 (2019).

7. The evaluation team conducted a comprehensive desktop review and evaluation of all available documents developed during the delivery of the *Implementation Pilot Programme on Surveillance: Strategic Work Plan* (see Attachment 1), strategic work plan which was presented as a concept note to the Capacity Development Committee in November 2015. The evaluation team assessed the completion of the work plan deliverables against reported deliverables. They also reviewed the updates provided to the CDC, annual CPM project updates and CPM reports. It should be noted that no official annual project reports or financial reports were available to assess the completion of project deliverables for the 2015, 2016, 2017 or 2018.

8. The evaluation team also conducted a detailed review of recently revised and updated surveillance associated standards (ISPM 6, ISPM 4 (*Requirements for the establishment of pest free areas*), ISPM 17 (*Pest reporting*), etc.) to assess the relevance of existing IPPC Guides and training materials.

9. The evaluation team has conducted lengthy discussions with the IPPC Secretariat and former CDC members regarding the planning, delivery and management of this pilot programme and acknowledges their efforts in providing project planning documents, reports and materials to support this evaluation process. The evaluation team also acknowledges the limited resourcing as well as organizational changes both within the IPPC Secretariat and in the transition from the CDC to the IC over the past four years affected the delivery of this pilot programme. Details on the Evaluation of the *Implementation Pilot Programme on Surveillance Strategic Work-Plan* are available in Attachment 1.

10. The evaluation team reviewed the Asia and Pacific Plant Protection Commission (APPPC) six-year surveillance implementation program and the Standard and Trade Development Facility (STDF) regional surveillance information management project and have conducted interviews with representatives from the APPPC and associated NPPO's on the relevance and merits of both surveillance projects for implementation outside of the Asia Pacific Region.

11. The evaluation was presented to the Standards Committee (SC) and to the Implementation and Capacity development Committee (IC) during their November 2018 meetings. The SC noted that there

were active surveillance initiatives in some regions and that the IPPC Pest Surveillance Guide was widely used. The IC noted that there are plenty of materials available worldwide that could be aggregated and made available as contributed resources on the IPP. The Secretariat noted that some IPPC Guides (with others still being developed) should be considered if the work on surveillance is continued.

12. Both SC and IC agreed to the overall evaluation and were in favor of presenting the outcome of the evaluation, along with recommendations to CPM-14 (2019).

III. Findings of the evaluation

13. A comprehensive evaluation of the pilot programme over the three year period from 2015-2018, focusing on the 2015 strategic work plan, indicates that there was a significant lack of financial and personnel resourcing. This along with a lack of clear and structured project planning, coordination, reporting and management accountability has inhibited the overall success and effectiveness of the pilot programme. The evaluation also identified that, whilst significant progress had been made in raising awareness and identifying surveillance implementation and emerging pest risk issues at the national and regional levels, the pilot programme had failed to deliver tangible training and support materials.

14. Noting the recent success of surveillance implementation initiatives at the regional level with the APPPC and PPPO, as well as significant investment in developing surveillance policies and guidance materials in contracting parties such as Australia, New Zealand and the European Union over the past three years, the evaluation team supports a continuation of the work on surveillance for a two year period with updated planning and program management arrangements. It is also recommended that the IC and SC consider establishing an 'Ad hoc Surveillance Working Group' within the existing IC governance structures to take the lead on the development of a two year *Surveillance Implementation Programme*.

A. Pilot Programme Resourcing (financial and personnel)

15. Based on discussions with both the IPPC Secretariat staff and contracting party representatives, it was clear that the pilot programme did not have the financial resources or human resources to effectively deliver and maintain the pilot programme. Noting that the financial contributions from the Governments of Switzerland (\$20,000 USD for activities on emerging pests) and the Republic of Korea (\$30,000 USD to support the 2016 Working Group meeting of the pilot programme held in Thailand on the three global priority pests) were identified and assigned for specific activities that were not explicitly identified on the strategic work plan, it is recommended that any future programme initiatives be planned and designed around existing and available financial and human resources (as not to create unrealistic and undeliverable expectations).

B. Pilot Programme Planning and Design

16. The evaluation identified that the pilot programme lacked clear and concise project management. A project of this size and scope needs clearly defined and achievable goals, objectives, outcomes and deliverables. It also needs clearly defined timeframes and schedules for the delivery and completion of milestones, clearly defined roles and responsibilities of the project management team and clearly defined scope of what may and may not be achieved based on variable resource availability.

