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Unidas  
para la  
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y la  
Alimentación

## COMMISSION ON PHYTOSANITARY MEASURES

### First Session

Rome, 3 – 7 April 2006

### Analysis of the Application of the Phytosanitary Capacity Evaluation Tool (PCE)

### Agenda Item 15.1 of the Provisional Agenda

#### I. Introduction

1. The Phytosanitary Capacity Evaluation (PCE) tool was developed to assess a country's capacity in relation to its implementation of the IPPC and the International Standards for Phytosanitary Measures (ISPMs). The PCE has been modified over time to take account of new ISPMs and comments from facilitators. It is a significant component of the Strategic Direction No. 4 (The development of the phytosanitary capacity of members by promoting the provision of technical assistance) and Article XX of the IPPC.

2. The PCE tool has now been used in over 60 countries, and its application is built into many projects of the FAO Technical Cooperation Programme funded in response to requests from countries for assistance in developing their phytosanitary systems. A multilingual version (English, French, Spanish and Arabic) now allows for repeated use, for tracking progress through time. The PCE tool is available on a CD-Rom and on the International Phytosanitary Portal. A short user guide has also been published.

#### II. The Study

3. At its Sixth Session in 2004, the ICPM endorsed a proposal to conduct an analysis of the application of the PCE. The IPPC Secretariat contracted CAB International (CABI) to undertake the study during 2005 with the expectation that the results would be reported to the ICPM/CPM in 2006. A meeting of the Informal Working Group on the PCE (IWG-PCE) held in Rome in 2005 directed that the study should be global in scope, and cover the following areas:

- Critical assessment of the PCE as a needs assessment tool, with recommendations for enhancements.
- Review of the educational value of the tool in training and awareness raising.

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- Assessment of the impact on strategic planning at the national level.
- Assessment of impact on other organizations internationally, including IPPC, FAO and donor and development organizations.

### III. Study Procedure

4. The plan for the study, which has been endorsed by the PCE working group, is attached in Annex 1. The study comprises 9 steps.
1. Formation of an advisory group.
  2. Development of the study plan.
  3. Desk study and review of PCE documentation, results and previous analyses
  4. Development of study instruments.
  5. Distribution of questionnaires to NPPOs.
  6. Telephone interviews with NPPOs and key informants.
  7. Selected visits to NPPOs, other organizations, meetings.
  8. Data analysis and report writing.
  9. Discussion of the report, and finalization.

### IV. Current status of the study

5. Steps 1 through 5 above have been completed, although input from NPPOs and other interested parties (particularly key informants, such as funders and technical assistance agencies) is still welcome. Follow up with individual NPPOs is in progress for validation, and where further clarification or detail is required beyond the information provided in the questionnaire.
6. An advisory group for the study has been formed consisting of nine international experts in phytosanitary systems, evaluation and development. The group has provided inputs to the scope of the study and to the methodology and survey instruments.
7. Completed PCE datasets have been assembled for a number of countries from all regions where the PCE has been implemented. In order to maintain confidentiality of country results, the data is being consolidated into a single (unattributed) database for analysis. The different versions of the PCE that have been used over the years means this is not straightforward, but the aim is to analyze the data to address the questions identified in Annex 1. This analysis is now in progress.
8. A review of approaches to capacity needs assessment and capacity building in the context of the IPPC has been undertaken, including a comparison of the PCE with other needs assessment tools used in the sanitary and phytosanitary area. Differences between the PCE and other approaches have been identified and assessed for possible inclusion in the PCE.
9. A list of key informants involved with SPS capacity building has been compiled and interviews held. As the analysis of the PCE and questionnaires continues, additional key informant contacts will be made as appropriate.
10. The progress of the study has been constrained by the scope of the study, inherent difficulties in obtaining information from some NPPOs, inadequate documentation especially for those countries who used the earlier paper version of the PCE tool, and change of key personnel involved in the application. The results are now being anticipated for reporting to CPM-2 in 2007.
11. The CPM is invited to:
1. *Note* the report.

**Annex 1****PLAN FOR CONDUCTING THE STUDY ON THE IMPACT OF THE PCE**

In each of the four parts to the study a number of questions are listed that the work will aim to address.

**1. Assessment of the PCE as a needs assessment tool**

- a. What is meant by capacity building in the context of the IPPC?
- b. What capacity building needs does the PCE assess and how effectively?
- c. Are there any gaps in the scope of the PCE?
- d. How does the PCE compare to other SPS capacity needs assessment tools?
- e. How could the PCE as a needs assessment tool be enhanced?

**Information sources:**

- Desk study (a,b,c,d)
- NPPO Questionnaire and key informants (b,c,e)

**2. Educational value of the PCE**

- a. How does the PCE serve as a training and awareness raising aid?
- b. Who have been the main beneficiaries in this respect?
- c. How does the training and awareness raising role of the PCE compare to other approaches to SPS education?
- d. How could the PCE as a training and awareness aid be enhanced?

**Information sources:**

- NPPO Questionnaire (a,b,d)
- Key informants (all)
- Desk study (c,d)

**3. Impact on national strategic planning**

- a. How has the PCE been conducted? (Who was involved, what was the facilitator's role, what sources of information were used etc).
- b. How has use of the PCE contributed to national SPS planning? (What plans have resulted from its use?)
- c. Has use of the PCE assisted with obtaining funding (national or external) for the NPPO?
- d. Has the PCE and its outputs been used for monitoring and evaluation of phytosanitary capacity building or implementation of strategic plans?
- e. How could the PCE be enhanced to improve its value in strategic planning?

**Information Sources:**

- Completed PCEs (a,b)
- NPPO Questionnaire (all)
- Key informants (a,b,e)

**4. Impact on other organizations**

- a. How has the use of the PCE affected the design of technical assistance programmes and projects?
- b. Has use of the PCE facilitated co-ordination between different technical assistance agencies?
- c. Is there scope for adapting the PCE for other uses, such as a mutual recognition tool?
- d. How could the PCE be enhanced to improve the design and co-ordination of technical assistance?
- e. Has the use of the PCE had any additional, unexpected impacts?

**Information sources:**

- Key informants (all)
- NPPO Questionnaire (all)

**Information sources/instruments**

**1. NPPO Questionnaire.** This will be e-mailed to all countries known to have used the PCE. It will be designed to address the questions identified above. A covering letter from IPPC Secretariat was prepared to accompany the questionnaire. Follow up telephone calls will be made to respondents, and to clarify responses as necessary. Face to face meetings will be sought through attendance at fora where several NPPOs are expected to be present and short country visits to selected countries.

**2. Completed PCEs.** It would be desirable to have available a copy of the results from completed PCEs. IPPC Secretariat was requested to provide these (where possible).

**3. Key informants.** There are several organizations from which it could be useful to solicit information:

- Funders of technical assistance
- FAO (including food safety and animal health staff)
- World Trade Organisation, World organisation for animal health (OIE), Codex Alimentarius
- Regional Plant Protection Organizations
- Technical assistance agencies (IICA, CG centres)
- PCE facilitators.

**4. Literature/desk study.** This will include other capacity and needs assessment methods and tools in the SPS arena; studies on the results of the PCE; studies on SPS capacity assessment building; technical assistance project documents; NPPO strategy documents.

**5. Meetings.** Possible meetings where a number of key informants might be available (taken from the IPP calendar).