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Acronyms

AGP	FAO Plant Production and Protection Division
AOS	Administrative and Operational Support costs
BH	Budget Holder
BLG	Liaison Group of the Biodiversity Related Conventions
CBD	Convention on Biological Diversity;
CDC	Capacity Development Committee
CP/s	Contracting Party/ies
CPM	Commission on Phytosanitary Measures
FC	Financial Committee
FPMIS	Field Programme Management Information System
GB/S	Governing Body/ies
IFU	Implementation Facilitation Unit
IPP	International Phytosanitary Portal
IPPC	International Plant Protection Convention
IRSS	Implementation Review and Support System (IRSS)
ISPMs	International Standards for Phytosanitary Measures
LTU	Lead Technical Unit
NPPO/s	National Plant Protection Organization/s
NRO	National Reporting Obligations
NROAG	National Reporting Obligations Advisory Group
NSHR	Non Staff Human Resources
OCS	On-line Commenting System
OED	FAO Office of Evaluation
OEWG	Open Ended Working Group
OIE	World Organisation for Animal Health
PC	Programme Committee
PEMS	Performance Evaluation Management System
PSC	Project Support Cost
PWB	Programme of Work and Budget
RoP	Rules of Procedures
RPPOs	Regional Plant Protection Organizations
SC	Standards Committee
SBDS	Subsidiary Body for Dispute Settlement
SF	Strategic Framework
SPG	Strategic Planning Group
SPS	Sanitary and Phytosanitary measures
SOs	Strategic Objectives
SSU	Standard Setting Unit
STDF	Standards and Trade Development Facility
rSF	Reviewed Strategic Framework
TC	Technical Consultation
TF	Trust Fund
ToR	Terms of Reference
WTO	World Trade Organization

Executive summary

Background

ES1. The International Plant Protection Convention (IPPC) is a multilateral treaty that aims at securing coordinated, effective action to prevent the spread and introduction and spread of pests of plants and plant products and to promote appropriate measures for their control. The Convention was adopted by FAO Conference in 1951 and deposited with the Director-General of the Organization under Article XIV of FAO Constitution. Since 1992, FAO hosts and supports the IPPC Secretariat, which is responsible for the coordination of core activities within the Programme of Work endorsed by the Commission on Phytosanitary Measures (CPM), the highest Governing Body of the Convention.

ES2. The IPPC plays a key function in protecting plant health, by developing and harmonizing phyto-sanitary measures and thus facilitating international trade. In doing so, the support provided to expanding, strengthening and implementing the Convention represents a direct contribution to sustainable agriculture, maintaining biodiversity, food security and poverty alleviation.

ES3. At its 9th session in April 2014, IPPC Contracting Parties (CPs), agreed to launch an evaluation of the IPPC Secretariat, aimed at identifying how to strengthen its performance in view of the emerging challenges, including the enhanced focus on the implementation of the Convention itself. The CPM asked the support of FAO Office of Evaluation (OED) for carrying out the exercise. Accordingly, with OED's management and support, the Evaluation was carried out in the period September-December 2014, with the final report due for presentation at the CPM-10 in March 2015.

Evaluation objectives, scope and methodology

ES4. The main objectives of the IPPC Secretariat Enhancement Evaluation (hereinafter called Evaluation) were identified by the CPM as follows:

- identify existing strengths in the Secretariat's structure and operations as well as current constraints to performance and delivery of services, and
- formulate recommendations for enhancing the Secretariat's capacity to facilitate, coordinate, support, and advance the CPM's strategic goals and annual work program, taking particular account of the focus on implementation, communication and partnerships.

ES5. The Evaluation was also asked to assess the relationship between the IPPC Secretariat and the Convention's Governing Bodies, as well as the synergies and areas for improvement in the collaboration between the IPPC Secretariat and FAO and the framework regulating Article XIV Bodies in FAO. The Evaluation would thus contribute to accountability and lessons learning for both FAO and IPPC Members.

ES6. The analysis focused on the Secretariat performance since 2010, when a full-time Secretary was appointed, with major attention to the institutional set-up at the time of the Evaluation. During the course of its work, the Evaluation team found evidence that the IPPC governance had a significant bearing on the work and functioning of the Secretariat and vice-versa. Thus, based on its findings and conclusions in this regard, the Evaluation also formulated some suggestions about how to enhance the efficiency and effectiveness of the IPPC governance, proposed for consideration to the Contracting Parties.

ES7. The Evaluation was carried out following the guidance provided in the ToRs, and included a variety of tools. Among these, a questionnaire survey to all CPs had a rate of response of 42%, which was statistically valid and allowed canvassing the views of CPs from all the regions. The Evaluation was also characterized by a highly consultative approach with the IPPC Bureau, FAO Senior Management and IPPC Secretariat, collectively defined as ‘the Primary Stakeholders’.

Main findings

ES8. The Convention has been fully integrated in FAO’s results frameworks, including in the current Reviewed Strategic Framework, and contributes significantly and actively to the achievement of the Organization’s goals. Close and constructive collaboration between the IPPC and FAO can generate important synergies in the achievement of their respective objectives.

ES9. The Evaluation found the governance mechanisms of IPPC to be quite heavy and costly and that the oversight of and guidance to the Secretariat for the implementation of the CPM Programme of Work lacked clarity and efficiency. The trend to add new requests to the work-load of the Secretariat, in the absence of a monitoring system for tracking their implementation and of upfront calculation of the financial and human resources required for their implementation, led to gaps and shortcomings in the work-planning and reporting of the Secretariat.

ES10. The Secretariat was found to be less than efficient and effective in its servicing role of IPPC Governing Bodies: for example, papers for the planned sessions were often not made available in due time for sufficient analysis, and related reports, were issued with significant delays. As of late 2014, only minimal and belated support had been provided to the Dispute Settlement Mechanism, despite one case having been raised in 2010. The Secretariat was also usually overrepresented at the meetings of the IPPC Bodies; in a number of occasions, interventions by Secretariat staff jeopardized exchange and debate among CPs; in others, the Secretariat failed to present a unified vision and opinion on key matters.

ES11. The Evaluation also found that the financial resources made available to the IPPC through FAO Regular Budget and extra-budgetary funds, and the staff resources in place as of 2014 to carry out the Programme of Work of the CPM, were sufficient to meet activities planned so far. If the work-load of Secretariat should increase to meet increased expectations and requirements of the CPs, two options will have to be explored: enhanced Resource Mobilization for additional extra-budgetary resources; and increased support from FAO Regular Budget, endorsed by FAO Conference. In both cases, part of the additional resources will have to be allocated to cater for additional human resources.

ES12. The structure of the Secretariat in 2014 was not conducive to facilitate communication and collaboration among the different units. In addition, a number of weaknesses were identified with regards to the internal working procedures and management style, which affected overall performance. The Evaluation came to the conclusion that there is an urgent need for an in-depth transformation on all the aspects above, to ensure that the IPPC Secretariat meets the expectations of the CPs and makes a better use of the resources available to it. This should include re-structuring of the Secretariat, enhanced internal communication and working procedures, streamlining of reporting lines and a more open attitude to FAO and other partners.

ES13. Within FAO, the IPPC Secretariat is located in the Agriculture and Consumers' Protection Department. In general the Secretariat has not taken advantage of what FAO offers in terms of synergies and collaboration with closely related FAO units and regional network, and has missed opportunities of visibility and interaction. Further, IPPC Secretariat staff strongly emphasized the constraining factors of being part of FAO, at the expense of the advantages and has taken very limited advantage of being part of FAO. Nevertheless, solid evidence was found that IPPC gains more by being within FAO than being outside the Organization. Advantages include a significant contribution to the budget, the logistics and administrative set-up available in the Organization as well as its decentralized network of offices; significant benefits for staff; and last but not least, being part of a UN organization that is known to be a centre of excellence for agriculture is a major enabling factor for the IPPC mandate.

ES14. At the same time, some FAO policies, in particular on staffing, were found to be significant obstacles to retaining experienced staff in the Secretariat and to smooth implementation of the work-plan. Among others, the Secretary and the staff in the IPPC Secretariat play a key role in the efficiency and effectiveness of the implementation of the Convention; given the high level specialization required for the posts, the pool of potential candidates is rather restricted. This entails that FAO rules on geographic balance in recruitment risk seriously affecting the possibility of identifying candidates who meet all established requirements.

ES15. Among the partners of IPPC, the Secretariat is well recognized and appreciated and opportunities were identified for enhanced collaboration with the Regional Plant Protection Organizations, in particular through the Technical Consultation (TC) meetings held on a yearly basis. Also IPPC benefits from contributing to WTO-SPS and participation in STDF in terms of visibility of plant health work by WTO-members and by obtaining funds for capacity development activities. In the view of the Evaluation, this relationship is important and should be further nourished.

Recommendations and suggestions

ES16. With respect to the working procedures, staffing and structure of the IPPC Secretariat, Recommendations 1, 2 and 3 have been formulated, addressed to FAO and to the Secretariat itself.

Recommendation 1: To the IPPC Secretariat

The Secretariat should fully revise its working procedures and methods, aiming at improving internal communication and collaboration, transparent monitoring of work progress and reporting, and efficient and timely servicing of the CPM and its subsidiary and ad-hoc bodies, and the Bureau. The actions proposed in the report should serve as the main guidance in the process.

ES17. The following procedures and practices are proposed, aiming at an integrated approach:

- a. One annual work plan and budget for the Secretariat should be developed and approved by the Bureau; it should include clear and achievable objectives, with a detailed as possible breakdown of activities, and required resources in terms of both staff and funding;

- a. Regular and frequent management meetings should be held, on work plan progress, with minutes recorded and circulated to all employees in the Secretariat;
- b. Regular IPPC Secretariat staff meetings should be held, to allow exchange, debate, development of a team spirit and sense of being one Office;
- c. IPPC staff should systematically attend AG Departmental meetings and activities, to enable improved collaboration;
- d. The IPPC Secretariat should develop closer collaboration with the office of the ADG/AG, for improved networking between the Secretariat and the rest of the Organization, including EMPRES Plants, the regional Plant Protection Officers, other Technical Departments and FAO Governing Bodies.

Recommendation 2: To FAO, about the profile and responsibility of the Secretary

In order to clarify the roles and responsibilities within the Secretariat, and ensure that the profile of the Secretary matches the challenges, it is recommended that:

- i) The profile of the Secretary should include: a proven record as strong and inspiring leader and as team player, and being authoritative in the plant health domain;
- ii) The external and internal leadership of the Secretariat should be the responsibility of the Secretary, who should embody the leader, manager, voice and strategist of the Secretariat and whose professional credibility and competence should act as leverage for resource mobilization and trigger partnerships;
- iii) The Secretary should be the person at the fore front, responsible for interacting with the CPM, the Bureau and the SBDS.

Recommendation 3: To the IPPC Secretariat, about its structure

The Secretariat should be re-structured and staffed to ensure a high degree of integration between the two main areas of work, Standard Setting and Implementation Facilitation. The elements entailed in the proposed organigram and skill-mix, in terms of tasks, number of staff and their profiles, should serve as the main guidance in this process.

ES18. The following elements are proposed, to facilitate implementation of Recommendation 3:

- a. the Secretary should be supported by GS-staff coordinator, Finance officer, IT officer and two (2) heads of units, each at the level of seniority indicated in the report;
- b. the IPPC Secretariat should be organized in two units: Standard Setting Unit (SSU); and Convention Implementation Facilitation Unit (IFU). The two units should be headed by a Unit Manager each, at P-5 level, who report to the Secretary;
- c. the post of Coordinator in the Secretariat should be re-profiled to be the head of the IFU and the current post of the Standard Setting group manager, should be re-profiled at P-5 level;
- d. the SSU should maintain its tasks as in 2014 and increase the number of Regular Budget posts assigned to the Unit from 2 to 3 to provide continuity in its highly specialized work;
- e. a new Unit, the IFU, should be created, to replace the IRSS, National Reporting Obligations and Capacity Development groups, and should be responsible for the following areas of work:
 - Identification of implementation challenges and their analysis;
 - Identification of gaps in national phytosanitary capacity, including training PCE facilitators and the maintenance of the PCE tool;
 - Facilitation of capacity development and implementation of the IPPC by CPs;

- Dissemination of national reporting obligations and communication;
 - Front-desk on legal matters for CPs, including support to Dispute Settlement as required, and liaison with FAO Legal Office; and
 - Support to Resource Mobilization and Advocacy.
- b. the head of the IFU should deal with both management and technical tasks; 3 Regular Budget posts should be assigned to the IFU; the team should comprise a sufficient skill-mix to carry out the different areas of work;
- c. additional staff would be recruited on project contracts, depending on the volume of extra-budgetary resources; and
- e. cross-over activities between the two units should be formally introduced linking implementation consequences to standard setting and assuring consistency of implementation activities with adopted ISPMs. These cross-over activities could include the following actions:
- The standard specification to be posted for CP-comments should contain a paragraph on potential implementation issues;
 - The draft standard for country consultation should also contain a paragraph on potential implementation issues;
 - The consistency with the IPPC and adopted ISPMs of implementation tools and documents should be assessed before these are made public; this applies in particular to updates of the PCE and implementation support materials produced by the Secretariat;
 - Regional workshops addressing particular implementation issues and side events by the Secretariat during CPM meetings, should be jointly organized by SSU and IFU officers, as is currently already the case for the regional workshops.

ES19. With regards to the relationships between the IPPC Secretariat and FAO, in consideration of the less-than-satisfactory collaboration so far, Recommendations 4 and 5 have been formulated.

Recommendation 4: To the IPPC Secretary, about networking with FAO

The IPPC Secretary should take an active role in reaching out and advocating the mission of IPPC within FAO, and improve collaboration with the various units and divisions in the Organization, including the regional Plant Protection Officers, and taking advantage of the opportunities to present IPPC work and achievements to FAO Governing Bodies including the Committee on Agriculture, Council and Conference.

Recommendation 5: To the IPPC Secretariat, about knowledge of and compliance with FAO rules and procedures

The IPPC Secretariat should:

- i) develop a good institutional knowledge of FAO rules and procedures on the variety of issues that are of concern to its mandate and work, including on Trust Fund management, staffing, procurement, calendar of work, so as to ensure a smoother implementation of its activities;
- ii) maintain close contacts with other Article XIV Bodies to be able to address more effectively the administrative issues within FAO;
- iii) facilitate approval of duty-travel by presenting a travel plan, linked to the annual work-plan, to the ADG/AG, for approval;
- iv) invest in resource mobilization and long-term planning of the budget-flow of trust funds, to create more long-term project posts, that allow at the same time continuity and flexibility;
- v) fully comply with FAO project management procedures as currently laid out in the Project Cycle Management Guide, or in any future version thereof.

ES20. In order to facilitate overcoming of some obstacles to smooth functioning that were found to be linked to a number of FAO policies on staffing, and with basis on decisions made by FAO Members about granting a certain degree of autonomy to those Article XIV Bodies that have the capacity to do so, the Evaluation formulated Recommendations 6 and 7.

Recommendation 6: To FAO, about flexibility in the application of rules and procedures to IPPC

FAO Management should consider the IPPC Secretariat's constraints caused by the current rules of the Organization regarding staffing, and identify in particular mechanisms that allow greater staff stability in the case of project posts and Non-Staff Human Resources.

Recommendation 7: To FAO, about the selection process of IPPC Secretariat

FAO Management, in consideration of the high level of specialization required in the Secretariat, should take measures with regards to the following:

- i. ensure that the best applicants for Regular Budget posts can be interviewed and included in the short lists of candidates for final selection, if so they deserve irrespective of their nationality; and
- ii. the CPM/Bureau should be closely engaged in the selection process regarding the appointment of the new IPPC Secretary.

ES21. With regards to the IPPC governance, a number of suggestions have been proposed, aimed at enhancing efficiency and containing costs of the IPPC governance system:

- a. a full CPM session of one week should be held on a biennial basis, in the second year of FAO planning cycle, after the FAO Conference; the mandate of this CPM session would remain unchanged from present;
- b. a shortened CPM meeting should be held in the first year of FAO planning cycle, possibly attended by Permanent Representatives, for both cost-saving and awareness raising purposes; the agenda for this sessions may include adoption of ISPMs, for which no formal objections have been raised, annual work programme, membership and potential replacements for CPM subsidiary and ad-hoc bodies;
- c. the SPG and the FC should be abolished, and their functions fully integrated in the mandate of the Bureau; the Bureau should call on CPs to participate in an extended Bureau meeting, while addressing particular strategic issues in order to benefit from a broader input;
- d. the earlier recommendations made by the 2007 evaluation and the deliberations of the 2011 Focus group on the composition of the Standard Setting Committee should be reconsidered for action;
- e. the CPM should give priority to the pending dispute raised by South Africa in 2010 and make full use of the provisions developed by the SBDS or make the SBDS dormant adopting instead a more informal dispute-avoidance approach;
- f. one advisory body should be created, the nature of which will have to be determined by the CPM, to support implementation and provide capacity development for CPs; this body would replace the current ad-hoc bodies on CDC, IRSS TRG and NROAG and assume their mandates;
- g. a standing agenda item for the CPM should be introduced, to keep track of the requests and inform about their status of execution; and
- h. before new tasks are added to the CPM Programme of Work, the Secretary should inform the Bureau about the relevant staff and financial implications.

ES22. With respect to networking and collaboration with FAO regional plant protection officers and with other partners, Recommendation 8 was formulated. Further, the Evaluation **suggests** that the IPPC Secretariat fulfils, in a timely and appropriate manner, the administrative requirements in regard to STDF projects.

Recommendation 8: To the IPPC Secretariat on collaboration with RPPOs and FAO regional plant protection officers

<p>The IPPC Secretariat should take the lead to reinforce the Technical Consultations by:</p> <ol style="list-style-type: none">i. involving FAO regional plant protection officers;ii. establishing common actions and plans by IPPC Secretariat, RPPOs and regional plant protection officers.

1 Introduction

1.1 Evaluation background and purpose

1. The International Plant Protection Convention (IPPC) is a multilateral treaty that aims at securing coordinated, effective action to prevent and control the introduction and spread of pests of both plants and plant products. The Convention was adopted by FAO Conference in 1951 and deposited with the Director-General of the Organization under Article XIV of FAO Constitution.

2. In 1992, in recognition of the increasing role of the IPPC in international standard setting,² FAO established the IPPC Secretariat, which it has hosted since then. The Secretariat is responsible for the coordination of core activities within the Programme of Work endorsed by the Commission on Phytosanitary Measures (CPM), the highest Governing Body of the Convention.³

3. In 2007, FAO Office of Evaluation (OED) conducted the Independent Evaluation of the Workings of the International Plant Protection Convention and its Institutional Arrangements.⁴ This was an extended exercise that included, in addition to the analysis of the relevance and effectiveness of IPPC's work at global and national level, also the assessment of the structure and role of the Secretariat. The evaluation confirmed that the successful and efficient operation and organization of the latter was fundamental to the achievement of both the objectives of the Convention and its work programme. In order to enhance the efficiency and effectiveness of the Secretariat, the evaluation recommended a number of measures, several of which were accepted by FAO Management and implemented.

4. The IPPC Members share the view that organizations should periodically review their procedures and systems in order to adapt and continue functioning effectively and efficiently in an ever dynamic and changing environment. In this spirit, in 2013 a Discussion paper was presented to the IPPC Strategic Planning Group (SPG) suggesting the need for IPPC to move towards supporting implementation of the International Standards for Phytosanitary Measures (ISPMs) at national level. This could require a significant shift in the work of the Secretariat, in terms of internal working arrangements, Resource Mobilization efforts, as well as, possibly, some re-profiling of technical expertise.

5. At its 9th session in April 2014, the CPM “*agreed to strengthen the focus of the CPM on implementation, recognizing that this will require strong commitment from each CPM member and the Secretariat, and additional financial resources*”⁵ and requested the Secretariat and the Bureau to work through an Open-Ended Working Group on Implementation “*to develop and define the scope of a pilot work plan to implement ISPM 6:1997 (Guidelines for surveillance)*”⁶ (2009-004) and to submit a strategic work plan to CPM-10 (2015) for approval.

² <https://www.ippc.int/core-activities/governance/the-secretariat-of-the-ippc>.

