

CONCEPT PAPER ON NATIONAL PHYTOSANITARY CAPACITY

1.1 Introduction

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

1.2 Phytosanitary Capacity

National Phytosanitary Capacity is defined as:

“The ability of individuals, organizations and systems of a country to perform functions effectively and sustainably in order to protect plants and plant products from pests and to facilitate trade, in accordance with the IPPC”.

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

- By referring to the individuals, organizations and systems of a country, it is recognized that national phytosanitary capacity combines the knowledge and functions of many entities in a country, not just NPPOs.
- By referring to systems of a country, it clarifies that national capacity includes the ability for individuals and organizations to cooperate and communicate, both formally and informally. Such cooperation may be national, regional and international.
- The functions which need to be performed are technical, legal, administrative, and managerial. Capacity includes the ability to develop and apply knowledge, skills and tools appropriate to these functions.
- Each country will have its own level of capacity and it is recognized that phytosanitary capacity is not static and changes over time.
- The phytosanitary capacity, current or aspired to, will be influenced by overarching national policies and international obligations that may or may not be directly related to plant health considerations.
- Many things contribute to the sustainability of the performance of functions. These include but are not limited to:
 - An enabling environment in countries such as policies which allow plant health activities to evolve and adapt to changing circumstance; plant health regulations which empower NPPOs to function; visibility and understanding of the IPPC and understanding of the importance of implementation
 - private-public partnerships
 - programs for staff retention
 - mobilization of resources, including cost recovery policies
 - viable business plan(s) for protecting plant health and trade
 - national commitment to sustain phytosanitary capacity
- The definition for phytosanitary capacity refers to the ability to protect plants and plant products from pests. This ability to support biosecurity¹ also contributes to achieving other national or international goals under other initiatives which deal with protecting biodiversity, food security, and poverty reduction.
- Referring to the IPPC in the definition aligns national phytosanitary capacity with the Convention.

¹ According to FAO biosecurity covers food safety, zoonoses, the introduction of animal and plant diseases and pests, the introduction and release of living modified organisms (LMOs) and their products (e.g. genetically modified organisms or GMOs), and the introduction and management of invasive alien species.

DRAFT STRATEGY FOR NATIONAL PHYTOSANITARY CAPACITY BUILDING

1. Introduction

A strategy is designed to work towards a vision, or a future desired situation. In developing the strategy the current situation or starting point must also be considered. Based on the definition of national phytosanitary capacity, the vision is that all countries in the world have the ability to perform functions effectively and sustainably in order to protect plants and plant products from pests and to facilitate trade, in accordance with the IPPC.

In such a situation we would expect to see:

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

2. Situation analysis

A situation analysis provides the justification and a starting point for the phytosanitary capacity building strategy. Various phytosanitary capacity situation analyses have been carried out over the past two or three years for a variety of purposes. The results of these analyses provide at least a partial situation description of the capacity building situation for the IPPC (encompassing the CPM, the IPPC Secretariat, the NPPOs, and the contracting parties).

- The independent evaluation of the workings of the IPPC and its institutional arrangements analyzed the technical assistance activities of the IPPC Secretariat, the decisions and follow-up of (I)CPM decisions, and made recommendations regarding technical assistance and strengthening phytosanitary capacity. The evaluation included the observations that: there have been no priorities set for capacity building activities by the IPPC Secretariat; staff resources in the Secretariat were not sufficient to carry out TCP projects and provide follow up; scarce Secretariat resources were used for non-core IPPC capacity building activities; there was little donor involvement in phytosanitary capacity building projects. The evaluation recommended that IPPC should not be involved with phytosanitary capacity building projects, except for core activities such as training workshops for the implementation of standards, IPPC meeting attendance and support to the International Phytosanitary Portal. The CPM rejected the recommendation and decided to develop a phytosanitary capacity building strategy.
- The discussion paper prepared by the World Trade Organization for the OEWG on building national phytosanitary capacity showed that plant protection projects are typically last on the list when it comes to disbursements related to training. It also noted that the confidentiality of the results of the PCE tool limits its usefulness from the perspective of coordinating technical cooperation activities.
- The evaluation carried out by CABI of the PCE showed that the PCE is a valuable tool in assessing a country's phytosanitary capacity, but falls short in several areas and is not always used as the basis for national development plans.
- The OEWG-BNPC noted that:
 - There is often poor communication on the importance of plant protection within countries; national governments may set policies and priorities that are not in line with the objective of preventing the spread of plant pests; public/private partnerships are useful and essential to the sustainability of plant protection programs; regional approaches work; there is a need for information of new and emerging plant pest issues.
 - "Plant protection" and "plant quarantine" do not capture attention in the way that "biosecurity" does.