C. Pilot Programme Coordination and Management

17. It was evident from discussions with the IPPC Secretariat staff and contracting party representatives that the pilot programme had been significantly impacted by organizational changes and restructuring within the IPPC Secretariat that took place over the last four years of the pilot programme.

The original pilot programme leads and project coordinators are no longer employed within the IPPC Secretariat and there has been limited communication between IPPC Secretariat Project team members, minimal handover of responsibilities and transfer of corporate knowledge between project managers and minimal project governance material to facilitate contingency planning and succession planning.

D. Pilot Programme Communication and Reporting

18. The pilot programme provided regular biannual project updates to the CDC and annual project updates to the CPM, but detailed annual reports were not produced. There was minimal reporting on individual programme activities and achievements. This was evident in the evaluation of the pilot programme as details on the progress of the pilot programme over the past four years has been elicited and extracted from multiple reporting sources (biannual CDC updates, annual CPM updates, travel and workshop reports, EWG meeting reports etc.).

E. Pilot Programme Monitoring and Evaluation

19. Whilst the pilot programme provided regular biannual project status updates to the CDC members and annual project status updates to the CPM, there appears to be no structured monitoring and evaluation framework by which to measure the effectiveness of the pilot programme, the completion of key tasks and deliverables, the utilization of financial and human resources or to evaluate the effectiveness or success of the pilot programme.

IV. Recommendations for the next steps

20. Noting the success of regional surveillance implementation initiatives at the regional or national levels such as the *APPPC Regional Surveillance Implementation Programme* and the *STDF Regional Surveillance Information Management Project*, the evaluation team believes that there is enough interest and support from contracting parties, RPPPO's and external donors to support and sustain a significantly revised and reformed Surveillance Implementation Programme.

21. Also noting that there have been significant investments in the development of surveillance policy, design, systems and tools by contracting parties such as Australia, European countries, New Zealand and industry groups over the past three years, the evaluation team is confident that there is still a legitimate need and capacity for the IPPC community to support and promote surveillance implementation activities and sufficient support from contracting parties to contribute more effectively to the development and coordination of a revised implementation activity through the definition of a Surveillance Implementation Programme for two years from date financing secured.

A. Establishment of an *Ad hoc* Surveillance Working Group

22. It is recommended that consideration be given to the establishment of an 'Ad hoc Surveillance Working Group' (as an IC Sub-group) to take the lead on the development of a two year Surveillance Implementation Programme (to begin once resources are secured). A draft Terms of Reference for this of this Ad hoc Surveillance Working Group are proposed in Attachment 2 and detailed costing estimates for the activities of this Ad hoc Surveillance Working Group are provided in Attachment 3. A two year Surveillance Implementation Programme would be prepared by this group and presented to the CPM for approval, via the IC with input from the SC. The newly developed template for proposals going to CPM that have resource implications to the budget of the IPPC Secretariat has been filled in (see CPM 2019/INF/01).

B. Suggested activities of the a two year Surveillance Implementation Programme

23. It is recommended that the scope of a two year Surveillance Implementation Programme focus on existing IPPC surveillance priorities such as the revision and updating of the 2015 IPPC Surveillance

Manual in line with the approved revision of surveillance standard ISPM 6 (2018). A revised ‘call for surveillance implementation materials’ noting the significant investment in globally relevant surveillance materials and products since the last call for materials in 2015 could be launched. The APPPC Regional Surveillance Implementation program materials as well as other available regional and national surveillance material could be revised. A review of ‘feasible’ hosting platforms for surveillance implementation materials such as e-learning modules, factsheets, policy and strategy guidelines, etc. could be undertaken.

24. It is also recommended that any ongoing Surveillance Implementation Programme consider and investigate opportunities for national, regional and global surveillance promotion and advocacy. This could include adding “surveillance” as a standing agenda items for IPPC regional workshops as well as incorporating activities on surveillance implementation and review of relevant regional case studies into the International Year of Plant Health calendar of events.