³ The CPM replaced the Interim Commission on Phytosanitary Measures (ICPM), which had been established by the Twenty-ninth Session of the Conference in 1997 (Resolution 12/97) as an interim measure by FAO until the New Revised Text came into force on 2 October 2005.

⁴ <ftp://ftp.fao.org/docrep/fao/meeting/012/k0233e02.pdf>

⁵ CPM-9 report, section 10.2.1

⁶ Ibid.

6. At the same session of the CPM, IPPC Contracting Parties (CPs), agreed, after discussing a proposal of draft Terms of Reference (ToR), to launch an evaluation of the IPPC Secretariat, aimed at identifying how to strengthen its performance in view of the emerging challenges, including the enhanced focus on the implementation of the Convention itself. The CPM asked the support of FAO Office of Evaluation (OED), which is the independent unit within the Organization responsible for the evaluation of all of FAO's work, for carrying out the exercise. Accordingly, OED managed and supported the evaluation, including the identification of the evaluation team, which comprised three international consultants who as a group, met the skills and competences identified by the CPM as required for the assignment.

7. The Evaluation was carried out in the period September-December 2014, with the final report due for presentation at the CPM-10 in March 2015. This is its final report, that integrates the comments and suggestions of the IPPC Bureau, the IPPC Secretariat, FAO Senior Management and the Expert Panel.

1.1 Objectives and scope

8. The main objectives of the IPPC Secretariat Enhancement Evaluation (hereinafter called Evaluation) were identified by the CPM as follows:

- identify existing strengths in the Secretariat's structure and operations as well as current constraints to performance and delivery of services, and
- formulate recommendations for enhancing the Secretariat's capacity to facilitate, coordinate, support, and advance the CPM's strategic goals and annual work program, taking particular account of the focus on implementation, communication and partnerships.

9. In addition, the Evaluation was also to contribute to accountability and lessons learning for both FAO and IPPC Members, including on the synergies and areas for improvement in the collaboration between the IPPC Secretariat and FAO and the framework regulating Article XIV Bodies in FAO.

10. As defined in the Terms of Reference, the Evaluation focused on the functioning of the Secretariat of the IPPC as of 2014, including its organization, working procedures, management, resources, strengths and weaknesses in implementing its mandate. Given its limited time and financial resources, the Evaluation did **not** assess the extent of the uptake and impact of the IPPC rules and regulations at global, regional and national level.

11. Furthermore, the ToR asked the Evaluation to consider the relationship between the Secretariat and the IPPC governance structure, including the CPM, the CPM Bureau and IPPC subsidiary bodies.⁷ In this regard, the Evaluation found evidence that the IPPC governance mechanism had a significant bearing on the work and functioning of the Secretariat and vice-versa. In line with FAO evaluation policy, whereby Governing Bodies are not bound to formally respond to evaluation recommendations, on the basis of its findings and conclusions on the governance mechanism, the Evaluation formulated 'suggestions' proposed for consideration to the Contracting Parties

⁷ See Annex 1, paragraph 22, bullet c.

1.2 Methodology and approach

12. The Evaluation was carried out following the guidance provided in the ToR,⁸ which was largely based on the document approved by the CPM-9. The Evaluation was characterized by a highly consultative approach with the IPPC Bureau, FAO Senior Management and IPPC Secretariat (henceforth collectively defined as ‘the Primary Stakeholders’). This included: preliminary consultations leading to the preparation of, as well as sharing and discussion of the draft ToR; in-depth interviews with each of them; constant updating on progress about the team’s work; debriefing about preliminary conclusions and recommendations; and sharing of the draft report for comments and suggestions to be integrated, as appropriate, in the final report.

13. The work and functioning of the IPPC Secretariat was assessed against the following set of internationally accepted evaluation criteria.⁹

- i. Relevance: extent to which the institutional set-up and organizational structure of the Secretariat enables the implementation of the IPPC and its ISPMs by the Contracting Parties;
- ii. Efficiency: extent to which the set-up and working procedures of the Secretariat enable an efficient use of available resources and delivery of planned products;
- iii. Effectiveness: extent to which the Secretariat’s activities contribute to meeting Members’ expectations on Standard Settings, Capacity Development, National Reporting Obligations (i.e. ex Information Exchange) and Dispute Settlement.

14. The team made use of a number of tools for the data-gathering phase, described below. Triangulation of evidence and information gathered was the team’s main approach to validate its findings and analysis.

15. Review of IPPC Secretariat organizational set-up: this entailed mapping of all staffing positions in the Secretariat since 2012, either in FAO headquarters or elsewhere. Job descriptions of each IPPC Secretariat employee were also analysed and discussed with each incumbent about their relevance. A product of this set of activities was the updated version of the organigram of the IPPC Secretariat.

16. Analysis of IPPC Secretariat resources: this included the tracking of all financial resources accruing to the Secretariat since 2010, from both FAO Programme of Work and Budget (PWB) and extra-budgetary resources, and the pattern of expenditures over time. This resulted in a detailed analysis of costs of the Secretariat by area of work.

17. Semi-structured group and individual interviews with key informants and stakeholders: the team conducted group and individual interviews, based on specific checklists according to each interviewee’s role and function with 68 stakeholders, grouped in three categories: 15 IPPC Contracting Parties, 28 stakeholders and 25 IPPC Secretariat employees.¹⁰ Interviews with IPPC Secretariat core members were also followed up through a short questionnaire with open ended questions, to clarify various aspects related to the functioning of the Secretariat and relationships with FAO. Interviews with Primary

⁸ See Annex 1.

⁹ The internationally accepted evaluation criteria were proposed by the OECD/DAC and adopted by the United Nations Evaluation Group (UNEG, <http://www.uneval.org>) of which OED is a member. They are: relevance, efficiency, effectiveness, sustainability and impact. OED introduced gender equality in 2010 as a standard criterion.

¹⁰ The complete list of interviewees can be found in Annex 3.

Stakeholders also included the relationship between the IPPC Secretariat and its Governing Bodies.

18. Questionnaire survey to IPPC Contracting Parties to canvass their views of the IPPC Contracting Parties on the current performance of the IPPC Secretariat and areas where improvements and changes are desirable to meet their needs and expectations. The survey was intended for all IPPC contact points at the national level. The mailing list was compiled based on the National Plant Protection Organizations (NPPOs) online directory available in the IPPC official webpage that includes all contracting parties, as well as some non-contracting parties and territories. The questionnaire could be responded to through a Word document or online and it was made available in three FAO official languages: English, French and Spanish. It was disseminated by email and sent to 209 addressees. Respondents were given three weeks to reply to the questionnaire. The response rate was 42%, which was statistically representative. Furthermore, responses were balanced in terms of geographical representation of different categories of countries by income level as per the World Bank classification.

19. Direct observation of a sample of governance, management and technical meetings: the team participated as silent observer in the following meetings and sessions:

- the Open Ended Working Group on Implementation from 4 to 7 August 2014;
- the Strategic Planning Group from 7 to 10 October 2014;
- the Standards Committee from 10 to 14 November 2014; and
- the Capacity Development Committee from 1 to 5 December 2014.

20. Stock-taking of previous evaluations of the IPPC and its Secretariat, as well as of the FAO Review of Article XIV Bodies, progress made in the implementation of recommendations and decisions, and results thereof.

21. A small expert panel selected by OED, in agreement with the Bureau, was established to independently peer-review the Evaluation deliverables, i.e. the Terms of Reference and the draft report. The purpose of the Expert Panel was to strengthen the quality of the Evaluation products, by providing additional advice. The Panel worked at a distance, through email and teleconferences; it provided comments on the evaluation Terms of Reference and on the final draft report that had been circulated to all Primary Stakeholders. The Panel's report is included as Annex 5 of this main report.

22. Finally, the Evaluation team was facilitated in its work by the willingness and openness of the Contracting Parties, Primary Stakeholders, IPPC partners, external to and within, to promptly and candidly share information and views during the interviews and through the questionnaire.

23. The team also faced a few obstacles, namely the absence of organized records in the Secretariat about its employees and the members of the IPPC Secretariat over time, and the absence of detailed breakdown of the costs of the IPPC Governance mechanisms over the period 2010-2013, due to the institutional location of the Secretariat in FAO Plant Protection and Production Division until December 2013. This entailed longer time devoted to compile the necessary information, which was however done; and the approximation in the financial delivery figures, which could not be overcome.

1.2 Structure of the report

24. This report brings together the evidence and analysis made by the Evaluation throughout its work. Conclusions and recommendations are consolidated in the last chapter. The report comprises five sections:

- Chapter 1: this section includes background information about the evaluation, its purpose and methodology used;
- Chapter 2: this section describes the IPPC, its governance system and how it functions;
- Chapter 3: this section analyses the IPPC Secretariat, including its internal structure and management, and relations with FAO;
- Chapter 4: this section analyses the relations between the IPPC Secretariat and how it relates to the other “sister” organizations as well as other international bodies, namely the WTO-SPS,¹¹ the Standards and Trade Development Facility (STDF),¹² the Convention for Biological Diversity (CBD), the World Organisation for Animal Health (OIE) and the Codex Alimentarius;
- Chapter 5: conclusions and recommendations.

25. The annexes are part and parcel of the report and have been referenced throughout the text and footnotes. They include:

- Annex 1: Evaluation Terms of Reference;
- Annex 2: Evaluation team profiles;
- Annex 3: List of stakeholders interviewed;
- Annex 4: Questionnaire analysis;
- Annex 5: Report of the Peer review expert panel; and
- Annex 6: Information on IPPC: list of projects; IPPC financial information; list of status of implementation of relevant recommendations from the 2007 evaluation.

26. In total, the report proposes 8 recommendations and a few suggestions. According to FAO evaluation procedures, a Management Response is required for the recommendations only, which should be prepared under the coordination and responsibility of the ADG/AG, in consultation with the Secretariat and other units responsible in FAO for the issues under discussion. Consultation between FAO and the IPPC Bureau would also be appropriate, in consideration of the status of IPPC as Article XIV of the Organization.

2 The IPPC and its governance system

Key findings

The IPPC governance system was found to be heavy, due to proliferation of bodies. The current organizational structure is not designed to support and facilitate the implementation of the IPPC and the Secretariat has not been able to adequately meet the needs of the Contracting Parties. Key aspects that require specific attention were identified as follows:

¹¹ Committee of the World Trade Organization on Sanitary and Phytosanitary Measures.

¹² Standards and Trade Development Facility: a global partnership that supports developing countries in building their capacity to implement international sanitary and phytosanitary standards, guidelines and recommendations as a means to improve their human, animal and plant health status and ability to gain and maintain access to markets. The Secretariat is hosted by the WTO.

- i) the Work-plan of the CPM should be finally endorsed by the Bureau, once the Secretariat has made available detailed information on the staff and financial implications of planned activities;
- ii) timeliness in the circulation of documents and reports of the CPM, Bureau and other bodies;
- iii) presence and participation of Secretariat's staff in the meetings of the CPM, Bureau and other bodies; and
- iv) support to the Dispute Settlement process.

1.3 The Convention

27. The International Plant Protection Convention was adopted by the Sixth Session of the FAO Conference in 1951 and deposited with the Director-General of the Organization under Article XIV of FAO Constitution, which makes provisions for “*conventions and agreements concerning questions relating to food and agriculture*”.¹³

28. The Convention came into force in 1952, signed by 35 countries, and superseded all previous international plant protection agreements. The importance for global collaboration through the IPPC has been increasingly recognized by governments and as of 2014, 181 countries are Contracting Parties of the Convention. The current text of the Convention, based on several amendments approved by the CPs over time, was adopted by the FAO Conference in November 1997 and came into force in 2005. The core functions of the IPPC are, in accordance with its Strategic Framework, the following:¹⁴

- i. Setting standards and recommendations and providing technical guidance;
- ii. Disseminating information and knowledge on pests and phyto-sanitary issues;
- iii. Coordinating the development of technical support for national phyto-sanitary capacity;
- iv. Providing support for the implementation of the IPPC and its standards;
- v. Providing dispute settlement facilitation; and
- vi. Undertaking resource mobilization and advocacy activities.

29. Within the context of an enormous increase in world trade of agricultural products in recent years, the IPPC plays a key role in preventing the introduction and spreading of pests and facilitating international trade. Thus, it contributes to enhancing global food security and sustainable agricultural production, and to maintaining biodiversity by preventing the spread of plant pests through international trade. Given its mandate, the Convention fully contributes to the three Global Goals of FAO's Members:

- 1) eradication of hunger, food insecurity and malnutrition, progressively ensuring a world in which people at all times have sufficient safe and nutritious food that meets their dietary needs and food preferences for an active and healthy life;
- 2) elimination of poverty and the driving forward of economic and social progress for all, with increased food production, enhanced rural development and sustainable livelihoods; and
- 3) sustainable management and utilization of natural resources, including land, water, air, climate and genetic resources for the benefit of present and future generations.

¹³ Basic Texts of the Food and Agriculture Organization of the United Nations, 2013 edition.

¹⁴ IPPC Strategic Framework 2012-2019 (2012): https://www.ippc.int/sites/default/files/documents/20130603/1344410402_ippc_strategicframework_e_w_201305101054en_2013060314%3A48_3.17%20MB.pdf.

30. In addition to the increase in volume of traded agricultural products world-wide, the number of exporting countries has also grown significantly as well as the variety of products, both resulting in new trade flows and product-market combinations. All these go hand-in-hand with new risks of spreading plant pests. This has been well documented, for example, in the 2012 European Plant Protection Organization (EPPO) report “Plants for planting” and in a IRSS report on aquatic plants.¹⁵ The increase of aerial transport of perishables from all corners of the world adds further to the speed of spreading plant pests.

31. The impact of introduction, establishment and further spreading of plant pests may only become visible after a certain period, when the eradication of the pest may require enormous resources. Several outbreaks, including their impacts, have been well documented for example:

- The larger grain borer (Prostephanus truncatus), introduced in Africa, led to big losses of stored maize, up to 80%, and dried cassava, up to 40%;
- The Asian longhorned beetle (Anoplophora glabripennis), introduced in North America in the 1980s, killed more than 1,2 billion trees;
- The Citrus greening disease (Liberibacter spp Huanglongbing), considered the worst disease for citrus, spread to several important citrus producing countries and is dramatically damaging the citrus production.

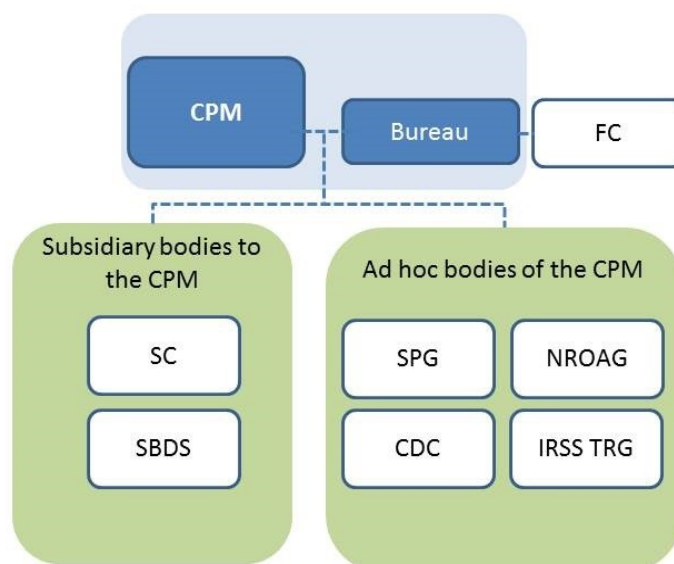
32. New pests are emerging like the Emerald Ash Borer, threatening Ash species in North America and Europe. Also invasive plants may evolve into serious pests, undermining biodiversity like several aquatic plant species: water crassula (Crassula helmsii) and water hyacinth (Eichornia crassipes).

33. The ISPMs adopted by the Contracting Parties prevent emerging pests from spreading. A case in point is the ISPM on wood packaging, which tackles the introduction and spread of tree pests with packaging wood, or the current work on the Standard for grain, that aims at preventing spreading pests like the larger grain borer mentioned above. However, much work remains to be done. Lack of harmonization in plant health also is at the origin of discussions between trading partners; increasingly, plant health issues have been raised in the WTO-SPS Committee, wherein they represented 24% of trade issues over the last 19 years.

34. The governance structure of the IPPC, with its Governing Bodies (GBs) and subsidiary and ad-hoc Bodies, is summarised in Box 1 and described in some detail in the following sections.

¹⁵ http://www.eppo.int/QUARANTINE/EPPO_Study_on_Plants_for_planting.pdf;
http://www.ippc.int/largefiles/2012/IPPC-IRSS_Aquatic_Plants_Study_2012-Final.pdf

Box 1. IPPC Governing Bodies, and subsidiary and ad-hoc bodies of the CPM



Source: IPPC Secretariat; IPPC documentary evidence; elaborated by the Evaluation team

1.4 The Commission on Phytosanitary Measures

35. The Convention provided for the establishment of a Commission on Phytosanitary Measures (CPM) (Article XI) to serve as the global agreement's new Governing Body.¹⁶

36. The main purpose of the CPM is to promote the full implementation of the Convention's objectives, and in particular those identified under Article XI. All CPs are members of the CPM and are represented by a single delegate who has one vote and may be accompanied by an alternate and by experts and advisers. The CPM elects a Chairperson, and not more than two Vice-Chairpersons, who shall ensure observance of Rules of Procedure (RoP) of the CPM.¹⁷ Decisions are taken by consensus and only as the last resort, and after all efforts to reach consensus have been exhausted, by a two-thirds majority.

37. The CPM meets annually on regular sessions. The meetings are held in public, unless otherwise decided by the CPM, and are convened by the Chairperson after consultation with the Director-General of FAO. Notice of the date and place, including the provisional agenda, is communicated to all CPs at least two months before each session. A number of observers are allowed, who may participate in the discussions without voting rights, to receive documents and circulate their views. These typically include: Regional Plant Protection Organisations (RPPOs) recognised under Article IX of the IPPC; countries that are not CPs; international organizations (IGOs and NGOs).

¹⁶ <http://www.fao.org/unfao/govbodies/gsb-subject-matter/gsb-plantprod/detail/en/c/247/>.

¹⁷ The CPM Rules of Procedures were revised in 2013 at CPM-8 and approved by Director General of FAO on 8 November 2013 (date of entry into force of the revision). See: <https://www.ippc.int/fr/core-activities/governance/cpm/cpm-rules-of-procedure>.

38. The first CPM under the revised text of the Convention took place in April 2006 and was attended by representatives of 124 CPs and 15 observers. In April 2014, CPM-9 was attended by representatives of 130 CPs and 19 observers.¹⁸

1.5 *The Bureau of the CPM*

39. The purpose of the Bureau of the CPM is to “*provide guidance to the CPM on the strategic direction, financial and operational management of its activities in cooperation with others as approved by the CPM.*”¹⁹

40. The Bureau is elected by the CPM and comprises seven members representing each FAO region to “*provide continuity in the management of the CPM and to facilitate the expression of all viewpoints on strategic, administrative and procedural matters on an on-going basis.*”²⁰ The Chairperson of the CPM, who reports to the CPM on the activities of the Bureau, chairs the Bureau.

41. The IPPC Secretary convenes the Bureau meetings at least twice a year and makes available on the International Phytosanitary Portal (IPP) a provisional agenda “preferably” four weeks prior to the beginning of each meeting.²¹ The IPPC Secretary attends the meetings, which are closed unless otherwise determined by the Bureau, or nominates a representative. The Bureau may invite experts to provide advice or information on specific matters.

42. The Bureau also includes the **Financial Committee** (FC), which was established as part of the IPPC Resource Mobilization Strategy, adopted by CPM-7. It consists of four CP representatives, three of whom are Bureau Members, it is mandated to ensure financial transparency and oversight and reports to the Bureau. The Committee may also participate in strategic budget planning and outreach activities. It met twice in 2014, three times in 2013 and one time in 2012.

1.6 *Subsidiary bodies of the CPM*

43. For the accomplishment of its functions, the CPM may establish any subsidiary body, as it deems necessary. At the end of 2014, two had been established at CPM-1 in 2006: the Standards Committee (SC) and the Subsidiary Body on Dispute Settlement (SBDS).²²

The Standards Committee

44. The mandate of the SC is to manage the standard-setting process and to assist in the development of ISPMs, which have been identified by the CPM as priority standards to be

¹⁸ Observers: 3 countries; 7 RPOs; 3 UN and specialized agencies; 3 Intergovernmental organizations; 3 NGOs.

¹⁹ Annex I to CPM RoP: RoP for the Bureau of the CPM - approved by Director General of FAO on 8 November 2013, which is the date of entry into force of the revision. See: <https://www.ippc.int/fr/core-activities/governance/cpm/cpm-rules-of-procedure>.

²⁰ Ibid.

²¹ In 2013 and 2014 the Bureau met three times a year: prior and at the end of the CPM (March-April) and in June and October. In 2012, the Bureau met four times.

²² Decision CPM 2006/3 and 2006/4, respectively, which also approved its ToR and RoP, which were aligned in November 2008, as requested by CPM-3 (2008): https://www.ippc.int/sites/default/files/documents/1137589083658_CPM2006_3_1.pdf; https://www.ippc.int/sites/default/files/documents/1137592664019_CPM2006_4.pdf.

developed. It performs its functions during face-to-face meetings and via electronic means, as determined by the SC itself.

45. The SC consists of 25 members, from among senior officials of NPPOs designated by CPs from each of the seven FAO regions: four members each from Africa, Asia, Europe, Latin America and the Caribbean, and Near East and North Africa; two from North America; and three from Southwest Pacific. The SC meets twice per year.

46. The SC selects seven of its members (one from each FAO region) to form the SC Working Group-7 (SC-7) whose functions and working procedures are determined by the SC. The SC-7 is responsible for inter alia: examining all the substantive comments from IPPC members on draft ISPMs; review and revise draft ISPM and propose revisions to SC; explain the proposed revisions to draft ISPMs to the SC.

47. The IPPC Standard Setting Procedures were revised and adopted by CPM-7 in 2012, and include the following steps: i) developing the IPPC standard setting programme; ii) drafting the ISPM; iii) member consultation for draft ISPMs; and iv) adoption and publication. The SC may establish, on a permanent or temporary basis, working groups selected by the SC and drafting groups comprising SC members.

48. The role of the IPPC Secretariat in support of the SC is facilitation, convening meetings, coordination and management of the process, follow-up, translation and dissemination. For example, the Secretariat is responsible for sending the draft ISPMs for consultation to IPPC members and obtaining their feedback. The On-line Commenting System (OCS) was thus developed, through which the CPs can provide feedback and comments on the ISPMs under discussion and contribute to the actual drafting, through a highly transparent process.

49. The Evaluation team observed the SC meeting on 10-14 November, 2014. Topics for discussion mainly concerned ongoing work on draft ISPMs for recommendation to CPM for adoption. Meeting proceeded in an efficient and well organized manner with an important support by the Secretariat staff in line with the described role above.

Subsidiary Body on Dispute Settlement

50. The mandate of the SBDS is to manage the dispute settlement functions of the CPM and provide assistance with regard to dispute settlement in the World Trade Organization (WTO) and other organizations. It is not meant to replace the WTO mechanism or to prejudice the rights and obligations of CPs who might seek the WTO procedures to resolve disputes.

51. The dispute settlement is described in Article XIII of the Convention and the procedures are set out in the report of the third Session of the Interim Commission on Phytosanitary Measures (ICPM), Rome 2001. The IPPC Dispute Manual, published in 2012 and under review as of late 2014, presents the various options available to CPs. It is a non-legally binding mechanism that grants CPs with complementary alternative dispute settlement processes to the WTO. The SBDS operates at a technical level, offers a range of mechanisms to be selected by the CP and is potentially less costly and faster than other dispute settlement mechanisms. All together, these represent significant benefits for the CPs.

52. Composed of seven members, one from each of the FAO regions, the SBDS oversees, administers and supports the IPPC dispute settlement procedures providing guidance to the Secretariat and the disputing parties in selecting appropriate dispute resolution methods; it may also assist in conducting or administering consultation, good offices, mediation, or arbitration. Its first meeting took place in 2003; since then, it has met on a yearly basis.

53. Following the review of the SBDS in 2013, recommendations were made by the CPM to change its procedures in order to make the process work more efficiently and effectively through the promotion of greater use of the informal processes and encouraging dispute-avoidance.²³

1.7 Other ad-hoc bodies of the CPM

54. The CPM avails itself of the support and contribution of other bodies, established on an ad-hoc basis, briefly described here.

55. The **Strategic Planning Group (SPG)** is an open-ended informal working group established at CPM-2 in 2007, and mandated to discuss the strategic issues of the IPPC and undertake specific activities on behalf of the CPM, relating to the planning and prioritization of the various elements of the work programme. Its Terms of Reference define its mandate as follows: “*to formulate recommendations to the CPM or its Subsidiary Bodies in the areas covered by its scope and to advise the CPM on issues referred to it*”.²⁴ The SPG consists of the Bureau of the CPM, the chairpersons of its subsidiary bodies and other interested parties from CPs. It meets every year at least four months prior to the CPM meeting, to allow agenda preparation and the undertaking of specified activities before the CPM.

56. The Evaluation team observed the SPG meeting in October 2014, which was attended by the Bureau members, representatives of fifteen CPs and Secretariat staff. Topics discussed included: resources mobilization, communication strategy and work plan, national reporting obligations and traceability. A highly participatory brain-storming session was held on the topic ‘The IPPC in 20 years’ which allowed the identification of long-term key challenges and opportunities for the IPPC.

57. The **IPPC Capacity Development Committee (CDC)** was established by CPM-7 in 2012, as a technical structure of the CPM to provide support to the implementation and sustainable funding of the IPPC National Phytosanitary Capacity Development Strategy, which is the document that summarises the strategic areas, goals and work-plan of the IPPC on Capacity Development. The CDC scope also includes implementation of the IPPC and ISPMs by CPs.²⁵ Composed of seven members, one from each of the FAO regions and a minimum of three members from developing countries, since its establishment the CDC has met twice a year face-to-face.

58. Functions of the CDC include, among others: review, monitoring and evaluation of the implementation of the Strategy; identification, promotion and/or development of appropriate capacity development products including technical resources, e.g. manuals, Standard Operating Procedures (SOPs), guidelines, training materials and databases;

²³ Decision CPM 2014/22, adopted by CPM-9.

²⁴ SPTA ToR

²⁵ CDC Terms of Reference.

developing recommendations, procedures and criteria for the production, oversight and approval of the technical resources; assessing and prioritizing the inclusion of the technical resources provided by partners, other public-private organizations, NPPOs and RPPOs, in the International Phytosanitary Portal (IPP) or the Phytosanitary Resources page; enhancing links with donors, partners and other public private organizations concerned with capacity development in the phyto-sanitary area; providing guidance on capacity development activities and sharing information on challenges associated with the implementation of the IPPC and its standards with CPM governing bodies. The status of the CDC was under review at the time of writing this report, based on its development and functioning from 2012 to 2014. The results of the review are to be presented to CPM-10 in March 2015.

59. The Evaluation team observed the 5th meeting of the CDC in December 2014. The session was attended by all CDC members, two bureau members, three Secretariat officers and representatives of STDF and the Inter-American Institute for Cooperation on Agriculture (IICA) as observers. The discussion focused on the present and future Capacity Development Activities and on the work plan and strategy. The Evaluation team considered that it was important for transparency and consistency, that the selection criteria for posting materials in the Phytosanitary page should be explicitly described, but did not find evidence of this. In its view, posting of some key working documents prior and during the meetings of the CDC would be helpful to get better involvement from the CPs.

60. The **National Reporting Obligations Advisory Group (NROAG)** was established by CPM-8 in 2013 to provide assistance to the IPPC Secretariat with the review of the National Reporting Obligations (NRO) programme and development of a revised stepwise work plan aimed at improving CPs capacity to meet their NROs under the IPPC. NROAG is composed of eleven representatives, seven from each of the FAO regions, plus one member from the Bureau and the chairs of CDC, SBDS and SC. Its first meeting was held in July 2014 to assess the successes and constraints of regional reporting, review the NRO legal framework and the CPs specific reporting obligations. During the meeting the Secretariat presented a summary of the key findings of Round Table Discussion on indicators of implementation of the IPPC:²⁶

- the Secretariat does not urge CPs firmly enough to comply with the IPPC therefore reporting is not done;
- export certification is regarded as a high priority by CPs while pest reporting as low; and
- lack of human resources and complex administrative structures can hamper reporting efforts in some CPs.

61. The **Implementation Review and Support System (IRSS) Triennial Technical Review Group (TRG)** comprises the chairs of the Bureau, SC, SBDS and CDC and of the IPPC Secretariat. Since 2012 this Group has been in charge of reviewing advances of the IRSS project and preparing the Implementation Review Report at the end of each IRSS three-year cycle.

62. Other informal groups and Open-ended Working Groups have been established on an ad-hoc basis throughout the years. In August 2014, the Evaluation team observed the meeting of the Open-ended Working Group on Implementation established at CPM-9, which had the aim of providing guidance and advice on IPPC efforts to develop an implementation programme. The Group drafted a pilot work-plan on implementation of ISPM 6, Guidelines

²⁶ This was a small group of experts from the IRSS that met in October 2013 in the United Kingdom.

for Surveillance. Participants noted that the endorsement from the CPM on this proposal would be helpful in facilitating the approval for and the allocation of resources at the national level, to pursue it.

1.8 The Programme of work and budget of IPPC

63. The CPM takes the lead, supported by its Bureau, in establishing its strategy and Programme of Work. The Bureau, on behalf of the CPM, ensures with the Secretariat that the CPM Programme of Work is implemented within the limits of financial and human resources. After the 1997 amendment of the IPPC, which made the Convention consistent with the WTO-SPS agreement, standard setting became the core activity of the CPM, facilitated by the Secretariat. Progressively other tasks were added or made more explicit including review of implementation of the IPPC by its CPs and activities to support CPs in the implementation of the Convention.

64. Every CPM meeting may lead to additional requests of further work to be carried out by the Secretariat and previously agreed tasks do not easily disappear. The Evaluation assessed what was requested by each session since CPM-6 in 2011 and the consequences of these requests in terms of work-load for the Secretariat. The impact varies from year to year: CPM-6 and CPM-9 led to quite an additional amount of work for the Secretariat, whereas this was rather limited at CPM-7 and CPM-8. There is no explicit monitoring of these requests and whether they are addressed or not. In this regard, the Evaluation team **suggests** introducing a standing agenda item for the CPM, to keep track of the requests and inform about their status of execution. See paragraph 229, bullet g.

65. The Evaluation observed that while the CPM discusses its various requests, it does not analyse them in the light of the financial and human resources limitations. In this respect, it is noteworthy that 91% of the respondents to the Evaluation survey expected the mandate of the FC to include the assessment of the financial implications of the activities proposed by the CPM, which does not seem to be the case at present. The Bureau meeting in October 2014 reported that the FC will track any new proposal during the CPM session and discuss with the Bureau whether funding is available, in an effort to highlight the budget and human resources implications that new proposed activities may have on the overall IPPC Secretariat.

66. It is also important to note that the funding for the Programme of Work is ensured through FAO's contribution to the IPPC and from extra-budgetary resources from resources partners, in the form of Trust Funds. Whereas the former is determined by FAO Conference on a biennial basis and its availability is therefore 'secured' by the time the CPM approves a Programme of Work for the following 12 months; Trust Funds, excluding those already operational at the time of the CPM, are never secured until approval. This undoubtedly represents a challenge to the full and 'assured' implementation of the CPM Programme of Work, but could also be used as a tool for Resource Mobilization among the CPs themselves. At the same time, the programming phase would greatly gain in realism and feasibility if the Secretariat or the Financial Committee were to develop realistic projections of the likely inflow of funds in the near- to mid-term.

1.9 Observations on the governance of IPPC

67. The governance mechanisms of the Convention as of 2014 appeared to suffer to some extent from proliferation of bodies with different statutory natures, sometimes unclear mandates, overlapping functions, as well as less than optimal and transparent communication on the work each of them carries out. This did not seem to help the efficiency of the decision-making process, as some, possibly difficult topics may be moved from one to another body and delay final decision. Servicing all these bodies has a cost, real and transactional, for the CPs and the Secretariat. The Evaluation identified a need for streamlining and simplifying the set-up, while at the same time enhancing the two roles of the governance function, guidance and oversight.

68. The annual frequency of the CPM session also weights on the relatively high costs for governance, as shown in Section 3.3. On the basis of that analysis, there is clearly a need for streamlining both governance and management before arguing for additional financial resources. Although a long, sensitive and difficult discussion took place in the past, the Evaluation team **suggests** opening the discussion again on streamlining the costs of governance. This includes reconsidering whether a full annual CPM meeting is necessary to ensure sufficient progress of the work programme. Undoubtedly, this will have to be weighed against the intangible benefits that an annual CPM brings, in particular the opportunity it offers to all CPs for direct exchange and discussion. Experience from FAO Technical Committees that meet on a biennial basis,²⁷ suggests that biennial sessions fulfil the expectations of participants in this regard.²⁸

69. For the sake of continuity of the oversight function, however, the Evaluation team suggests alternating the biennial full CPM session with a shortened CPM session. Ideally, the biennial full CPM session of one week should be held in the second year of FAO planning cycle, after the FAO Conference has approved the Organization's PWB, which is the basis for the IPPC Secretariat core resources, hence for CPM work programme. The shortened CPM meeting may be attended by Permanent Representatives; this would have an additional beneficial effect of more involvement of Permanent Representatives in the IPPC, which is important to secure the regular budget for IPPC by the FAO Conference. The agenda for the shortened 1 or 2-day CPM meeting may include adoption of ISPMs, for which no formal objections have been raised, annual work programme, membership and potential replacements for CPM subsidiary and ad-hoc bodies. The overall cost of governance would also be significantly reduced in a biennium.²⁹ See paragraph 229, bullets a. and b.

70. As a follow-up to the 2007 evaluation, the Bureau was enlarged from 3 to 7 members to achieve a balanced geographical representation. Likewise the 2007 evaluation,³⁰ the Evaluation team also found that the enlargement of the Bureau made the SPG superfluous. The Bureau can still invite experts to assist in their tasks e.g. in providing guidance to the CPM for its strategic direction. However, maintaining the SPG requires additional staff resources of the Secretariat, overlaps with the Bureau's purpose and functions

²⁷ These are: the Committee on Commodity Problems (CCP); the Committee on Agriculture (COAG); the Committee on Fisheries (COFI); the Committee on Forestry (COFO).

²⁸ Independent Review of Governance Reforms, FAO, forthcoming.

²⁹ A short CPM, mostly attended by Permanent Representatives, would represent savings in the order of USD 200,000. See paragraph 230.

³⁰ Originally established and referred to by the 2007 Evaluation as the Informal Working Group on Strategic Planning and Technical Assistance (SPTA). The 2007 evaluation concluded that 'The time has come to combine the functions of the Bureau and SPTA into one enlarged Bureau'.

and does not seem to improve efficient governance. The same reasoning applies to the FC which has been recently created and mainly consists of Bureau members. The Evaluation team **suggests** abolishing the SPG and the FC, while ensuring that their functions are fully integrated in the mandate and work-plan of the Bureau with inputs from the Secretariat. See paragraph 229, bullet c.

71. The SC was established to manage the standard-setting process, including the five Technical Panels, and assist in the development of ISPMs. This should be the core of the agenda of the SC and no other governance issues should be dealt with by this subsidiary body. The 2007 evaluation suggested reducing the membership of the SC to 14 members, 2 per region. The same suggestion came up in the 2011 Focus group to improve the Standard Setting process. The Focus group could not reach agreement on this question in trying to shape a balance between efficiency of the functioning of the SC and regional representation. Due to time constraints the Evaluation did not in particular assess the benefits and drawbacks of reducing the membership of the SC and **suggests** reconsidering the recommendations made by the 2007 evaluation and the deliberations by the 2011 Focus group, about reducing the membership of the SC to 14 members. See paragraph 229, bullet d.

72. The SBDS provides support to the Secretariat to handle disputes within the provisions of IPPC and between CPs. Although the SBDS has elaborated procedures and promoted this facility, the Secretariat has not been dealing with any particular dispute. According to the survey questionnaire, dispute settlement is considered the least important function of the IPPC, and where the Secretariat has been less effective. However, one of the CPs (South Africa) has raised in 2010 with FAO Director-General a particular dispute with the request to address it based on the provisions of IPPC. The issue was discussed in CPM-6 (2011), but was not properly followed up by the Secretariat. Although this case has the potential to prove that Article XIII of the IPPC was an attractive mechanism to solve an issue between CPs in a more technical and less expensive manner than within WTO-SPS framework, it looks like a lost opportunity and caused much disappointment with the country concerned. It is not too late for CPM to react and give this issue priority in the work programme of the Secretariat. This still may lead to the outcome that the SBDS provision is useful within IPPC. If not taken up immediately, **CPM may consider** shelving the SBDS and adopting a more informal dispute-avoidance approach. This would be in line with Article XIII of the Convention. See paragraph 229, bullet e.

73. Last, in view of the limited information to the CPM on available resources, and the absence of costing, even if tentative, of new proposed activities, proper decision-making and priority setting are hindered. Therefore the Evaluation **suggests** that the Bureau should be entrusted by the CPM to proceed with the yearly or biennial Programme of Work, provided that the information elaborated by the Secretary about staff and financial implications proves the feasibility of any new additional task. See paragraph 229, bullet h.

1.10 Servicing of IPPC Governing Bodies

74. The IPPC Secretariat is responsible for supporting the activities of the IPPC Governing and Statutory Bodies and providing administrative, technical and editorial support, as required by them. The Secretariat is also responsible for keeping record regarding the activities developed by these bodies.

75. In this role, the IPPC Secretariat is also required to make the reports of the meetings of all IPPC Governing and Statutory Bodies, including the CPM and Bureau meetings. The RoP for the Bureau specifically require that the report is posted on the IPP within one month from the meeting.³¹ The RoP for the other bodies, which in the case of the SC define the contents of the Report, do not establish deadlines for the submission of the meetings reports. However, it would be reasonable to expect that reports are made publicly available in a timely manner.

76. Boxes 2 and 3 below show the timing of the meetings of the IPPC GBs and the moment when their respective reports were made available on the IPP. As the Financial Committee directly reports to the Bureau, its reports are not publicly available. What emerges is a significant time-lag, from six to twelve months, between the sessions of the CPM, SBDS and NROAG and the date of issuing the respective reports. In the case of GBs with multi-annual meetings, the time-lag was somewhat long in the case of the Bureau, and within the norm for all other meetings, with only one major delay in 2012 for the SC.

Box 2. Comparison of dates of annual meetings of IPPC Bodies and with issuing dates of respective final reports

Year IPPC Body	2012		2013		2014	
	Session date	Report date	Session date	Report date	Session date	Report date
<i>CPM</i>	19-23 March 2012	22 October 2012	8-12 April 2013	4 March 2014	31 March-4 April 2014	23 September 2014
<i>SBDS</i>	13-14 March 2012	25 February 2013	Meeting cancelled		8-10 July 2014	<i>Not available as of 5 January 2015</i>
<i>SPG</i>	9-11 October 2012	13 November 2012	8-11 October 2013	6 November 2013	7-10 October 2014	1 December 2014
<i>NROAG</i>	<i>Not applicable</i>		<i>Not applicable</i>		01-03 July 2014	4 November 2014

Source: IPP, elaborated by OED

Box 3. Comparison of dates of multi-annual meetings of IPPC Bodies with issuing dates of respective final reports

Year IPPC Body	2012		2013		2014	
	Session date	Report date	Session date	Report date	Session date	Report date
<i>Bureau</i>	15-16 and 23 March 2012	12 June 2012	4-5 April 2013	23 July 2013	26-27 April 2014	14 August 2014
	18-22 June 2012	<i>Not available</i>	11 June 2013	23 July 2013	24-27 June 2014	14 August 2014
	12 October 2012	21 November 2012	7-8 and 10 October 2013	19 November 2013	6-10 October 2014	6-10 October 2014
	10-14 December	<i>Not available</i>				

³¹ The IPPC Procedure Manual for Standard Setting was revised in November 2014 and made available to the public in December 2014 with appropriate deadlines for submitting documents to the Standard Setting Committee: https://www.ippc.int/sites/default/files/documents/20141203/ippcproceduremanual_stset_2014-12-03_201412031302--3.92%20MB.pdf par 5.9,

	2012					
SC	23-27 April 2012	6 November 2012	6-10 May 2013	29 May 2014	5-9 May 2014	5 June 2014
	12-16 November 2012	18 December 2012	18-22 November 2013	13 January 2014	10-14 November 2014	4 December 2014
CDC	3-7 December 2012	21 January 2013	27-31 May 2013	25 June 2013	2-6 June 2014	23 June 2014
			27-29 November 2013	25 March 2014	1-5 December 2014	19 December 2014

Source: IPP, elaborated by OED

77. One additional responsibility of the Secretariat is to facilitate the meetings of the CPM. The analysis of the timing of posting documents under the responsibility of the IPPC Secretariat for discussion at the CPM,³² showed a performance since 2012 below satisfactory, with only 43% of documents made available in due time, which affects the level of CP participation and involvement in the decision making process. Improvements have nevertheless been made, although there is still room for improvement. Details are provided below and in Box 4:

- in 2012, 43% of the documents were submitted five working days prior to the CPM or upon or after its start; and only 18% were made available more than one month prior to CPM-7.
- in 2013, more than half of the documents were submitted one month prior to CPM-8 but still 29% were made available five working days prior to the CPM or upon or after its start.
- in 2014, 62% of the documents were submitted prior to CPM but still 20% were made available five working days prior or during CPM-9.