25. The CPM is invited to:

- 1) *Review* the evaluation.
- 2) *Consider* and agree to the following recommendations on the development and implementation of future programme initiatives:
 - a) CPM activities should be costed and extra budgetary resources should be identified prior to conducting any new activity.
 - b) CPM should investigate options for contracting parties to directly invest in specific components of a future programme initiatives through financial or in-kind contributions.
 - c) any future programme initiatives should be based around clear project management principles, with goals, objectives, outcomes, deliverables defined and an adequate allocation of resources.
 - d) significant effort should be invested by the IPPC Secretariat into coordination, management and planning components of any future programme initiatives, with this effort included in the relevant budgets and work plans.
 - e) future programme initiatives should include clearly defined and achievable requirements for programme: governance (resources (staffing and finance), engagement, etc.), deliverables or outputs (individual activity, workshop, meeting reports, etc.), and reporting (milestones reports: quarterly, annually, end of programme, etc.).
 - f) project management tools, such as Microsoft Project, should be utilized to manage scheduling, track resources and ensure milestones are met.
 - g) any future programme initiatives should be designed and structured around a clearly defined project monitoring and evaluation framework.
- 3) *Request* the IC to establish an ‘*Ad hoc* Surveillance Working Group’ as an IC Sub-Group to review global resources and develop a two year Surveillance Implementation Programme, to be presented CPM-15 (2020) for approval with appropriate input from the SC.
- 4) *Request* the IC to review and revise, as necessary, a Terms of Reference for the ‘*Ad hoc* Surveillance Working Group’.
- 5) *Nominate* funding sources for the *Ad hoc* Surveillance Working Group to undertake its activities as per the detailed estimates provided in Annex 5.
- 6) *Agree* that no further work on Surveillance should be done until appropriate resources have been allocated.

Attachment 1: Details on the Evaluation of the Implementation Pilot Programme on Surveillance Strategic Work-Plan

A. Preparatory Phase (2015-2017)	Completed	Comments
1. Aggregation and analysis of baseline studies, existing tools, guidance and projects that can be leveraged and built upon.	Unknown (not provided)	This is a very broad and extremely hard deliverable to measure unless deliverables are defined
2. Aggregation and analysis of case studies of past successes and challenges in surveillance, to be able to provide specific examples of development of surveillance activities in different contexts.	Partially Complete Following the call for resources (general and specific to the 3 priority pests), the CDC reviewed these resources and published them on the Phytosanitary Resource Page (no longer active)	This is a very broad and extremely hard deliverable to measure unless deliverables are separated
3. Revision of ISPM 6 and other surveillance-related ISPMs (Revision of ISPM 8. Determination of pest status in an area (2009-005) and Revision of ISPM 4. Requirements for the establishment of pest free areas (2009-002), taking into account the outcomes of IRSS studies, as a component of the pilot project for updated guidance on surveillance to contracting parties.	ISPM 6 Revision Completed ISPM 4 revision in progress	ISPM 6 Revision completed and endorsed by CPM-13 in April 2018 IRSS study on the implementation of ISPM 6 undertaken
4. Identification of stakeholders (including the civil society), degree of involvement and roles at various levels (sub-national, national, regional, international, etc.).	Unknown (not provided)	Propose establishing global and regional registers of surveillance subject matter experts
5. Development of indicators to measure the success of the pilot project and broader implementation programme	Unknown (not provided)	Project deliverables need to be better defined and tailored for M&E
6. Exploration of options to encourage national and regional-level participation and to take ownership for actions and results in the pilot project, for long term sustainability.	Unknown (not provided)	This is a very broad and extremely hard deliverable to measure. Possible register of projects, case studies, initiatives?
7. Establishment of a monitoring and evaluation framework to allow for responsiveness and continuous improvement in the pilot project as well as the IPPC implementation programme.	Unknown (not provided)	Agree with the concept but requires a clear and concise project plan with clear goals, outcomes, outputs, deliverables, scheduling and milestones
8. Development of feedback mechanisms of the pilot project, through the IRSS project, National Reporting Obligations (NROs), Standard-Setting and Capacity Development programmes.	Unknown (not provided)	Agree with concept but needs alignment with all project plans and monitoring and evaluation frameworks and governance