³² The documents taken into account were those available on IPP and **did not** include papers, proposals and statements by CPs and partners.

Box 4. Timeframe of documents' submission to the last three CPMs

Timeframe	Number of docs last 3 CPMs	% over the total share	CPM-7 2012		CPM-8 2013		CPM-9 2014	
Upon or after CPM started	25	14%	14	21%	11	18%	0	0%
Previous 5 working days	32	18%	15	22%	7	11%	10	20%
Previous 14 to 5 working days	28	16%	19	28%	4	7%	5	10%
Previous 3rd and 4th week	16	9%	7	10%	5	8%	4	8%
More than 1 month	77	43%	12	18%	34	56%	31	62%
Total documents	178		67		61		50	

Source: IPP, elaborated by OED

78. Similarly, the provisional agenda for the CPM should be circulated at least two months in advance of each respective session to all members of the Commission and observers invited to attend the session (Rule V (4), RoP CPM). Available evidence in the IPP indicates that this surely happened for CPM-8, but timeliness of posting could not be assessed for all other CPMs.³³

79. The problem was even more evident with regard to meetings of IPPC subsidiary and ad-hoc bodies attended by a limited number of delegates who should be allowed sufficient time to articulate with the NPPOs of each region. For instance, the RoP of the SPG specifically require the provisional agenda to be made available no less than 45 days prior to each meeting; documents should be circulated as soon as possible after the agenda, preferably no less than 14 days prior to the meeting. However for the last meeting of the SPG (7-10 October) the large majority of the documents was made available after 1 October, with a few being posted in late September.³⁴ This limits the capacity of the participants to review and discuss the documents in advance and provide constructive comments during the meetings.

80. On another front, the Evaluation noted that the Secretariat is overrepresented at the meetings of several IPPC Bodies. Seven to eight Secretariat staff attended the OEWG on Implementation in August, and seven were present at the last SPG in October. This leads to Secretariat staff jeopardizing the meetings, by discussing among themselves during the meetings or just by taking the floor when time should mostly be devoted to debate and exchange among CPs. Also at the CDC meeting, and although there was a reasonable level of participation, discussions were many times dominated by IPPC Secretariat staff.

81. Interviewees frequently mentioned that the Secretariat is not communicating a common and unified vision on behalf of the CPM although the need to develop an IPPC communication action plan that allows the proper involvement of all the stakeholders and the better promotion of IPPC to the phytosanitary community has been recommended by the

³³ Only 'revised', and late, versions of the agendas were available for other CPMs; it was thus unclear whether the first versions of the provisional agendas had been made available in due time.

³⁴ It was not possible to confirm the date of availability of the documents to the previous SPG meetings since only the Report of the meetings are posted at the IPP.

IPPC Communication Strategy adopted in 2012.³⁵ The Strategy is being reviewed and a Work Plan is due at the CPM-10.

82. The Secretariat has provided very little support on dispute settlement. The IPPC dispute settlement procedure was designed to be efficient and to provide the parties with technical solutions. The only formal dispute which was raised to the IPPC Secretary in 2010, between South Africa and the European Union, has been given little support from the Secretariat which was very slow in reacting. At the time of the Evaluation, no initiative to resolve this dispute had been undertaken. This was a missed opportunity to prove for a first time that the dispute settlement provision of IPPC is an effective tool. This adds to the rather low importance CPs attach to dispute settlement as provided within IPPC. Among the respondents to the Evaluation survey, only 45% indicated that they considered the dispute settlement provided by the Secretariat to be important/highly important to them.

83. Overall, in the view of the Evaluation, the Secretariat has not been able to adequately meet all the needs of the CPs. The current organizational structure is not designed to support and facilitate the implementation of the IPPC, which is part of the CPM mandate (Articles XI and XX of the IPPC Convention) and has over the past years gained relevance to the CPs, which have ranked it as the second most important core function of the IPPC Secretariat.³⁶ Chapter 3.7 addresses this issue in detail.

³⁵ IPPC Communication Strategy (2012): https://www.ippc.int/sites/default/files/documents//1349785762_SPG_2012_02_Comm_Strategy_2012-0.pdf

³⁶ See survey questionnaire to the NPPOs: 84% of the respondents considered "providing support for the implementation of the IPPC and its standards" whereas 95% ranked the standards setting as the most important function, which has been in operation for longer.

3 IPPC Secretariat and FAO

Key findings

The International Plant Protection Convention is well integrated in FAO Strategic Frameworks and fully contributes to the goals of the Organization.

The institutional location of the IPPC Secretariat is adequate to its mandate ; since January 2014, it should even be more favourable to reaching out to various internal partners and to take full advantage of the opportunities offered by being part of FAO. However, this has not happened, mostly due to lack of sufficient knowledge and understanding of how FAO functions; and to a prevailing 'island mentality' among Secretariat core staff. Also, the management style within the Secretariat has not enabled an efficient and effective delivery. A few FAO rules and regulations related to recruitment and continuity of staff have also militated against smooth implementation of the planned work. The financial resources made available to the Secretariat from FAO Net Appropriation and from resource partners, appeared adequate to carry out the CPM Plan of Work.

84. The IPPC Secretariat is responsible, in coordination with the Bureau, for ensuring efficient implementation of the CPM work programme, and in fulfilling the core functions of the IPPC. Its core mandate is articulated around the following pillars of action:

- Development of International Standards for Phytosanitary Measures (ISPMs);
- Capacity Development (CD) in Member countries, which has gained importance in recent years;
- Information exchange, now called National Reporting Obligations;
- Dispute settlement; and
- Coordination and cooperation with other international conventions and agreements, e.g. the World Trade Organization (WTO), the Convention on Biological Diversity (CBD), Codex Alimentarius, the World Organization for Animal Health (OIE).

85. The Secretariat is managed by the Secretary of the IPPC, who is appointed by FAO Director-General and is responsible for implementing the activities assigned to the Secretariat and for reporting on them to the CPM.

1.11 Institutional set-up

86. IPPC is an Article XIV Body of FAO Constitution: likewise other bodies, conventions and agreements established under this article, it is part of FAO, and must abide by the rules and procedures of the Organization, while having at the same time, a different set of Members and governance mechanisms. The extent of autonomy of each Article XIV Body from FAO varies, depending on the will of the Members at the time of establishing the conventions and agreements themselves. In the case of IPPC, the text of the Convention clearly positions the IPPC, and by extension its Secretariat, within FAO.

87. Since 1992, FAO hosts and provides a Secretariat for IPPC. In practice, FAO makes resources available for the Secretariat and its functioning, and is responsible for oversight of its work. The Secretariat reports to FAO Senior Management and to the Governing Bodies of the Convention, namely the CPM and the Bureau. This dual accountability line was reportedly not easy to handle and opened the way to different interpretations among Secretariat staff, of where the Secretariat belongs to and who its real masters are. The 2007 evaluation commented that "*While the rationale for this is linked to the history of the development of the IPPC within the Plant Protection Service, this is no longer valid today.*

*This contributes to a situation where the IPPC Governing Bodies and the Secretariat are to a certain extent disconnected ..”*³⁷

88. The Secretariat was located since its creation, within FAO’s Plant Production and Protection Division (AGP); the Secretary was the Chief of AGP, who devoted 20% of his/her time to the role. The daily management of the Secretariat was the responsibility of a full-time Coordinator. In the view of several interviewees, the success of the collaboration between the two incumbents was often a matter of personalities.

89. The purpose of housing the IPPC Secretariat in AGP was to enable technical linkages with the most closely related work of the organization and leverage additional funds for capacity development and other activities through the synergy. The Evaluation did not find strong evidence that this happened; according to former Coordinators, FAO was still perceived as being something complex and difficult. For example, no formal collaboration was established between the Secretariat and the FAO regional Plant Protection Officers, although support to the implementation of the Convention was formally included in the job descriptions for the regional officers. In this context, it is however important to note the excellent collaboration between the IPPC Secretariat and FAO Legal Office, on relevant matters.

90. The 2007 Evaluation of the IPPC identified a number of issues in the way the Secretariat was functioning, including “*lack of leadership and team cohesion*” as well as in the staffing profiles.³⁸ It formulated nine recommendations on staffing, including the appointment of a full-time Secretary and the abolition of the post of Coordinator, and seven recommendations on the provision and management of financial resources for the Secretariat.³⁹

91. FAO Management accepted, or partly accepted, most recommendations, but rejected Recommendation 6.3, on the abolishment of the Coordinator post; and Recommendations 6.6 and 6.7, that foresaw a significant role for the Bureau in the selection of the Secretary and other staff in the Secretariat. CPM had, within its purview, accepted, fully or partly, all the recommendations about Secretariat-related issues.

92. In late 2008, the vacancy announcement for the post of full-time Secretary of IPPC was issued, at the level of D-1. The then chair of the Bureau was involved in the selection process by contributing her views on the short-listed candidates, against an established and agreed set of criteria; the final decision was made by FAO Director-General. The selected candidate, still in charge in 2014, took on duty in early 2010.

93. In 2013, FAO Director-General decided to transfer the Secretariat under the direct responsibility of the ADG/AG, partly to promote its visibility.⁴⁰ The transfer, which became operational in January 2014, was welcomed by all and opened up opportunities for closer interaction among the Primary Stakeholders. For example, the ADG/AG held a meeting with all Secretariat staff in November 2014, and discussed various issues with the Bureau more than once throughout the year.

³⁷ Independent Evaluation of the Workings of the International Plant Protection Convention and its Institutional Arrangements, 2007, at <ftp://ftp.fao.org/docrep/fao/meeting/012/k0233e02.pdf>

³⁸ Ibid.

³⁹ See Annex 6, for the detailed recommendations and their status of implementation as of 2014.

⁴⁰ This was part of a broader corporate decision, through which the reporting lines for all heads of Article XIV Bodies were moved to the ADGs of the respective Technical Departments.

94. In practical terms, the new position entails a number of changes in the management responsibilities of the Secretariat. The location within AGP meant that all administrative matters, staff issues including recruitment, and financial management, were carried out by the Service on behalf of the Secretariat. This appears to have been one of the main reasons why the Coordinator and other staff developed only a limited knowledge and understanding of how to deal with FAO's rules and procedures. As of January 2014, however, most of these functions had to be carried out by the Secretariat itself. For example, the Department still handles the formalities linked to the Regular Budget management in FAO corporate systems, but does not handle the daily delivery of this nor anything any longer on the Trust Funds. This led to the need for recruiting a finance officer to discharge the financial tasks.

95. Despite the obvious advantages of a direct reporting line to the ADG/AG, and the benefits of greater independence, in the views of some FAO staff the Secretariat appears in the new position to be more isolated than before. In addition to the participation in the preparation of work-plans within the relevant Strategic Objectives, discussed below and in Section 4, little appears to have happened with respect to more collaboration with other units in FAO. It might indeed be early days to see improvements in visibility; nevertheless there is also evidence of some simple opportunities that were missed. For example, it took a long time before the Secretariat accepted an invitation to meet with the AG team dealing with EMPRES Plants, a potentially very close partner as it is the FAO Programme responsible for monitoring and raising alertness on threats, among which pests to plants, as well as pest risk management and preparedness. A similar lack of active approach by the Secretariat to involve the regional Plant Protection Officers whenever possible was noted by most of the officers who were interviewed by the Evaluation; although collaboration took place at times, this did not seem to happen in a systematic and structured manner. Recommendation 4 addresses these issues.

1.12 IPPC in FAO Strategic Frameworks

96. The relevance of IPPC to the three Global Goals of the Members of the Organization has been discussed in paragraph 26. This section analyses the contribution of IPPC to FAO Strategic Frameworks.

97. The first Strategic Framework (SF) in FAO was prepared in 1999, to cover the period 2000-2015; it had five main strategies, structured in 12 Strategic Objectives (SOs), with a cross-cutting focus. The second, formulated in 2009 in the wake of the Independent External Evaluation and approval of the subsequent Immediate Plan of Action (IPA), was to cover the period 2010-2019; it was structured in 11 Strategic Objectives, each focused on one major theme. The third, known as Reviewed Strategic Framework (rSF), in force at the time of writing this report, was prepared in 2012/13 and became operational in 2014, until 2019; it is structured in five SOs, cross-cutting.

98. IPPC was part and parcel of FAO SF in all versions. In the first, it was part of SO 'B1, International instruments concerning food, agriculture, fisheries and forestry, and the production, safe use and fair exchange of agricultural, fishery and forestry goods', and contributed to the comparative advantage of the Organization by providing "*..a neutral*

*forum for international cooperation in the negotiation and harmonization of policies for protection of plants and plant products from pests”.*⁴¹

99. In the second, IPPC was embedded in Strategic Objective A (SO-A), ‘Sustainable intensification of crop production’, of which it was an underpinning element along with other conventions and treaties, with a focus on implementation at the national level. Within ‘Organizational result A02 - Risks from outbreaks of transboundary plant pests and diseases are sustainably reduced at national, regional and global levels’, the Convention became an area for ‘higher emphasis’ by “*supporting sub-regional/regional approaches to International Plant Protection Convention (IPPC) standard setting and implementation using a training-of-trainers approach*”.⁴²

100. In the Reviewed SF, IPPC, together with Codex Alimentarius, is largely integrated into ‘Strategic Objective 4, Enable more inclusive and efficient agricultural and food systems at local, national and international levels’ (SO4), where it contributes in particular to two of the SO’s pillars, standard setting and trade related agreements. The contribution from IPPC to this SO is also facilitating the expansion of the traditional work by FAO on trade agreements, to include work on non-trade barriers and SPS. Furthermore, IPPC staff are contributing to one of the Regional Initiatives, the new delivery mechanism at the regional level, in Eastern Europe and Central Asia, which focuses on agricultural trade and regional integration.

101. The location of IPPC in SO4 has already had positive effects in the context of STDF and WTO discussions, by raising the Convention’s perspective into a proposal aimed at promoting more efficient customs clearance procedures that may have an impact for plant health border control.

1.13 Financial resources

102. As mentioned above, the financial contributions by FAO to IPPC are allocated in the Organization’s biennial Programme of Work and Budget (PWB); in addition, the Secretariat receives extra-budgetary resources, made available by resource partners, in the form of Trust Funds, or projects.

103. In the period under evaluation, the contributions from FAO Net Appropriation⁴³ to the IPPC Secretariat are shown in Box 5 below, and corresponded to approximately 0.5% of FAO core resources. Nevertheless, this contribution has always been ‘ring-fenced’, meaning that it would only vary slightly depending on the FAO Conference approval of the budget for the Organization, but could not be diverted to other, non-IPPC related activities.

Box 5. FAO’s contribution to the IPPC Secretariat from its Net Appropriation

Year	USD
2010	2,746,100

⁴¹ The Strategic Framework for FAO 2000-2015, at <http://www.fao.org/3/a-x3550e/x3550e04.htm#b1>.

⁴² The Director-General’s Medium Term Plan 2010-13 (Reviewed) and Programme of Work and Budget 2012-13 in C2011/3.

⁴³ The FAO Net Appropriation is the sum of the mandatory contributions to FAO by the Member Countries, to meet the PWB.

2011	2,785,000
2012	3,009,000
2013	3,059,000
2014	2,950,000

Source: IPPC Secretariat

104. Over the same period, the IPPC Secretariat has directly managed in the role of Budget Holder and Lead Technical Unit (LTU), a total of 16 Trust Funds, whose total budgets amounted to approximately USD 11.7 million; with two exceptions, all these projects had started from 2011 onward. In addition, the Secretariat also held the role of LTU for two projects, a regional initiative in Asia titled ‘Plant Pest Surveillance and Information Management in Southeast Asian Countries - GCP/RAS/286/ROK; and a TCP in Mozambique on fruit-fly control. As a comparison, in the previous five years (2005-2009), IPPC Secretariat was Budget Holder for 7 projects, for a total amount of USD 1.6 million.⁴⁴

105. During the same period 2011-2014, FAO ran 10 projects, fully or partly relevant to IPPC mandate, for a total budget of USD 9 million. In at least three of the most recent ones, there is evidence that IPPC staff were involved in providing technical advice, even if they did not have any formal status in the Project Task Forces. As the focus of most others was direct control of pests, IPPC Secretariat was not involved; nevertheless, the question is open about possibly missed opportunities for collaboration, learning and exchange.

106. The figures above clearly indicate a growing capacity in the Secretariat to attract financial resources, either through direct action or through greater willingness of resource partners to contribute to its work.⁴⁵ Nevertheless, it is important to note that the average size of the projects was USD 0.65 million, and half of these had a budget below USD 340,000. It is understandable that resource partners, both to meet their own financial rules and regulations and from the desire for visibility, prefer to finance single-donor projects; nevertheless, this generates huge amounts of work-load for opening, managing and closing projects, which has a real cost in terms of staff time. Also, the Evaluation noted that as of December 2014, there was only one project in the pipeline for IPPC Secretariat.

107. In this regard, the Secretariat is also the Budget Holder of the ‘Umbrella Programme-International Plant Protection Convention (IPPC) Special Multi-Donor Capacity Development Fund- PGM/MUL/2012-2017/IPPC’. The purpose of the Trust Fund is to “*fund the Global Phytosanitary capacity development strategy (BNPC) of the International Plant Protection Convention (IPPC)*”.⁴⁶ The Umbrella Programme modality should facilitate consolidation of contributions for IPPC Capacity Development from resource partners who agree to pool their funds, thus cutting down on transaction costs related to the management of multiple small Trust Funds, and allowing longer-term planning for the use of the resources. FAO Field Programme Information System (FPMIS) indicated four projects accruing to it, out of 21 in total in support of the IPPC, at the time of finalizing this report.⁴⁷ the Evaluation could not clarify with this seems to indicate room for expanding its use.

⁴⁴ See Annex 6, List of IPPC related projects.

⁴⁵ One resource partner, when asked specifically on the reason for funding a project, stated that it was out of their own initiative and that the Secretariat had not contacted them in this sense.

⁴⁶ Objectives as per the programme core information in FAO Field Programme Management Information System (FPMIS).

⁴⁷ Despite long meetings with the Secretariat about the financial resources available, and the extra-budgetary initiatives in particular, the Evaluation team did not succeed in clarifying which projects were actually under the Secretariat’s responsibility and which were related to the Umbrella programme.

108. With respect to delivery, i.e. spending the available resources, all Regular Budget resources have been systematically spent. It is worth noting that up until 2013, IPPC was attached to AGP and there were minor fluctuations in the allotment depending on the usage of the entire Divisional allotment, i.e. minor over-expenditure was permitted providing there was compensating under-spending elsewhere in the Division.

109. Progress in expenditure from extra-budgetary sources has been consistently rising from approximately USD 800,000 in 2010 to approximately USD 2 million in 2014, 34% of which earmarked for IRSS only. The delivery of the extra-budgetary resources, in terms of percentage share of the total delivery, grew from 23% in 2010 to 39% in 2014. The progress in the last four years was positive, although it should also be viewed against the trend in FAO: over the same period, the Organization extra-budgetary resources for development initiatives represented approximately 47% of the total resources of the Organization. This means that IPPC is still under-performing in terms of resource mobilization compared to the rest of the Organization.

110. Another component of the extra-budgetary resources is the Project Support Cost (PSC) and the Administrative and Operational Support (AOS) operating cost. The analysis of the PSC applied to IPPC-managed Trust Funds operational in the period 2012-2014 and beyond, showed that on average the fee was 9%.⁴⁸ Automatically, average AOS due to the Budget Holder to compensate for projects' management costs has been 4.5%. This amounted to approximately USD 90,000 per year in 2013 and 2014. Since 2013, AOS for IPPC projects has been retained by the AG Department, while the Secretariat has not been charged any costs for common services discharged by the Department on its behalf.⁴⁹ Overall, it looks like the trade-off is fair for all concerned, and decreases the transaction costs associated with AOS calculation and transfer. As discussed later in the report, the PSC/AOS policy will go through a radical change in approach, and a new arrangement will have to be made to compensate the AG Department for the costs it will bear to support the IPPC Secretariat.

111. The Evaluation, in collaboration with the Secretariat, developed for the first time a full statement of all expenditures for the five years ending 2014 from both the FAO Regular Programme and Trust Funds, broken down by the four main areas of work: Standard Setting, Capacity Development, Implementation Review and Support System and National Reporting Obligations, in addition to the two categories of Governance of IPPC, including the direct costs of running all Governing Bodies including translation and interpretation, and Management of the Secretariat, including its Senior Management and support staff.

112. Box 6 shows an accurate estimate of the Secretariat's expenditures over the period 2010-14, for the different areas of work and by source of funds. The monetary value of in-kind staff seconded from CPs was not included. The figures for Governance in 2014 are based on the actual expenditures for CPM translation, interpretation and meeting services occurred into by the Organization. The data are discussed in the following paragraphs.

⁴⁸ The PSC standard ceiling is 13% for technical assistance projects, 10% for emergency projects and 7% for TCP; some projects have zero PSC. Subject to approval by the Office of Strategy, Planning and Resources Management (OSP), lower PSC rates can be applied as long as AOS costs are fully recovered. This is the case, for example, for projects funded by the EU where the PSC rate is set at a maximum of 7%.

⁴⁹ As mentioned earlier in the report, these mostly involve the formalities linked to the Regular Budget management in FAO corporate systems, handling correspondence with CPs, etc.

Box 6. IPPC Secretariat expenditures by main area of work and source of funds, 2010-2014, USD

Year	2010	2011	2012	2013	2014
Activity/ source of funds	USD	USD	USD	USD	USD
Governance (IPPC Bodies)					
FAO Net Appropriation	428,903	428,733	397,671	449,173	414,475
Trust Funds	253,144	183,412	193,364	218,369	207,389
Total	682,047	612,145	591,035	667,542	621,864
IPPC Secretariat, general					
FAO Net Appropriation	666,366	806,736	1,041,280	1,166,354	1,152,260
Trust Funds	123,951	67,572	207,069	227,960	150,854
Total	790,317	874,308	1,248,349	1,394,314	1,303,114
Standard Setting					
FAO Net Appropriation	755,592	684,825	669,198	878,118	860,479
Trust Funds	202,807	239,504	232,838	182,617	141,671
Total	958,399	924,329	902,036	1,060,735	1,002,150
Capacity development					
FAO Net Appropriation	146,828	220,363	372,139	280,850	286,223
Trust Funds	24,177	64,396	288,578	677,209	562,327
Total	171,005	284,759	660,717	958,059	848,550
IRSS					
FAO Net Appropriation	14,271	12,594	90,645	42,935	21,218
Trust Funds	178,908	319,585	569,111	629,938	750,730
Total	193,179	332,179	659,756	672,873	771,948
National Reporting Obligations					
FAO Net Appropriation	205,802	201,252	222,197	219,734	215,345
Trust Funds	14,861	16,442	28,670	37,357	105,695
Total	220,663	217,694	250,867	257,091	321,040
Contribution to Divisional costs*					
	528,338	430,675	216,221	21,932	
TOTAL					
Total Net appropriation	2,746,100	2,785,178	3,009,351	3,059,096	2,950,000
Total Trust Funds	797,848	890,911	1,519,630	1,973,450	1,918,666
Grand total	3,543,948	3,676,089	4,528,981	5,032,546	4,868,666

Source: IPPC Secretariat; FAO Division for the Conference, Council and Government Relations; elaborated by OED.

*These were general administrative costs charged by AGP division prior to the IPPC being assigned to the Assistant Director General's office and were no longer levied after 2013. They cannot be associated directly with any specific area of work.

113. IPPC Governance absorbed 15% of the total resources available in the period 2010-2014, with a trend to slightly decrease over time. This is significantly different from the shared belief among CPs that the governance costs amounted to half of the available resources. This figure also includes travel costs for eligible CP representatives. It is important to note that the European Commission has systematically supported travel of CP representatives to IPPC meetings, and of staff as well, for several years now. No benchmarking was possible with other organizations, such as the World Organization for Animal Health (OIE) and some of the CGIAR Centres,⁵⁰ due to the different ways of categorizing expenditures. In FAO, the costs of governance have been estimated at 1.8% in a

⁵⁰ CGIAR: Global Agricultural Research Partnership.

recent evaluation, but this is not really comparable, due to the huge disparity in size of the respective budgets.

114. The cost of the Management of the Secretariat has increased over time, as more positions have been created and filled. In 2011, the Coordinator was recruited and other support staff followed. Although this budget line absorbs more resources than all others, at 26% over the five years and a tendency to increase, it should not be regarded as pure overhead or fixed cost, as the tasks that the Senior Managers in the Secretariat, and their assistants, are called to perform include daily and ‘hands-on’ involvement in management, administrative and substantive work of the IPPC, as well as coordination with CPs.

115. Among the technical areas of work, delivery has grown exponentially for IRSS and Capacity Development, with more than a three-fold increase over the five years and a share in the overall resources that has gone from 5% each in 2010, to 16% and 17% respectively in 2014. This was largely due to the increase of extra-budgetary resources, which in total amounted to USD 4 million. A minimal increase was also registered for National Reporting Obligations, from 6% to 7% in 2010 and 2014 respectively, all due to growth in the extra-budgetary resources.

116. On the contrary, delivery slightly decreased in percentage terms for Standard Setting, which went from 27% in 2010 to 21% in 2014, mostly due to a decrease in the extra-budgetary resources mildly compensated by an increase in Regular Budget resources.

117. The data also show that over the period 2010-2014, expenditures were as follows: 32% on the broad category comprising capacity development, IRSS and NRO that could be called ‘IPPC Implementation’; 26% on leadership, management and administration; 22% on Standard Setting, the other pillar of IPPC Implementation; and 15% on Governance. Moreover, if only 2014 figures are looked at, the distribution is even more skewed in favour of the Implementation pillar, at 40%; 27% on Management; 21% on Standard Setting and 13% on Governance.

118. Overall, resources appear to have been broadly allocated to the areas of work that were most requested by the CPs. Results of the Evaluation survey indicated that ‘Setting standards’ was the core function of IPPC considered most important by virtually all the respondents (94%), both among High/Upper Middle Income and Lower Middle/Low Income countries.⁵¹ This was followed in terms of percentage of respondents assessing the importance of the different functions, by ‘Implementation of the IPPC and its standards’, and ‘dissemination of information and knowledge’, at 83% and 82% of respondents respectively.

119. The Secretariat has also shown a capacity to deliver, although a number of no-cost extensions among the Trust Funds had to be requested due to delays in implementation. This, however, may be due to a number of factors, outside the responsibility of the Secretariat. In this respect, the Evaluation noted that more accurate management and follow-up of the Trust Funds was necessary. For example, Budget Revisions had not been carried out despite significant delays in project implementation, or had been started very late, or not been shared with the Donors as desirable. This may be part of the ‘learning curve’ of the Secretariat to manage its own resources, but in the view of the Evaluation, it is urgent that the Secretariat fully complies with FAO project management procedures as currently laid out in the Project

⁵¹ The World Bank 2014 classification was used to group responding CPs to the Evaluation survey.

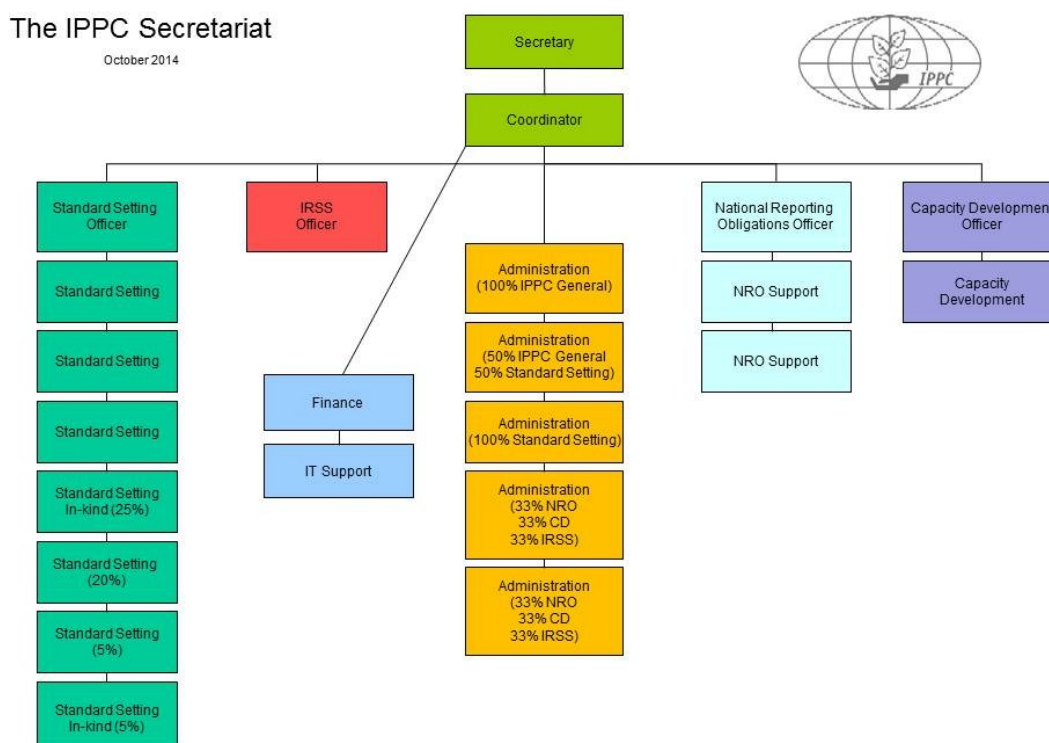
Cycle Management Guide, or in any future version thereof. This specific aspect has been included in Recommendation 5.

1.14 The structure of the Secretariat

120. Since 2010 the Secretariat has been led by a full-time Secretary, supported by a full-time Coordinator, and staffed with a mix of Professionals and General Service staff on Regular Budget posts, project-funded officers, staff seconded from CPs, and other experts and assistants in various roles and with significantly different types of contracts, all these grouped under the category defined in FAO as Non-Staff Human Resources (NSHR). Due to the FAO contractual procedures and to the variations in the availability of extra-budgetary resources, the staffing of the Secretariat is highly fluid and variations in the positions occur almost on a monthly basis.

121. The 2013 IPPC Secretariat Report included an organigram, which had not been updated for the 2014 Report. Box 7 below shows the structure of the Secretariat as of October 2014, jointly developed by the Evaluation team and the Secretariat. Box 7 below shows the organigram as of 31 October 2014, with 23 people, but 19.55 Full-Time Equivalent as some of them contributed only part-time to the work of the Secretariat.

Box 7. Structure of IPPC Secretariat, October 2014



Source: IPPC Secretariat and Evaluation team

122. During the Evaluation’s work, the total number of employees working for the Secretariat varied from 27 in early September, to 23 in late November 2014. In early September, nine were posts in FAO Programme and Work and Budget, i.e. continuing

positions.⁵² Three were in-kind contributions from Contracting Parties; the remaining 15 employees were on short-term, fixed-term or consultancy contracts, funded either by the Regular Programme or extra-budgetary resources. Twenty-one were professional staff and six were support staff. There were two part-time consultants, working from their home locations, for an approximate total of 45 days/year all together.

123. In terms of gender parity in staffing, the Secretariat reflected at this point in time the typical situation of FAO headquarters, with male senior staff and mostly male professionals at the P-4 level, almost an equal balance among the professional staff up to the P-3 level, and all GS and other support staff, with one exception, female. In view of the UN commitment to gender parity at all levels, and FAO gender policy in this respect, in future recruitments, specific attention should be paid to improving the gender balance among the professional staff on Regular Budget posts.

124. All staff had Terms of Reference or Job Descriptions with the exception of one professional officer who had never seen it; individual profiles and skill sets were seen to be a good match with the tasks and roles assigned. Several junior officers held a number of post graduate degrees and even PhDs.

125. A careful review and comparison of the duties and functions of the Secretary and Coordinator as detailed in their respective Vacancy Announcements, however, showed a considerable overlap in their responsibilities, i.e. for the Secretary “...ensure the management of the IPPC Secretariat including staff resources and services for the CPM, its subsidiary bodies and activities in the work programme; in particular manage the programme of work and budget of the Secretariat and CPM within resources provided by the FAO and any extra-budgetary resources;” and for the Coordinator “Supervise, provide guidance to and implement the Secretariat’s programme of work, as determined by the CPM.”

126. The main difference to be found in the foreseen assignments was the representational, awareness- and fund-raising duties assigned to the Secretary, which were not part of the Coordinator’s. Some of this overlap is probably due to the fact that the Coordinator post had been created before the full-time Secretary post was established; later on, when a selection process for the incumbent Coordinator was launched after the Secretary was in place, no specific attention went into developing a different Vacancy Announcement.

127. Job descriptions aside, the current structure of the Secretariat did not appear to be conducive to an efficient and effective use of the resources available. The Evaluation’s findings were that many of the representational duties assigned to the Secretary were being performed by the Coordinator in addition to his hands-on involvement in the management of the Secretariat. This entailed that the Coordinator was often perceived as the ‘face’ of IPPC, which created a certain amount of confusion amongst the staff.

128. The structure of the reporting lines of core staff added to the confusion: some reported directly to the Secretary, others to the Coordinator. Although a rationale was given to the Evaluation for this division, this was not clear to other staff and to the Bureau members, who tended to define the Secretariat as quite nebulous.

⁵² A PWB post is permanent, and can only be cancelled at the time of approval of the PWB by FAO Governing Bodies.

129. In general, however, for an ‘office’, in FAO’s terminology, of the size of the IPPC Secretariat with fewer than 30 employees, the structure that emerged from the Management Response to the 2007 evaluation with a double level of senior management at the top, was found by the Evaluation to be expensive and heavy and cause of an unjustified duplication and bottleneck in communication and reporting lines. In practice, the bottleneck was bypassed, and some of the P-4 staff reported directly to the Secretary. This in turn caused further confusion, lack of clarity and waste of resources.

130. Furthermore, the organigram in 2013 and 2014, with the Standards Setting group on one side, relatively heavily staffed and structured; and the rest of the personnel responsible for other streams of work, working single-handedly or by groups of two or three staff members; did not reflect the scope and gist of the work done by almost half of the Secretariat that in practice, largely embodied the ‘implementation of IPPC’ so much sought after by many among the CPs.

3.1 *Management of the Secretariat*

131. One of the key issues in the ToR of the Evaluation was the functioning of the Secretariat: the Bureau members in particular, but others as well from among the Governing Bodies, had expressed concerns about the internal functioning of the Secretariat. For this reason, the Evaluation separately interviewed all IPPC employees and posed similar questions about internal working relations, management, communication, and performance assessment, among other things. Other inputs were canvassed in the interviews with members of the Bureau and other Governing Bodies, as well as external observers.

132. The most frequent comments about the Secretariat, from across all the interviewees, focused on the lack of coordination and clear supervision and on the poor internal communication; these together led to what was defined as a ‘silos’ approach in the work of the Secretariat. Furthermore, several participants in the meetings of the GBs mentioned with concern the tendency of Secretariat staff to dissent from each other on various issues, even on the contents of papers being presented by the Secretariat itself, during meetings of the Governing Bodies.

133. The Evaluation itself, through its direct interaction with the Secretariat, had the opportunity for a glimpse of these critical features and could only confirm how detrimental they were to the efficient and effective functioning of the Secretariat, besides being negative for its image as well. Additional aspects that have emerged about the internal functioning of the Secretariat are discussed below.

134. One of the main weaknesses noted in the management of the Secretariat, was the lack of an integrated work-plan for the whole office, based on the CPM Programme of work and used by the Secretariat itself, among others, to monitor progress and report on this, as well as by the Bureau to steer the work in support of the Convention. Furthermore, a work-plan for the whole Secretariat would facilitate the planning in the use of the available resources, both human and financial. In the period under evaluation, only in 2011 was a work-plan of the Secretariat presented to the CPM but it was not apparent whether it was discussed or not. Later sessions of the CPM did not receive such work plan, nor apparently was it requested. In order to ensure that the CPM Programme of work can be realistically implemented, the Evaluation suggests that the Bureau should be entrusted by the CPM to proceed with the yearly or biennial Programme of Work, provided that the information

elaborated by the Secretary about staff and financial implications proves the feasibility of any new additional task.

135. Another major issue within the Secretariat was the management of the contracts for project staff and for Non-Staff Human Resources, which heavily affected the job-security of the incumbents and the prospects for career development. It is important to note that this notwithstanding, all employees showed a strong commitment to the goals of IPPC, and of FAO in general. The limitations linked to FAO contractual instruments are discussed later in the report among the drawbacks of being within FAO. Nevertheless, there was some evidence that the compulsory contract breaks and the uncertainty in project posts due to uncertainty in extra-budgetary funding could have been alleviated by performing regular project budget revisions and by more in-depth knowledge of contract rules and regulations.

136. Performance assessment was being done for both staff and non-staff members of the Secretariat; for the former, it was carried out through the FAO corporate Performance Evaluation Management System (PEMS); for non-staff, through a parallel, off-the system approach. In one case, PEMS was mentioned as contributing to encourage better performance. In general, employees in the Standard Setting Unit were quite satisfied about the type, frequency and timeliness of feedback received from their supervisor, also outside the PEMS framework, whereas in the other units, perceptions were mixed.

137. Secretariat-wide staff meetings had not been held for more than a year or so; core staff meetings were on the contrary held rather frequently, and appreciated by most participants; however, no minutes had been produced for several months or so, nor had meetings been useful to make decisions, which led to questioning on their purpose. One of the core staff member regularly informed staff in his unit, about the contents of the discussions in the core staff meetings, but there was no mention of this in other units. Despite the small size of the Secretariat, one result of this management approach was that many employees did not have an idea of what other units or individuals were doing; and there was a diffuse sense of lack of coordination and collaboration among them.

138. Travel for professional staff did not appear to be planned reasonably well in advance, causing stress and last minute rushes for visa, flights, etc. The first, easy scapegoat was the corporate Travel Authorization mechanism, although it clearly emerged that even a small level of programming would greatly facilitate the work of all.

139. Resource Mobilization was a clear task of the Secretary, according to the Vacancy Announcement. As explained in Section 3.6, moreover, since 2011 the corporate policy on RM has been of full delegation of authority to the different units and offices. However, at the time of the Evaluation, it was not clear within the Secretariat who was responsible for this key function and how the IPPC RM Strategy could be implemented. The Evaluation had good evidence that a few Secretariat staff were quite capable in mobilizing resources for their respective areas of work, based on individuals' professional clout and competence.⁵³ Some Representatives of CPs expressed however reservations on the ability of the Secretariat to mobilize resources; and as noted above, it appeared that in some cases at least, additional extrabudgetary resources were approved thanks to an autonomous decision of a resource partner, and not through active fund-raising. The absence of a significant pipeline as of end of

⁵³ The fund-raising potential of ePhyto was also mentioned a number of times, but no evidence was shared with the Evaluation of existing related business plans and/or projections.

2014, tended to confirm the hypothesis of individual tactics being at work, rather than an institutional strategy.