B. Project Implementation Phase (2017-2020)	Completed	Comments
9. Design and Development of Relevant Technical Resources	Partially Complete	Some materials have been designed and developed but there are many more available from CP's.
10. Development of technical resources as needed on surveillance-related activities and of training material, including on:	Partially Complete	Some materials have been designed and developed but there are many more available from CP's
11. Guidance on common understanding of general surveillance,	Unknown (not provided)	Materials are available at a national and regional level (e.g. AUS/APPPC)
12. Guidance on collection and validation of information at country level	Unknown (not provided)	Materials are available at a national and regional level (e.g. AUS/APPPC)
13. Guidance on specific surveillance including delimitation and trace-back and cross-border cooperative surveillance programmes,	Unknown (not provided)	Materials are available at a national and regional level (e.g. AUS/APPPC)
14. Guidance on utilizing this information to meet NROs and inform other national phytosanitary processes, e.g. PRA or establishment of a list of regulated pests,	Unknown (should be included in ISPM4 manual)	Materials are available at a national and regional level (e.g. AUS/APPPC)
15. Guidance on Decision-Support-Systems on surveillance.	Unknown (not provided)	Further clarification on 'Decision-Support Systems' needed
16. Support of regional and national data collection, management and information exchange initiatives - facilitate the establishment and/or improvement of systems and tools,	Unknown (not provided)	Materials are available at a national and regional level (e.g. AUS/APPPC) also, pest specific (desert locust, full army worm etc.)
17. Promote stakeholders (including the civil society) involvement through existing information exchange mechanisms.	Partially Complete The IPPC guide on pest risk communication includes some elements related to citizen science. The manual on stakeholders' involvement provides additional information.	Materials are available at a national and regional level (e.g. AUS/APPPC)
18. Development or adaptation of training material to support the technical resources when necessary (e-learning, workshops activities, etc.).	Unknown (not provided)	Materials are available at a national and regional level (e.g. AUS/APPPC) – APPPC six-year workshop AUS e-learning modules)

<p>19. Facilitation and training opportunities to use the training materials through existing fora as well as through training mechanisms including workshops, mentoring programmes, dissemination of e-learning tools, manuals, videos, etc.</p>	<p>Partially Complete</p> <p>Project presentations were made during Regional Workshops, including a questionnaire and the restitution of its analysis.</p>	<p>Materials are available at a national and regional level (e.g. AUS/APPPC)</p> <p>APPPC six-year workshop AUS e-learning modules)</p>
<p>20. Development of training mechanisms for setting and maintaining surveillance-related activities, e.g. project and programme design and management, human resource management, resource mobilization for long term planning and advocacy.</p>	<p>Unknown</p> <p>(not provided)</p>	<p>Materials are available at a national and regional level (e.g. AUS/APPPC)</p> <p>APPPC six-year workshop AUS e-learning modules)</p>
<p>21. Facilitation and training to ensure that technical information generated through a national surveillance programme is appropriately utilized to meet surveillance-related NROs and used in other phytosanitary processes.</p>	<p>Partially Complete</p> <p>The Project 401 on the training of PCE facilitators includes a component on surveillance, and this may be used for further training activities.</p>	<p>Materials are available at a national and regional level (e.g. AUS/APPPC)</p> <p>APPPC six-year workshop AUS e-learning modules)</p>
<p>22. Development of implementation plans for surveillance-related ISPMs.</p>	<p>Partially Complete</p> <p>PCEs were implemented in countries, which often included surveillance planning activities (Madagascar)</p>	<p>Materials are available at a national and regional level (e.g. AUS/APPPC)</p> <p>APPPC six-year workshop AUS e-learning modules)</p>
<p>23. Promotion and encouragement of establishing and sustaining partnerships and other types of collaborative mechanisms to leverage existing resources to establish and maintain functional surveillance programmes and associated activities.</p>	<p>Unknown</p> <p>(not provided)</p>	<p>Materials are available to promote industry and stakeholder engagement through industry surveillance strategies etc.</p>
<p>24. Review of surveillance-related ISPMs and technical resources, incorporating broad feedback from contracting parties and other stakeholders (including the civil society), using the existing mechanisms and programmes: IRSS, NROs.</p>	<p>Completed</p> <p>(Outcome Unknown)</p>	<p>Reviews have been conducted but how are these presented, analysed, used to inform decision making at the IPPC, RPPO and National Level?</p>
<p>25. Establishing reporting and feedback mechanisms for ongoing activities, and for determining implementation priorities.</p>	<p>Partially Complete</p> <p>The answers to Regional Workshop questionnaires were analysed and were considered a high level feedback mechanism. There were also the studies on emerging pests conducted through the IWG.</p>	<p>Surveillance reporting templates exist at a national and regional level and can be adapted for global implementation.</p>