140. Further, there was evidence of limited organization of management information, and institutional memory in the Secretariat, which considerably affects the support provided to the IPPC Governing Bodies and that hampers overall implementation. For example, during the Evaluation key information was not readily available, e.g. the lists of members of Governing Bodies in previous years or the current organigram, and some of the documents produced were unknown to the Secretariat staff in charge of that specific area. Although high rotation of Secretariat staff may be one of the contributing causes, the overall perception was of low attention by Senior Management in the Secretariat to building and maintaining records and management information systems as required.

141. Along similar lines, it took several meetings and exchanges before the Secretariat could issue the breakdown of expenditures by area of work shown in Box 7 and used for the analysis in Section 3.3 above. Throughout this process, the Evaluation had evidence of limits in the financial planning capacity in the Secretariat, particularly in terms of the management of the available extra-budgetary resources for longer-term staffing purposes. The recruitment of a full-time Finance Assistant in 2013 has represented a major step forward in this respect, however there are still gaps that should be dealt with as a matter of urgency at a more senior level in the Secretariat.

142. Last but not least, internal turf battles and, in the words of many, ‘disruptive personality issues’ had turned into serious and unmovable obstacles that prevented the prevalence of the necessary, and expected, professional atmosphere of collaboration and mutual respect that are required for effective work performance.

143. Most of the issues mentioned above, and in particular the turf battles, the discussions spilling over into the Governing Bodies’ sessions, the poor communication and coordination, were the result, in the analysis of the Evaluation, of a management style not well suited to effectively steer and lead a multi-cultural team that has to work for the same goals in a collaborative manner, in an international environment that is highly bureaucratic and complex. In this regard, the Evaluation considered that the minimum requirements for the position of IPPC Secretary, in addition to others such as technical competence and being a respected authority in the plant health sector, proven record of two specific features should also be sought: successful leadership of international cooperation programmes, and strong ability to lead, inspire and build an effective and diverse strong team of people of diverse national and cultural backgrounds in international setting.

144. An additional factor that contributed to exacerbating some of the issues mentioned, which incidentally may have become more acute in 2014 since the Secretariat became more autonomous within the Department, was the limited knowledge within the Secretariat, and apparent limited efforts to get advice about corporate rules and procedures, as well as the ropes of the ‘how to’ that are essential in a complex organization like FAO. This aspect is further discussed next.

145. The issues discussed above are tackled through Recommendations 1, 2 and 5.

1.15 IPPC as an Article XIV Body

146. One of the issues to be assessed by the Evaluation was the enabling and constraining factors to the IPPC Secretariat derived from the status of being an FAO Article XIV Body. The ‘rights and duties’ of Article XIV Bodies within FAO have been a matter for discussion among the Members, the Bodies themselves and FAO Secretariat for a number of years now. A more detailed analysis of these issues was carried out in the context of the Independent Review of FAO Governance Reforms, finalized at the end of 2014.⁵⁴

147. The information and data gathered throughout the Evaluation process, from the questionnaire, interviews and documents review, indicate that the position of IPPC within FAO as an Article XIV Body entails both enabling and constraining factors. These are discussed below.

148. The first enabling factor is that IPPC receives a financial contribution from FAO Regular Programme budget, of approximately 3 million USD per year. This corresponded to 67% of the total financial resources available to the IPPC in the period 2010-2014. The trend has been of reduction in the share, from 77% in 2010 to 61% in 2014, due to the growth of the extra-budgetary resources discussed earlier in the report.

149. This amount represents the largest contribution by FAO to an Article XIV Body, which underlines the importance of the Convention for FAO. Furthermore, the contribution from FAO is ring-fenced, by virtue of the status of Article XIV Body of IPPC: this means that it cannot be diverted to other purposes that may be decided by FAO Senior Management due to change in priorities during the biennium, and that the IPPC Secretary is solely responsible for its use.

150. The neutrality of FAO as a UN agency is highly esteemed and contributes to the confidence in the IPPC Secretariat and to its outreach to Governments of CPs. Further, the association of IPPC Secretariat with FAO as the UN centre of excellence for agriculture, is a major enabling factor as it facilitates access to the following:

- a. potential synergies with other fields of expertise, e.g. within forestry and plant protection;
- b. substantive and professional legal support to IPPC and its CPs which is highly appreciated by the IPPC Secretariat and members of the Governing and Statutory bodies of IPPC and intensively used;
- c. the FAO network of regional, subregional and country offices, and the existing capacity embodied in the regional Plant Protection Officers, to support regional activities relevant for IPPC and provide an interface between governments of CPs with the IPPC Secretariat;
- d. opportunities to integrate actions with FAO Technical Assistance programmes and activities, important for achieving IPPC objectives;
- e. opportunities to raise awareness on IPPC matters, by presenting the work and achievements of the Convention to FAO Members, during sessions of the Committee for Agriculture (COAG), Council and FAO Conference, through specific agenda items or side-events.

⁵⁴ That evaluation submitted a questionnaire to the Secretaries of all Article XIV Bodies, focused on what had been identified as ‘issues’ in a review of these bodies by FAO Legal Office. The responses from the IPPC and the APPPC Secretariats were made available to the team of this Evaluation, as an additional source of information. The report is not publicly available yet at the time of circulating this draft.

151. On a more operational level, the availability of offices, meeting rooms and conference rooms in FAO headquarters, as well as all other types of facilities including administration and IT, to mention a few, are other enabling factors. Also, a number of benefits derive to IPPC staff from being part of a UN agency, including, among others, diplomatic immunity status, health insurance framework, participation in the UN pension fund, opportunities for individual capacity development and career development.

152. At the same time, the Evaluation identified a number of bureaucratic drawbacks which the Secretariat has to face, stemming from being part of FAO. Those that emerged as specific obstacles affecting the smooth implementation of the work-plans agreed by the CPM were the following:

- a. the professional pool from which to draw potential candidates with the required technical experience and knowledge, is quite small world-wide, given the high level of specialization of this sector; the FAO geographical balance rule in the selection of new staff on Regular Budget funds may represent a serious drawback in view of upcoming new recruitments, including at the level of the Secretary, by strongly limiting the number of potential candidates;⁵⁵ Recommendation 7 addresses this issue;
- f. the rigidity of FAO rules for the contractual options offered to project staff, when financial resources come from a variety of projects, and to Non Staff Human Resources, with long mandatory breaks, both affecting continuity in delivery, the securing of acquired skills and competences and institutional memory; this is particularly serious for the Secretariat, considering the high level of specialization and competences that its work requires, which also severely restricts the pool of potential candidates for temporary positions; Recommendation 6 tackles this aspect;
- g. in the period 2012-2014, recruitment for Regular Budget posts has been frozen for one reason or another, officially or de-facto, for almost 2 years; this required lengthy waiver requests to proceed with some planned recruitments; furthermore, recruitment procedures have proved to be very lengthy, also due to extensive discussions on contents of vacancy announcements that should be within the remit of the Secretariat to decide; Recommendation 6 tackles this aspect;
- h. the quality of translations of official documents for the CPM in the languages of the Organization, in particular into Spanish, Chinese and Russian, has been questioned; this represents a loss of credibility.⁵⁶

153. In addition to the issues discussed above, several IPPC Secretariat staff repeatedly raised complaints also about a number of other issues, and strongly emphasized the constraining factors of being part of FAO, at the expense of the advantages. This dissatisfaction, the team noted, spilled over in 'negative' or even erroneous information made available to CPs, that led many of these to consider FAO as a non-enabling environment. In consideration of the unbalanced perception thus created, the Evaluation decided to discuss and clarify the issues most frequently raised.

154. In 2013, FAO established a ceiling of 60 travel days for all technical staff. The Director-General's Bulletin on this matter included specific provisions for travel of staff

⁵⁵ The difficulties faced by OED in identifying competent and available experts from non-OECD countries to be part of the Evaluation team are a case in point.

⁵⁶ This has led to a Declaration from Latin America and Caribbean Informal Group of Permanent Representatives (GRULAC) at the last CPM on translation problems.

working for Article XIV Bodies, and encouraged reliance on blanket authorizations based on accurate travel-plans.⁵⁷ In the view of IPPC Secretariat staff, compliance with the ceiling was ensured, but at the cost of ‘self-limitation’ and giving up participation in events where their presence might have been beneficial, also considering that in the case of some duty-travels, costs are covered by inviting organizations. However, the Evaluation found no evidence that the Secretariat had made proper use of the envisaged flexibility, by preparing travel-plans in due time and by seeking the suggested blanket authorization.

155. The level of fees to be paid to FAO out of Trust Fund for Project Support Costs (PSC) has been often mentioned as problematic by the IPPC Secretariat. The value of PSC for IPPC projects has been discussed above, and corresponded on average to 9% of all extra-budgetary resources. Since 2012, moreover, the extra-budgetary resources are subject to a levy of 8% on some budget lines, called Internal Cost Recovery Uplift (ICRU),⁵⁸ for compensating FAO of costs incurred for space occupancy in headquarters, IT and security services. Thus the average share of the IPPC extra-budgetary resources paid to FAO for managing trust funds since 2012 has been around 14-15%. This is a significant amount. In November 2014, FAO Finance Committee endorsed a proposal by FAO Secretariat for a new policy, which will likely be issued in 2016 and that should change the whole structure of cost recovery, by moving ‘to a proportional full cost recovery model’ and contribute to a higher degree of transparency and clarity in the use of extra-budgetary resources. It remains to be seen how this will affect the overhead costs for project management.

156. A number of issues were mentioned, that tended to indicate limited knowledge and understanding in the IPPC Secretariat about the rules and procedures of FAO in administration, financial management, and work organization. Admittedly, the bureaucratic requirement that FAO Director-General signs invitation letters to Ministers in CPs for the CPM has represented a bottleneck and caused delays. A recent decision to delegate the signature to the Deputy-Director General for Natural Resources should help shortening the process; a more timely start of the preparation of the CPM might also help minimizing the risks of delays. However, a recurrent complaint in the Secretariat about the difficulties of booking meeting rooms, indicated unawareness among Secretariat staff of the calendar of FAO Governing Bodies and related arrangements.⁵⁹

157. Many IPPC Secretariat core staff complained about FAO Performance Evaluation Management System (PEMS), the corporate staff work-plan and performance appraisal system, on the grounds of ‘no or minimal understanding of the IPPC among FAO personnel staff’. Although there is some agreement in FAO that PEMS could be improved, and each staff member has his/her views on how to do so, the system is based on: the UN competency framework, quite broad and whole-encompassing; a four-point scale scoring system, which allows a reasonable degree of flexibility in assessment; and full flexibility in developing tailor-made work-plans. The system also allows external multi-raters, who could be picked among the many partners of IPPC Secretariat including Bureau members. Overall, the system

⁵⁷ DGB 2013/54.

⁵⁸ The ICRU is a monthly uplift off the on the budget lines corresponding to the honoraria of all Human Resources employed by a project, for a value of 5% charge for Information Technology support services, 1.5% for headquarters security services and 1.5% for Office occupancy.

⁵⁹ In a typical biennium, meeting rooms in headquarters are ‘fully booked’ due to Governing Bodies sessions and other major events, for approximately 15-16 weeks, out of 102 (excluding Christmas and New Year weeks) in which meeting rooms are available. Also, the calendar of these sessions is usually available to a high degree of precision, 18 months in advance.

appears to offer sufficient flexibility to accommodate also the specificities of IPPC staff and work-plans.

158. Another matter of dissatisfaction has been the limited support by FAO South-South and Resource Mobilization Division (TCS), until recently tasked with relations with Resource Mobilization, in securing additional extra-budgetary resources. Since 2011, with the coming into force of the first FAO Resource Mobilization and Management Strategy (RMMS), the main responsibility in the Organization for Resource Mobilization should rest with the head of the office, although all staff should engage in RM; training sessions were also organized across the Organization. Furthermore, the Vacancy Announcement for the Secretary of IPPC in 2009, clearly mentioned fund-raising and ‘attracting other contributions’ among the responsibilities of the Secretary. When compared with the previous rigid system wherein only one unit in FAO could do any resource mobilization, the current set-up seems to offer more opportunities and control of this key function for the Secretariat.

159. The issue of poor quality translation has been included above, among the objective obstacles to smooth functioning. A related frequent complaint was heard about FAO rules for translation and interpretation and the cost of these services.⁶⁰ A few staff from the Secretariat acknowledge the advantage of FAO’s mechanism to review and control quality, except for the cases when this did not work, and the additional work that would be necessary internally, if they had to identify and recruit translators themselves and control quality. The initiative to have a framework agreement that would also include translations was a valid one in this sense.

160. Last, mention was made several times of the amount of time absorbed by the mandatory participation of IPPC in the planning process for FAO Reviewed Strategic Framework in 2013. Responses to the survey for IPPC core staff indicate that overall, IPPC staff contributed approximately 18% of their total time to the process; this in fact took the form of 50% of the time of the Capacity Development Coordinator and 23% of the Secretary, plus limited contributions from two other staff. Furthermore, in the words of the staff mostly contributing to it, it turned out to be a good investment, that allowed knowing FAO better and getting to be known and planning highly coordinated actions with other units in FAO, and that was already paying back in terms of reporting against commonly agreed indicators.

161. Undoubtedly, drawbacks and obstacles to smooth functioning, in particular on staffing issues, should be addressed by FAO for Article XIV Bodies and for the whole Organization, as the issues raised above affect the work of all FAO units and divisions. Nevertheless, there is also little doubt that when all factors are taken into account, IPPC gains more by being within FAO than being outside it, at least in the foreseeable future.

162. What strongly emerges from the information available is the very limited, almost non-existent advantage that the IPPC Secretariat has taken by being part of FAO. Most notable missed opportunities were: i) interactions short of the potential with other FAO divisions, specific programmes such as EMPRES Plants and with the regional Plant Protection Officers, which would greatly enrich and open the scope for the work on IPPC standard setting and implementation; ii) no evidence of interactions and discussions with

⁶⁰ The Organization follows standard procedures for translation only of official documents, i.e. documents for the Governing Bodies, flagship publications etc., and for interpretation in official meetings, which incidentally are largely outsourced. Any other translation, e.g. of technical documents, capacity development materials, leaflets, etc., is the responsibility of each division.

FAO Representatives and NPPOs to include plant health issues in the Country Programming Frameworks and subsequent access to TCP resources for work at national level; iii) lack of awareness raising of FAO Governing Bodies on IPPC work.

163. Even the positive examples, for instance the excellent collaboration between the IPPC Secretariat and FAO Legal Office, have not been used as inspirational model to reach out to other parts of FAO. The Treaty of Genetic Resources, another Article XIV Body, could in that respect serve as an example. This Secretariat mobilizes possibilities to work closely with regional offices and relevant units in the FAO head office by seeking connections and providing important units and experts with relevant information. Close contact with other Article XIV Bodies may also help in addressing more effectively the administrative hurdles within FAO. Recommendation 4 addresses these aspects.

164. On the contrary, in the view of most core IPPC Secretariat staff the drawbacks occupied the whole perception. This unbalanced view was not helpful to engage positively with opportunities, provided by FAO and in overcoming hurdles. The Evaluation team noted an ‘island’ mentality in the Secretariat; often staff were emphasizing how different the Secretariat is from other parts of the FAO, and through this belief, were distancing themselves from FAO.

165. The overall attitude has not been helpful in effectively dealing with the real obstacles discussed above. An example is the limit on travel days per staff member: self-limitation could have been avoided by referring to the DGB 2013/54 and presenting a travel plan, linked to the annual work plan, for approval by the ADG/AG, including when the 60-day limit was exceeded. Another example can be made of contractual issues: although continuity problems as a result of FAO obligatory leaves are fully acknowledged, improved resource mobilization and long-term planning of the budget flow of trust funds would allow creation of more long-term project posts, and this would enable at the same time, continuity and flexibility. Planning of statutory bodies meetings could have been done after checking the biennial Provisional Calendar of FAO/IFAD/WFP Governing Bodies and other Main Sessions.

166. An important additional factor is FAO’s attitude to the IPPC. The Evaluation also considers that the nesting of IPPC and its Secretariat within FAO is important and beneficial for the Organization itself, for the following main reasons:

- IPPC, with its 181 CPs, is the FAO-hosted Convention with the largest membership, which is an indicator of the relevance it embodies for the Members of the Organization;
- The IPPC’s highly specialized products and services, that draw on different fields of expertise, broaden the range of multi-disciplinary policy and technical support the Organization delivers to its Members, and contribute to achieving several of the corporate Strategic Objectives; this was in fact recognized by making IPPC one of the FAO Corporate Technical Activities, the main mode of delivery at headquarters developed within the Reviewed Strategic Framework; and
- IPPC provides FAO with additional linkages with relevant organizations like WTO and CBD.

167. There is no doubt that FAO, with its significant financial contribution, fully acknowledges the added value of IPPC to its own mandate and work. Nevertheless the Organization, to be faithful to the commitments taken with its Members in hosting the

Convention and enabling its effective functioning, should also seriously consider the Secretariat's constraints caused by the current rules of the Organization, in particular regarding staffing and travel, and identify acceptable solutions for all parties. Furthermore, it would be important that FAO were somewhat more pro-active vis-à-vis IPPC: opportunities for doing so could be, among others, facilitating the presentation of its work to FAO Governing Bodies and participation at the most senior level in some IPPC events, e.g. the CPM opening session.

168. Furthermore, as a consequence of the mentioned 'island' mentality and the very limited efforts by IPPC to reach out to other parts in FAO besides the Codex Alimentarius and AGP, very few in the Organization have a full understanding of the importance and objectives of IPPC. This is also true for many of the Permanent Representatives who are rarely involved by the CPs in the affairs of CPM and IPPC. The risk of being rather unknown is evident in view of securing the biannual regular budget. Outreach and internal advocacy within FAO is very important and a key task for the Secretary. The International Treaty on Plant Genetic Resources for Food and Agriculture may inspire the IPPC Secretariat as they invest time and efforts to present the work of the Treaty in side events during FAO Conference and provide material and newsletters to FAO staff. Achieving, and maintaining constructive working relationships and greater visibility with FAO should indeed be a major task and priority goal for the IPPC Secretary.

1.16 A new structure and modus operandi for the Secretariat

169. Based on the evidence above, the Evaluation came to the conclusion that the Secretariat, as structured and managed by the time of this assessment, is not able to match the current and upcoming challenges for the implementation of the IPPC. There is thus an urgent need for an in-depth transformation on a number of aspects, for it to meet the expectations of the Contracting Parties and make a better use of the resources available to it.

170. On the one hand, a new structure for the IPPC Secretariat and a number of management actions are necessary, to enable and facilitate communication and collaboration across functions and competences, while recognizing the role of each and every one in achieving an integrated approach in the implementation of the IPPC and the sub-set of established goals.

171. On the other hand, personality issues, turf battles, and contractual obstacles will also have to be specifically addressed, through a variety of instruments as appropriate. This Evaluation can only make recommendations or suggestions on some of these, as others are outside the scope of its mandate.

172. With respect to management actions, aiming at an integrated approach to implementation, the following is suggested:

- a. One annual work plan and budget for the Secretariat should be developed and approved by the Bureau; it should include clear and achievable objectives, with a detailed as possible breakdown of activities, and required resources in terms of both staff and funding;
- b. Regular and frequent management meetings should be held, on work plan progress, with minutes recorded and circulated to all employees in the Secretariat;
- c. Regular IPPC Secretariat staff meetings should be held, to allow exchange, debate, development of a team spirit and sense of being one Office;

- d. IPPC staff should systematically attend AG Departmental meetings and activities, to enable improved collaboration;
- e. The IPPC Secretariat should develop closer collaboration with the office of the ADG/AG, for improved networking between the Secretariat and the rest of the Organization, including EMPRES Plants, the regional Plant Protection Officers, other Technical Departments and FAO Governing Bodies;

173. Furthermore, the Evaluation has developed a new model for the Secretariat that is described here below. Although there surely must be other possible options, the Evaluation team believes that the proposal below meets various needs, while maintaining balance between the two main areas of work of the Secretariat and remaining relatively simple. A cost-analysis has also been included, for Regular Budget resources only. A specific recommendation encompasses the whole proposal.

174. The Secretariat should be structured in two units: Standard Setting Unit; and Convention Implementation Facilitation Unit. For ease of reference, the two units would be called Standard Setting Unit (SSU) and Implementation Facilitation Unit (IFU). The two units should be headed by a Unit Manager each, both at the P-5 level and both reporting to the Secretary.

175. The post of Coordinator should be re-profiled to be the head of the IFU: there is sufficient evidence that the co-existence of full time Secretary and Coordinator is detrimental to effective and transparent internal management, and is a source of duplication and waste of resources. Its abolishment had also been recommended by the 2007 Evaluation and accepted by the CPM.

176. The two units should be coordinated and mutually accountable through the annual work plan of the Secretariat, and perceive themselves as being part of a single IPPC team under the strong leadership of the Secretary. It is of the utmost importance that the job descriptions of each Unit Leader include clear responsibility and accountability for mutually coordinated actions and outputs, fully based on the Secretariat work-plan under the guidance and supervision of the Secretary. Cross-over activities between the two units should be formally introduced linking implementation consequences to standard setting and assuring consistency of implementation activities with adopted ISPMs. These could include the following actions:

- The standard specification to be posted for CP-comments should contain a paragraph on potential implementation issues;
- The draft standard for country consultation should also contain a paragraph on potential implementation issues;
- The consistency with the IPPC and adopted ISPMs of implementation tools and documents should be assessed before these are made public; this applies in particular to updates of the PCE and implementation support materials produced by the Secretariat;
- Regional workshops addressing particular implementation issues and side events by the Secretariat during CPM meetings, should be jointly organized by SSU and IFU officers, as is currently already the case for the regional workshops.

177. The lead responsibility for the organization of and support to the Governing Bodies should be assigned as follows: the Secretary would handle the CPM, the Bureau and the SBDS; the Standard Setting Unit would handle the SC/SC-7; the Implementation Facilitation

Unit would handle a new body, on implementation challenges, capacity development and dissemination of information, which would take on the responsibilities currently assigned to CDC, IRSS-TRG and NROAG.

178. External and internal leadership of the Secretariat should be the responsibility of the Secretary, who should be the leader, manager, voice and strategist of the Secretariat and whose professional credibility and competence should act as leverage for resource mobilization and trigger partnerships. He/she should be responsible for developing and discussing the annual work-plan with the CPM or Bureau, and implementing it, including judicious use of the resources available. The Secretary would also be responsible for taking the lead on dispute settlement, new emerging issues such as the e-phyto project, mobilizing necessary support from SSU and IFU as appropriate and coordinating the liaison function with partners. The Secretary would be supported as appropriate by all staff in the two Units, described in detail below, in the discharge of his/her responsibilities for resource mobilization, liaison and advocacy. The two unit managers, together with the Secretary and staff functions form the core group, participating in the regular management meetings.

179. The Secretary would also be supported through General Service and support functions,⁶¹ including administrative support; staffing issues; budget programming and monitoring; and IT. Therefore, the immediate office of the Secretary would also include the following positions:

- i. One G6 staff member, Assistant to the Secretary, who would also coordinate all other GS staff and be the focal point for the organization of meetings;
- ii. A G5 Programme Assistant, responsible for budget, including: planning, monitoring and reporting on the use of financial resources, both RB and Trust Funds; preparation of financial reports for the Secretariat and the Bureau/Finance Committee; and support to project operations, including opening, monitoring, carrying out budget revisions and closure of projects, long-term financial planning;
- iii. An IT and Webmaster support at P-3 or P-2 level, responsible for developing and maintaining the web and all on-line systems.⁶²

180. The Standard Setting Unit deals with a distinct area of work, with its own procedures and rules. In the new set-up, its mandate would focus on three sub-sets of activity:

- Conceptual ISPMs, particularly important for NPPOs;
- Commodity ISPMs, with stronger stakeholder involvement (stakeholders providing expertise and advice);
- Technical ISPMs developed by the Technical Panels for phytosanitary treatments and diagnostic protocols.

181. The post of the Standard Setting Unit manager, a Regular Programme post, should be re-profiled at the P-5 level, taking into consideration the responsibilities linked to the assignment. Competences and skills of the incumbent should include solid knowledge of standard setting processes, coordination and management. The Unit should also comprise two professional staff, one at the P-4 and one at the P-3 level, whose joint skill-mix should allow them to be primarily responsible for coordinating the work of the technical panels which is

⁶¹ General Service staff (GS) in FAO are responsible for administrative, operational and secretariat work, among others. Grade increase with Seniority, the highest in a unit of the size of the Secretariat being a G-6 staff.

⁶² Professional (P-) posts go from P-1, the most junior, to P-5, the 'senior' level, with more than 10/12 years of relevant professional experience.

highly specialized work for which continuity is warranted. The Unit will be supported with a G-5 and a G-4 staff. Additional staff should be on project posts or consultancy positions, to allow scaling down of staff should there be a decision to significantly decrease the number of Standards to be developed. Overall resource allocation, for the time being, would not decrease from current levels.

182. The Implementation Facilitation Unit would be newly created, by consolidating the currently dispersed streams of work that are not part of Standard Setting. The IFU would be responsible, and comprise the required skills and competences for the following areas of work:

- Identification of implementation challenges and their analysis;
- Identification of gaps in national phytosanitary capacity, including training PCE facilitators and the maintenance of the PCE tool;
- Facilitation of capacity development and implementation of the IPPC by CPs;
- Disseminating national reporting obligations and communication;
- Legal advice for CPs, including support to Dispute Settlement as required, and liaison with FAO Legal Office; and
- Support to Resource Mobilization and Advocacy.

183. The work of the IFU would be as important as Standard Setting, in particular taking into account the drive towards implementation among the CPs. This Unit should also be led by a senior officer at the P-5 level, with such competences and skills as enable the person to discharge both management and technical tasks as is typically the case in FAO at this level of seniority. Also, the selected officer should have a very solid knowledge of IPPC issues but also of FAO, so as to be able to develop the necessary network and synergies in-house as well as with other partners. He/she should be a manager, organizer, and team player and have working experience in or with developing countries to know what is required at that level to enhance the implementation of IPPC.

184. This Unit, however, given the breadth of scope of the proposed tasks, and the fact that the work-load might be rather variable depending on the availability of extra-budgetary resources, will require some flexibility in the number of staff on long-term positions. Thus, the Evaluation considers that this Unit should be staffed based on the required skill-mix to carry out the functions listed above, and that the selection process should favour candidates who are good team players and whose technical backgrounds are complementary to that of the rest of the team, senior officer included. In terms of total human resources assigned to this Unit, the Evaluation considered that 3 officers at the P-4 level, supported like the SSU by a G-5 and a G-4 staff, should be sufficient. Additional short/fixed term staff could be recruited, depending on the work-load and resources available through the Trust Funds.

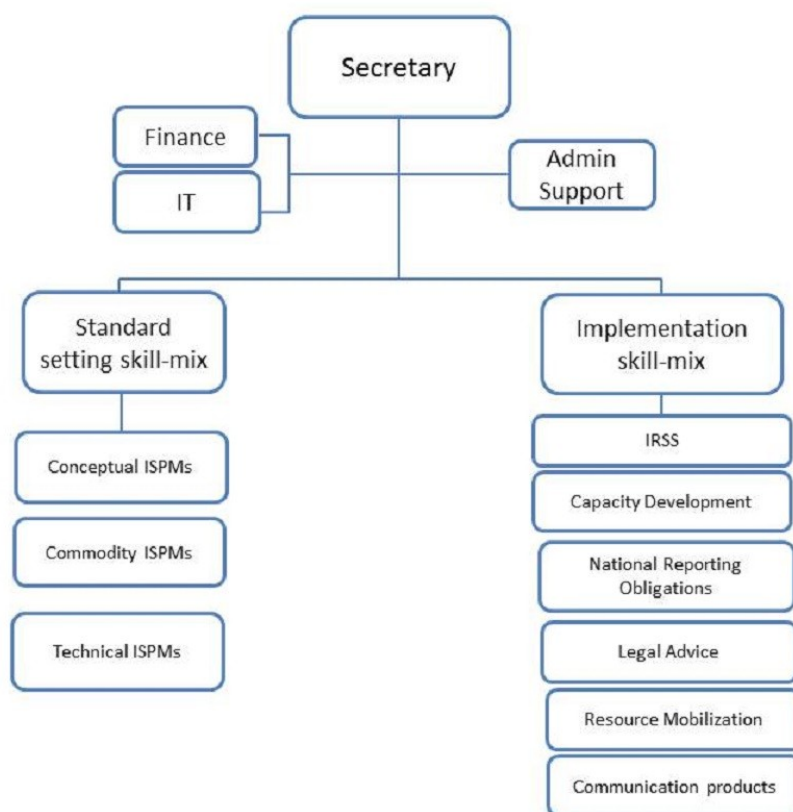
185. Additional expertise might be required, for example for the development of communication, and awareness-raising products, as well as for the use of social media in advocacy, on a part-time, or ad-hoc basis. It is difficult to calculate a cost for this, but experience would suggest that the order of magnitude should be around USD 40-50,000/year.

186. Equally, as also indicated, additional staff on project contracts could be recruited, for professional or administrative tasks, depending on the volume of extra-budgetary resources leveraged every year.

187. Box 8 shows the structure described above in a graphic format, and Box 10, its cost in terms of Human Resources, based on the 2014 cost of staff and consultants in FAO and on the projection of an allocation of Regular Budget Resources of the same order of magnitude as in most recent years. Recommendation 3 and paragraph 217 discuss the propose structure for the Secretariat.

188. The proposed structure, if implemented as proposed, would cost USD 2,461,000 per year, representing 83% of the Regular Budget allocation. This share is in line with the spending pattern of other technical units in FAO, where the real added value and comparative advantage of the Organization is embodied in its staff. Although a direct comparison cannot be made as the delivery figures for 2014 in Box 3 above might also include non-staff related costs, e.g. telephone and printing costs, the proposal re-balances the high cost of the current Management structure within the total Regular Budget allocation, currently at 39%, to a more reasonable 20%. Also, this proposal ‘absorbs’ core positions in the Secretariat that are currently paid through Trust Fund resources, which creates a high level of instability for key staff. The proposed increase of four Regular Budget posts, from 11 to 15, might be mitigated by creating two in the PWB and two in the form of short- or fixed term positions for the most junior grades, thus allowing a certain degree of flexibility.

Box 8. Proposed new structure for IPPC Secretariat



Source: Evaluation team

Legenda: Technical ISPMs = Panels on phytosanitary treatments and diagnostic protocols; Identification challenges = implementation challenges and PCE; Boxes within each unit indicate skills and competences required, not posts.

Box 9. Cost of the Proposed new structure for IPPC Secretariat⁶³

Area of work	USD	% of the Grand total	% of the Total RB
Management of IPPC Secretariat			
Secretary, D-1 level	252,000	10%	9%
G-6, Assistant to Secretary and coordinator GS	120,804	5%	4%
G-5, Programme Assistant, budget	109,440	4%	4%
P-2, IT/Web	129,804	5%	4%
Total	612,048	25%	21%
Standard Setting Unit			
Unit Manager, P-5	232,608	9%	8%
Standard Setting officer, P-4	201,744	8%	7%
Standard Setting officer, P-3	165,276	7%	6%
G-5, Administration Assistant	109,440	4%	4%
G-4, Administration clerk	96,372	4%	3%
Total	805,440	33%	27%
Implementation Facilitation Unit			
Unit Manager, P-5	232,608	9%	8%
Three technical officers at P-4 level	605,232	25%	21%
G-5, Administration Assistant	109,440	4%	4%
G-4, Administration clerk	96,372	4%	3%
Total	1,043,652	42%	35%
Grand total	2,461,140	100%	83%
Total RB allocation	2,950,000		

Source: Evaluation team

4 Relations with external stakeholders

Key findings

The International Plant Protection Convention and its Secretariat have a wide network of partners. Some of these relations were found to be active and fruitful. An area where there is scope for enhancing effectiveness is the yearly Technical Consultation with Regional Plant Protection Organizations, wherein collaboration should also be pursued with FAO regional plant protection officers.

189. In line with the FAO Strategy for Partnerships with the Private Sector⁶⁴ the Secretariat has engaged in the following different types of relationships with other organisations:⁶⁵

- Partnerships: RPPOs, Codex Alimentarius Commission, the CBD, WTO-SPS and STDF;
- Cooperation: CABI, Ozone Secretariat and with other organisations for CD (such as IICA);
- Liaison, according to the identified partners of IPPC.⁶⁶

⁶³ The 2014 un-lapsed rate for staff has been used here.

⁶⁴ FAO Strategy for Partnerships with the Private Sector: <http://www.fao.org/partnerships/private-sector/en/>.

⁶⁵ CPM 2014/21 Rev.1.

⁶⁶ See <https://www.ippc.int/partners/liaison>

1.17 Relations with Regional Plant Protection Organizations

190. Regional Plant Protection Organizations are recognized by the IPPC as coordinating bodies in the areas covered. They participate in various activities to achieve the objectives of the Convention and their role is described in Article IX of the Convention. The role and function of RPPOs has been further elaborated and recommendations were adopted by the Interim meeting of the CPM in 2005. Although the key role of RPPOs for the achievement of IPPC strategic objectives is clearly recognized, the diversity of the existing ten RPPOs is making it difficult to follow a uniform approach for collaborative arrangements between IPPC and the RPPOs.

191. RPPOs interviewees⁶⁷ highlighted several activities which are considered important collaborative activities with the IPPC Secretariat including:

- IPPC Regional workshops; often these workshops are organized by IPPC and RPPOs together with the regional FAO office.
- Pest-reporting by CPs, through RPPOs, to IPPC; this activity is in progress and will help to avoid duplication and improve pest-reporting to the IPPC;
- Assist in the standard setting process including hosting expert working groups or panels;
- Collaborate in the e-phyto project.

192. In general, the RPPOs were satisfied with the collaboration with IPPC although all of the interviewees suggested that stronger and more pro-active leadership by the IPPC Secretariat would be recommendable. It was noted that the IPPC Secretariat should speak with a unified voice which apparently was not always the case. RPPOs support the increasing emphasis on implementation of the IPPC and its standards and willing to cooperate with the IPPC Secretariat in implementation activities.

193. The Technical Consultation (TC) is a yearly meeting convened between representatives of RPPOs and the IPPC Secretariat, to encourage inter-regional consultation on harmonized phytosanitary measures for controlling pests and in preventing their spread and/or introduction, and to promote the development and use of relevant ISPMs.

194. The TC meeting is very important in providing an effective platform between RPPOs and IPPC Secretariat, for agreeing on common approaches and arrangements.. Information exchange between the regions has been an important element in the agenda of the TC, but also how RPPOs can contribute to the CPM work-program. A work-program of the TC is annually agreed, however in very general terms. Elaborating a more detailed joint work-program, with participation of FAO regional Plant Protection Officers, e.g. on implementation actions for the IPPC and its standards in the different regions, would definitely lead to a better use of the potential of RPPOs and FAO regional PPOs in achieving the goals of the Convention. The Evaluation team has formulated Recommendation 8 in this regard.

1.18 Relations with WTO-SPS, STDF, Codex Alimentarius and OIE

195. The WTO, in its Agreement on the Application of Sanitary and Phytosanitary Measures, recognizes three organizations for developing international standards, guidelines and recommendations: Codex Alimentarius for Food Safety, World Organization for Animal

⁶⁷ Due to time and budget restraints, the Evaluation team carried out phone interviews with three RPPOs.

Health (OIE) for Animal Health and IPPC for Plant Health. IPPC is actively participating in the WTO-SPS related activities (SPS-Committee, SPS-workshops) and STDF, coordinating and collaborating with Codex and OIE. The IPPC Secretariat's role in these activities was assessed through several interviews.

196. Codex, OIE and IPPC, among other participants including FAO, meet regularly in the SPS-Committee, established to provide a regular forum for consultations among WTO members, in which all have a permanent observer status. IPPC contributes actively to the discussion and functions as an important resource for plant health issues (24% of trade concerns raised over the last 19 years relate to plant health). The IPPC Secretariat is usually represented by the Secretary, the Coordinator or the Capacity Development officer although the SPS Secretariat would appreciate more contact with the IPPC standard setting officer.

197. The WTO-SPS Secretariat is observer at the CPM meetings, where it presents a report of the activities of the SPS Committee. The SPS-Secretariat may call on the IPPC Secretariat to support the formal plant health dispute settlement by providing lists of experts with particular expertise. This collaboration is appreciated as effective.

198. A number of specific technical assistance activities on the SPS Agreement, in particular workshops, are organized aimed at enhancing the knowledge and expertise of government officials from WTO developing country Members and Observers, so they can better understand and implement the Agreement, benefit from its provisions, and strengthen their capacities to engage in the work of the SPS Committee. IPPC Secretariat is invited to contribute to these workshops in regard to plant health issues. Participation in the workshops is either by Secretariat staff or consultants designated by the Secretariat.

199. Furthermore, Codex, OIE and IPPC meet each other regularly in the Standards and Trade Development Facility (STDF). The STDF is a joint initiative of the WTO, World Health Organization, World Bank, OIE and FAO for enhancing developing countries' capacity to meet SPS standards. Work includes sharing information on technical cooperation, and finance for projects.

200. IPPC has been effective in getting projects in the area of plant health, funded through STDF. However, in considering other Plant Health project proposals, IPPC Secretariat should take a more considerate and encouraging attitude. IPPC Secretariat should also respect the accountability requirements in a timely manner linked to STDF projects as this is expected from all partners implementing STDF projects.

201. The three standard-setting sister organizations Codex, OIE and IPPC all benefit from mutual contact and exchange in regard to generic issues and initiatives they develop to support their respective Parties. They maintain close contacts in addressing generic issues like principle of regionalization, equivalence and relation to private standards. They agree on the importance to maintain a good balance in protecting plant/animal health and by global harmonization, contribute to trade facilitation. In particular the IPPC IRSS and the PCE is highly esteemed by the other organizations.

202. IPPC actively sought input from Codex and OIE for improving the standard setting process by involving them in the Focus Group on Improving the IPPC Standard Setting Process (July, 2011). Although OIE admires the very thorough and solid process of standard setting in IPPC, they also think it is quite rigid and time consuming, making it very difficult

to quickly agree to a harmonized response addressing an emerging plant health risk and rapidly including latest scientific insights in the approved standards.

1.19 Relations with CBD

203. A Memorandum of Cooperation was signed between the Secretariats of the IPPC and the Convention on Biological Diversity (CBD) in 2004 with a view to promote synergy, to avoid overlaps and unnecessary duplication, and to ensure effective cooperation in joint activities. Since then three joint meetings have been held - at the last one (Montreal, 2013) activities for collaboration have been identified in light of the strategies adopted under the IPPC, the CBD and the Cartagena Protocol on Biosafety and recent meetings of their Governing Bodies. A joint programme of work for two years was drafted identifying common activities (such as co-organisation of regional-level cooperation on surveillance and environmental exchange experience on e-learning tools and consultation regarding the development of capacity-building materials) and activities to be undertaken by each Secretariat. This draft remains to be approved apparently due to some delays from the CBD.

204. The IPPC joined the Liaison Group of the Biodiversity Related Conventions (BLG) in September 2014. The BLG was established in 2004 by Decision VII/26 of the CBD with the aim of strengthening and building on existing cooperative arrangements to enhance synergies and reduce inefficiencies in a manner consistent with their respective mandates, governance arrangements and agreed programs, within existing resources.⁶⁸

205. The CBD has recognised that ISPMs provide effective guidance not only for protecting plant health but also for protecting the health of the ecosystems, habitats and native species and stressed the need to make progress on setting standards for the control of invasive alien species.⁶⁹ However this should be done respecting the autonomy of each Convention and the ownership of each respective multilateral agreement over its products. This will probably require the enhancement of the activities and competences on advocacy, outreach and partnerships by the IPPC Secretary.

206. At the recent COP 12 (6 - 17 October 2014) the CBD has adopted a decision⁷⁰ on how biodiversity-related conventions can access funding. This may provide a potential for IPPC to have access to the GEF Biodiversity Strategy focal area,⁷¹ which has an allocation of USD 1.69 billion for GEF-6 and is the largest individual focal area within the GEF. However the benefits for the IPPC of this partnership remain to be fully developed and explored, including the role to be played by NPPOs in interacting with the environmental agencies at national level. The Bureau meeting in October 2014 requested the Secretariat to: provide NPPOs with information on GEF and guidance on how to make proposals for the funds available through GEF; examine areas of the current work programmes that would benefit from the BLG collaboration and look for possible cooperation opportunities, especially for resources.