<p>26. Assessment and improvement of the methods used to encourage national and regional-level participation, actions and results in the pilot project as well as sharing successes and challenges of implementation.</p>	<p>Partially Complete</p> <p>During a regional workshop, a session was dedicated to countries sharing surveillance successes (2015).</p>	<p>Stakeholder engagement, advocacy and surveillance promotion material exists at the national and regional level and can be adapted for global implementation.</p>
<p>27. Preparation of materials on the state of implementation of surveillance-related activities.</p>	<p>Unknown</p> <p>(not provided)</p>	<p>Unsure what these materials would be?</p>

Attachment 2 - Draft Terms of Reference of the Ad hoc Surveillance Working Group

1. Purpose

- [1] The *Ad hoc* Surveillance Working Group will consider global resources on surveillance, develop a Surveillance Implementation Programme for the IPPC phytosanitary community to have access to tools to implement a national pest surveillance system consistent with ISPMs. This Surveillance Implementation Programme would be submitted to the CPM via the IC.

2. Duration

- [2] The *Ad hoc* Surveillance Working Group will start to operate once funds are available for its activities until it completes its purpose.

3. Membership

- [3] The *Ad hoc* Surveillance Working Group should consist of one member from the IC, one member from the SC and three experts on surveillance considering wide geographic representations.
- [4] The IC and SC members are selected by their respective committees. The experts are selected by the IC according to the IC Sub-group Rules of Procedure, after a call for suitable candidates is issued.

4. Conflict of interest

- [5] The *Ad hoc* Surveillance Working Group will take the necessary measures to avoid any conflicts of interest that may arise from the operations of the Surveillance Working Group.

5. Tasks

- [6] The *Ad hoc* Surveillance Working Group operates under the guidance and supervision of the IC with input from the SC and serves as a forum to:
1. Develop a two year Surveillance Implementation Programme, along with a work plan and priorities for submission to the CPM via the IC
 2. This two year Surveillance Implementation Programme should include:
 - a. Clear project management principles with goals, objectives, outcomes, deliverables and budget allocation and a clearly defined project monitoring and evaluation framework into the programme.
 - b. Clearly defined and achievable requirements for the programme, governance, resources (staffing and finance), engagement, deliverables (individual activity, workshop, meeting reports, etc.), and reporting (milestones reports: quarterly, annually, end of programme, etc.).
 - c. A call for existing surveillance material from around the world, reviewing submissions, aggregating relevant material and making them available to the IPPC Community.
 - d. Consideration of whether to revise the IPPC Pest Surveillance guide and other available resources.
 - e. Processes for integrating surveillance activities in IPPC Community activities (such as IPPC Regional Workshops and International Year of Plant Health).
 - f. Strategies for mobilizing extra budgetary resources to implement the programme work plan, including options for contracting parties to directly invest in specific components of a future programme initiatives through financial or in-kind contributions.

6. Reporting

- [7] The *Ad hoc* Surveillance Working Group reports to the IC. The IC should seek the SC's views.

7. Rules of Procedure

- [8] The IC Sub-group Rules of Procedure will apply to the *Ad hoc* Surveillance Working Group.

8. Amendments

- [9] Amendments to these Terms of Reference, if required, shall be adopted by the IC.

Attachment 3 – Detailed costing for the activities of the Ad hoc Surveillance Working Group

The *Ad hoc* Surveillance working group shall work through virtual meetings set as needed. A face to face meeting shall also be organized at FAO Headquarters back to back with the IC and SC meeting in November 2019, if possible.

Item	Cost in USD
<i>Ad hoc</i> Surveillance Working Group Coordination based in the IPPC Secretariat	8 weeks (40 work days) staff time: 30,000
Members participation	Own cost
Meeting – venue, catering, logistics support (FAO Headquarters)	1000
Travel assistance for developing countries experts	10,000
Secretariat resources: logistical and IT support, publishing.	5,000
Total	46,000