⁶⁸ The BLG comprises the following MEAs: comprises the following MEAS: [CBD](#), [CMS](#), [CITES](#), [Ramsar](#), [WHC](#), [ITPGRFA](#).

⁶⁹ Statement by the Executive Secretary of the CBD (who is the chair of the BLG) to CPM-8: https://www.ippc.int/sites/default/files/documents//1365347415_CPM_2013_INF_19_Statement_CBD_20.pdf.

⁷⁰ UNEP/CBD/COP/12/L.33.

⁷¹ GEF-6 Biodiversity Strategy at <http://www.thegef.org/gef/pubs/GEF6-BD-strategy>.

5 Conclusions and recommendations

1.20 The challenges for the IPPC

207. Contracting Parties are aware that the IPPC functions in a continuous changing world and that the relevance of IPPC requires rethinking how it operates and its long-term strategy. This has consequences for the CPM, the governance structure and the functioning of the Secretariat. In particular, the Secretariat should be flexible and pro-active in anticipating these changes. In the view of the Evaluation team, important developments that have a bearing on the way the Secretariat orients and focuses its work can be synthesized as follows:

- i. Need to facilitate Contracting Parties to implement the IPPC: this was stated a number of times by the CPs, while analyzing the challenges they face in implementing the Convention and its ISPMs, during the discussions on the need to reinforce the capacity development activities and by their request for being supported through a more holistic and integral manner in their efforts to comply with the IPPC and its ISPMs requirements;
- ii. Availability of public funding resources cannot be taken for granted and requires tremendous efforts in reaching out and explaining the relevance of the work done within the IPPC. IPPC and plant health is not a stand-alone issue but is linked to sustainable agricultural production and food security; it plays a role in maintaining biodiversity; it helps to prepare for climate change impacts on agriculture; it facilitates international trade and brings economic prosperity. Clear and effective outreach and advocacy among stakeholders in these areas is indispensable for mobilizing the resources to continue the work;
- iii. There is a clear trend and need to progress from global towards regional harmonization; IPPC may be very well positioned to connect these two. By closer collaboration with the RPPOs and the FAO decentralized offices network through the regional Plant Protection Officers, IPPC could be in the position to be equally relevant at a global, regional and local level, which is an important goal to pursue;
- iv. In global trade many countries strongly require simplified and straightforward regulatory systems. IPPC can contribute substantially as it works on harmonized ISPMs, in particular regarding plant health risks connected with trade of certain commodities. Better results could be achieved through early involvement of the stakeholders who need to work with the standards in the development of the ISPMs, and by considering potential implementation issues at an early stage of drafting the standards;
- v. Rapid availability of information is essential for NPPOs to function adequately. This includes the exchange of plant health information between CPs (e-phytos) as well as easy accessible plant health requirements of the CPs and/or real time information on the spread of pests for NPPOs;
- vi. Emerging pest situations require quick responses, preferably harmonized on a global level, before the cost of their control increases exponentially. The ability to do so by the CPs may appeal strongly to a wider public, making the relevance of IPPC much easier to understand and support. For example, among others the community would definitely be interested to know that CPM agrees on recommended harmonized action to deal with citrus greening in order to save citrus production.

208. The Evaluation team kept these developments in mind while considering how the work of the Secretariat could be enhanced in order that as a follow-up of this evaluation, there would be a robust Secretariat, able to face the challenges of the future.

1.21 Conclusions, recommendations and suggestions

209. The following paragraphs present the conclusions of the Evaluation team and the related recommendations and suggestions. In total, the report proposes 8 recommendations and some suggestions; for ease of reference, they have been grouped as follows:

- Recommendations regarding management and structure of the IPPC Secretariat;
- Recommendations regarding IPPC Secretariat and FAO;
- Suggestions regarding governance;
- Suggestions regarding IPPC Secretariat and external stakeholders.

Conclusions about the IPPC and FAO

210. The IPPC plays a key function in protecting plant health, by developing and harmonizing phyto-sanitary measures and thus facilitating international trade. In doing so, the support provided to expanding, strengthening and implementing the Convention represents a direct contribution to sustainable agriculture, maintaining biodiversity, food security and poverty alleviation.

211. The Convention has been fully integrated in FAO's results frameworks, including in the current Reviewed Strategic Framework, and contributes significantly and actively to the achievement of the Organization's goals. Close and constructive collaboration between the IPPC and FAO can generate important synergies in the achievement of their respective objectives.

Conclusions and recommendations regarding the management and structure of the IPPC Secretariat

212. The Evaluation team devoted most of its time to the analysis of the internal functioning of the Secretariat, its relationships with FAO, and the appropriateness of its resources to its mandate and tasks. A main conclusion was that the financial resources made available to the IPPC through FAO Regular Budget and extra-budgetary funds, and the staff resources in place as of 2014 to carry out the Programme of Work of the CPM, were sufficient to meet activities planned so far. If the work-load of Secretariat should increase to meet increased expectations and requirements of the CPs, two options will have to be explored: enhanced Resource Mobilization for additional extra-budgetary resources; and increased support from FAO Regular Budget, endorsed by FAO Conference. In both cases, part of the additional resources will have to be allocated to cater for additional human resources.

213. However, a number of weaknesses have been identified with regards to structure and management style, which affected the efficiency and effectiveness of its performance. The Evaluation came to the conclusion that the Secretariat, at the time of this assessment, was not able to adequately meet the needs of the CPs and could not meet the current and upcoming challenges in supporting the IPPC governance structure and in facilitating the implementation of the IPPC. There is thus an urgent need for an in-depth transformation on a number of aspects, to ensure that the IPPC Secretariat meets the expectations of the CPs and makes a better use of the resources available to it.

214. In the light of the above, and to improve the effective response to the needs and expectations of the CPs, the Evaluation team formulated Recommendations 1, 2 and 3. The detailed proposed actions for implementing the recommendation are also reported here for ease of reference.

Recommendation 1: To the IPPC Secretariat

The Secretariat should fully revise its working procedures and methods, aiming at improving internal communication and collaboration, transparent monitoring of work progress and reporting, and efficient and timely servicing of the CPM, and its subsidiary and ad-hoc bodies, and the Bureau. The actions proposed in the report should serve as the main guidance in the process.

215. The following procedures and practices are proposed, aiming at an integrated approach:

- a. One annual work plan and budget for the Secretariat should be developed and approved by the Bureau; it should include clear and achievable objectives, with a detailed as possible breakdown of activities, and required resources in terms of both staff and funding;
- b. Regular and frequent management meetings should be held, on work plan progress, with minutes recorded and circulated to all employees in the Secretariat;
- c. Regular IPPC Secretariat staff meetings should be held, to allow exchange, debate, development of a team spirit and sense of being one Office;
- d. IPPC staff should systematically attend AG Departmental meetings and activities, to enable improved collaboration;
- e. The IPPC Secretariat should develop closer collaboration with the office of the ADG/AG, for improved networking between the Secretariat and the rest of the Organization, including EMPRES Plants, the regional Plant Protection Officers, other Technical Departments and FAO Governing Bodies.

Recommendation 2: To FAO, about the profile and responsibility of the Secretary

In order to clarify the roles and responsibilities within the Secretariat, and ensure that the profile of the Secretary matches the challenges, it is recommended that:

- i) The profile of the Secretary should include: a proven record as strong and inspiring leader and as team player, and being authoritative in the plant health domain;
- ii) The external and internal leadership of the Secretariat should be the responsibility of the Secretary, who should embody the leader, manager, voice and strategist of the Secretariat and whose professional credibility and competence should act as leverage for resource mobilization and trigger partnerships;
- iii) The Secretary should be the person at the fore front, responsible for interacting with the CPM, the Bureau and the SBDS.

216. The structure of the Secretariat in 2014 was not conducive to facilitate communication and collaboration among the different units. The Evaluation team is fully aware that a new structure for the IPPC Secretariat could be a solution for only a few of the problems identified; and that personality issues, turf battles, and contractual obstacles will also have to be specifically addressed. Nevertheless, there is also much to say in favour of organigrams and job-descriptions that facilitate communication and collaboration across units, recognizing the role of each and every one in achieving the established goals. In this context, the Evaluation formulates Recommendation 3.

Recommendation 3: To the IPPC Secretariat, about its structure

The Secretariat should be re-structured and staffed to ensure a high degree of integration between the two main areas of work, Standard Setting and Implementation Facilitation. The elements entailed in the proposed organigram and skill-mix, in terms of tasks, number of staff and their profiles, should serve as the main guidance in this process.

217. The following elements of the structure are proposed, to facilitate implementation of Recommendation 3:

- a. the Secretary should be supported by GS-staff coordinator, Finance officer, IT officer and two (2) heads of units, each at the level of seniority indicated in the report;
- b. the IPPC Secretariat should be organized in two units: Standard Setting Unit (SSU); and Convention Implementation Facilitation Unit (IFU). The two units should be headed by a Unit Manager each, at P-5 level, who report to the Secretary;
- c. the post of Coordinator in the Secretariat should be re-profiled to be the head of the IFU and the current post of the Standard Setting group manager, should be re-profiled at P-5 level;
- d. the SSU should maintain its tasks as in 2014 and increase the number of Regular Budget posts assigned to the Unit from 2 to 3 to provide continuity in its highly specialized work;
- e. a new Unit, the IFU, should be created, to replace the IRSS, National Reporting Obligations and Capacity Development groups, and should be responsible for the following areas of work:
 - Identification of implementation challenges and their analysis;
 - Identification of gaps in national phytosanitary capacity, including training PCE facilitators and the maintenance of the PCE tool;
 - Facilitation of capacity development and implementation of the IPPC by CPs;
 - Dissemination of national reporting obligations and communication;
 - Front-desk on legal matters for CPs, including support to Dispute Settlement as required, and liaison with FAO Legal Office; and
 - Support to Resource Mobilization and Advocacy.
- d. the head of the IFU should deal with both management and technical tasks; 3 Regular Budget posts should be assigned to the IFU; the team should comprise a sufficient skill-mix to carry out the different areas of work;
- e. additional staff would be recruited on project contracts, depending on the volume of extra-budgetary resources; and
- i. cross-over activities between the two units should be formally introduced linking implementation consequences to standard setting and assuring consistency of implementation activities with adopted ISPMs. These cross-over activities could include the following actions:
 - The standard specification to be posted for CP-comments should contain a paragraph on potential implementation issues;
 - The draft standard for country consultation should also contain a paragraph on potential implementation issues;
 - The consistency with the IPPC and adopted ISPMs of implementation tools and documents should be assessed before these are made public; this applies in particular to updates of the PCE and implementation support materials produced by the Secretariat;

- Regional workshops addressing particular implementation issues and side events by the Secretariat during CPM meetings, should be jointly organized by SSU and IFU officers, as is currently already the case for the regional workshops.

Conclusions and recommendations regarding IPPC Secretariat and FAO

218. The IPPC is an Article XIV Body of FAO Constitution and likewise other bodies, conventions and agreements established under this article, it is part of FAO, must abide by the rules and procedures of the Organization, while having at the same time, a different set of Members and governance mechanisms.

219. One of the issues to be assessed by the Evaluation was the enabling and constraining factors to the IPPC Secretariat derived from the status of being an FAO Article XIV Body. The Evaluation analysed in depth the issues most frequently raised and concluded that, when all factors are taken into account, that IPPC gains more by being within FAO than being outside the Organization. Advantages include a significant contribution to the budget, the logistics and administrative set-up available in the Organization as well as its decentralized network of offices, significant benefits for staff, and last but not least, being part of a UN organization that is known to be a centre of excellence for agriculture.

220. Nevertheless, the Evaluation noted that the IPPC Secretariat staff strongly emphasized the constraining factors of being part of FAO, at the expense of the advantages and has taken very limited advantage of being part of FAO. The Evaluation team noted an ‘island’ mentality in the Secretariat; often staff were emphasizing how different the Secretariat is from other parts of the FAO, and through this belief, were distancing themselves from FAO. As a consequence very few units and divisions in FAO, besides the Codex Alimentarius and AGP, have a full understanding of the importance and objectives of IPPC.

221. This is also true for many of the Permanent Representatives who are rarely involved by the CPs in the affairs of CPM and IPPC. The risk of being rather unknown is evident in view of securing the biannual regular budget. Outreach and internal advocacy within FAO is very important and a task for the Secretary. Despite improvements in the institutional location of the Secretariat since January 2014, and the opportunities that FAO units and structure offers for synergies, progress in developing constructive collaboration with FAO was short of expectations. This may also have led to an unbalanced perception by CPs that FAO is not an enabling environment.

222. In order to tackle these issues, the Evaluation formulated Recommendations 4 and 5.

Recommendation 4: To the IPPC Secretary, about networking with FAO

The IPPC Secretary should take an active role in reaching out and advocating the mission of IPPC within FAO, and improve collaboration with the various units and divisions in the Organization, including the regional Plant Protection Officers, and taking advantage of the opportunities to present IPPC work and achievements to FAO Governing Bodies including the Committee on Agriculture, Council and Conference.

Recommendation 5: To the IPPC Secretariat, about knowledge of and compliance with FAO rules and procedures

The IPPC Secretariat should:

- i) develop a good institutional knowledge of FAO rules and procedures on the variety of issues that are of concern to its mandate and work, including on Trust Fund management, staffing, procurement, calendar of work, so as to ensure a smoother implementation of its activities;
- ii) maintain close contacts with other Article XIV Bodies to be able to address more effectively the administrative issues within FAO;
- iii) facilitate approval of duty-travel by presenting a travel plan, linked to the annual work-plan, to the ADG/AG, for approval;
- iv) invest in resource mobilization and long-term planning of the budget-flow of trust funds, to create more long-term project posts, that allow at the same time continuity and flexibility;
- v) fully comply with FAO project management procedures as currently laid out in the Project Cycle Management Guide, or in any future version thereof.

223. Some of the identified obstacles to a smooth functioning of the IPPC Secretariat were also linked to a number of FAO policies on staffing including limitations in contracts duration. With basis on the decisions in recent years made by FAO Members, about granting a certain degree of autonomy to those Article XIV Bodies that have the capacity to do so, the Evaluation formulated Recommendation 6.

Recommendation 6: To FAO, about flexibility in the application of rules and procedures to IPPC

FAO Management should consider the IPPC Secretariat's constraints caused by the current rules of the Organization regarding staffing, and identify in particular mechanisms that allow greater staff stability in the case of project posts and Non-Staff Human Resources.

224. The Secretary and the staff in the of IPPC Secretariat play a key role in the efficiency and effectiveness of the implementation of the Convention; however, given the high level specialization required for the posts, the pool of potential candidates is rather restricted. Also, although the Convention clearly states that the Director-General of FAO appoints the Secretary, the status of IPPC would require that the Bureau participates in the process. In this respect, the Evaluation formulated Recommendation 7.

Recommendation 7: To FAO, about the selection process of IPPC Secretariat

FAO Management, in consideration of the high level of specialization required in the Secretariat, should take measures with regards to the following:

- i. ensure that the best applicants for Regular Budget posts can be interviewed and included in the short lists of candidates for final selection, if so they deserve irrespective of their nationality; and
- ii. the CPM/Bureau should be closely engaged in the selection process regarding the appointment of the new IPPC Secretary.

225. Furthermore, it would be important that FAO were somewhat more pro-active vis-à-vis IPPC: opportunities for doing so could be, among others, facilitating the presentation of its work to FAO Governing Bodies and participation at the most senior level in some IPPC events, e.g. the CPM opening session.

226. Last, it is recognized that, as indicated by the IPPC Secretariat, the dual accountability line of the IPPC Secretary to FAO Senior Management and to the IPPC Governing Bodies could be a source of confusion and tension. Nevertheless, as long as IPPC stays within FAO, it is difficult to see alternatives to this set-up. It is a responsibility for all

Primary Stakeholders, and the Secretary in particular, to act in respect of this situation, through transparent and prompt consultation on all matters that may require so.

Conclusions and suggestions regarding governance

227. Although an analysis of governance of IPPC was not included in the ToR, the Evaluation team found that the work of the Secretariat was affected by some inefficiencies and gaps in the exercise of the governance function. This led to some in-depth analysis of the governance mechanisms that in turn, generated some suggestions, i.e. options for the CPs and IPPC Secretariat to consider, that address the efficiency and effectiveness of the IPPC governance itself to enable improved implementation of the Convention as a whole.

228. The governance mechanisms of the IPPC appear to suffer from excessive proliferation of bodies. This does not help the efficiency and effectiveness of the decision-making process for both aspects of the function, oversight and guidance, and increases costs, real and transactional, for the CPs and the Secretariat. There is clearly a need for streamlining both governance and management before arguing for additional financial resources.

229. A number of suggestions are proposed, as detailed in the report, aimed at enhancing efficiency and containing costs of the IPPC governance system:

- a. a full CPM session of one week should be held on a biennial basis, in the second year of FAO planning cycle, after the FAO Conference; the mandate of this CPM session would remain unchanged from present;
- b. a shortened CPM meeting should be held in the first year of FAO planning cycle, possibly attended by Permanent Representatives, for both cost-saving and awareness raising purposes; the agenda for this sessions may include adoption of ISPMs, for which no formal objections have been raised, annual work programme, membership and potential replacements for CPM subsidiary and ad-hoc bodies;
- c. the SPG and the FC should be abolished, and their functions fully integrated in the mandate of the Bureau; the Bureau should call on CPs to participate in an extended Bureau meeting, while addressing particular strategic issues in order to benefit from a broader input;
- d. the earlier recommendations made by the 2007 evaluation and the deliberations of the 2011 Focus group on the composition of the Standard Setting Committee should be reconsidered for action;
- e. the CPM should give priority to the pending dispute raised by South Africa in 2010 and make full use of the provisions developed by the SBDS or make the SBDS dormant adopting instead a more informal dispute-avoidance approach;
- f. one advisory body should be created, the nature of which will have to be determined by the CPM, to support implementation and provide capacity development for CPs; this body would replace the current ad-hoc bodies on CDC, IRSS TRG and NROAG and assume their mandates;
- g. a standing agenda item for the CPM should be introduced, to keep track of the requests and inform about their status of execution; and
- h. before new tasks are added to the CPM Programme of Work, the Secretary should inform the Bureau about the relevant staff and financial implications.

230. The negative consequences resulting from holding a full CPM on a biennial basis, mostly linked to missing one opportunity among CPs to interact and exchange, should be attentively weighed against the generated financial and time savings. In terms of financial disbursements over a biennium triggered by the suggestions above, savings should be in the

order of USD 200,000, i.e. approximately 16% of the total governance costs and 2% of total resources available. It was not possible to assess the efficiency-gains in terms of staff time, given the absence in FAO of a time-use recording system. Nevertheless, anecdotal evidence suggests that for four months per year as a minimum, a significant portion of the Secretariat staff's time is dedicated to servicing the CPM.

Conclusions, suggestions and recommendations regarding IPPC Secretariat and external stakeholders

231. The Regional Plant Protection Organizations are recognized by the IPPC as coordinating bodies in the areas covered and participate in various activities to achieve the objectives of the Convention, among which the Technical Consultation (TC) meetings held on a yearly basis are very important in providing an effective platform between Regional Plant Protection Organizations and IPPC Secretariat. The contribution of the TC to the implementation of the IPPC could be enhanced by requiring from the TC the establishment of an annual collaborative work programme of IPPC, RPPOs and FAO regional Plant Protection Officers. This work programme should detail how the TC participants will contribute to achieving the IPPC, in particular in implementing the Convention and its standards. Recommendation 8 tackles this issue.

Recommendation 8: To the IPPC Secretariat on collaboration with RPPOs and FAO regional plant protection officers

The IPPC Secretariat should take the lead to reinforce the Technical Consultations by:

- i. involving FAO regional plant protection officers; and
- ii. establishing common actions and plans by IPPC Secretariat, RPPOs and regional plant protection officers.

232. Last, IPPC benefits from contributing to WTO-SPS and participation in STDF in terms of visibility of plant health work by WTO-members and by obtaining funds for capacity development activities. It is important to nourish this relationship and seek an attitude to encourage countries in their efforts to improve their plant health arrangements in their countries. In this context, the Evaluation **suggests** that the IPPC Secretariat fulfils, in a timely and appropriate manner, the administrative requirements in regard to STDF projects.