- The low profile of IPPC internationally and of plant protection programs nationally, resulting in a perceived non-importance of plant protection, has resulted in few available resources and difficulty in acquiring resources, both for the Secretariat and to carry out the work programme of the IPPC.
- The OEWG-BNPC recognized that:
 - Implementation of standards can be complex, involving many different areas. Currently there is a gap between the development of standards and their implementation.
 - The proposed implementation review and support system, in particular the establishment of a help desk for the IPPC has not progressed.
 - Not all RPPOs are equal and activities suggested to be carried out by RPPOs will not all be carried out to the desired level.
 - The capacity levels of countries are very different. Thus a one-size-fits-all approach will not work.
 - Phytosanitary capacity building is going on, but often the different initiatives are not well coordinated. There is a need to find out where the gaps are and prevent duplication.

3. Draft Strategy

The table below summarizes the proposed National Phytosanitary Capacity Building Strategy. The six strategic areas are the components of a global strategy with stakeholders at national, regional and international level, each with a role to play. Currently the activities listed in column 2 of the strategy are those in which the IPPC Secretariat is envisaged as being directly involved. In some areas the Secretariat has a lead role to play, while in others, such as national phytosanitary planning, the Secretariat can support or assist an activity led by another stakeholder. For each activity, some further detail is provided as to how the activity would be undertaken.

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

3. Coordination and communication	<ul style="list-style-type: none"> collect, collate and disseminate information on plant protection programmes 	<ul style="list-style-type: none"> define exactly what information to collect from whom (countries, donors, through linkages, all other partners) take advantage of existing databases, projects, CPM meeting reports
	<ul style="list-style-type: none"> document world plant pest status (emerging issues), including regional perspectives (annual report as an advocacy tool) 	<ul style="list-style-type: none"> analysis of pest occurrence at national and regional levels, report of pest concerns at CPM. Other official reports of the Secretariat or FAO Committee/Council such as State of Food and Agriculture (SOFA) develop early warning system
	<ul style="list-style-type: none"> advise countries and donors on possible synergies and opportunities collaboration with partners (implementation and supervision agreements, initiatives, etc) – Standards and Trade Development Facility (STDF) projects, World Bank missions, Centers of Phytosanitary Excellence (COPE), etc 	<ul style="list-style-type: none"> use linkages to make better programmes (benefit to NPPOs) continue existing agreements actively seek further opportunities to collaborate/provide technical input to programmes of others engage stakeholders by convening international consultative group on phytosanitary capacity building
	<ul style="list-style-type: none"> create mechanism for matchmaking for mentoring, coaching and assistance 	<ul style="list-style-type: none"> create similar format to the one used by for mentoring SPS Inquiry Points
4. Resource mobilization and management	<ul style="list-style-type: none"> determine resource needs for IPPC secretariat related to capacity building assess current resources available to IPPC to deliver capacity building strategy (targeted, trust fund, slush fund, assistance in-kind) support NPPOs in raising funds for priority projects obtain further resources and ensure effective use of resources maintain and develop IPPC capacity building programmes 	<ul style="list-style-type: none"> prepare paper on staffing requirements for CB for CPM-4 raise funds (see resource mobilization paper presented under CPM-4 agenda item 13.6.6) hire a dedicated fund raiser Secretary takes raised profile for fundraising
5. Advocacy	<ul style="list-style-type: none"> adopt “Paris principles” for phytosanitary capacity building activities (national commitment, etc) 	<ul style="list-style-type: none"> OEWG/sub group to draft principles for effective phytosanitary capacity building for approval by CPM SPTA reviews principles

	<ul style="list-style-type: none"> • help countries ‘embed’ phytosanitary considerations in policy and national development strategies • assist phytosanitary authorities to communicate effectively with other institutions within their country, with other countries and with regional organizations 	<ul style="list-style-type: none"> • CPM 5 adopts principles • conduct sensitisation activities for policy makers • develop training modules for phytosanitary authorities in effective communication and advocacy
	<ul style="list-style-type: none"> • enhance visibility of IPPC (and phytosanitary concerns) among development partners • encourage adoption of risk-based approaches 	<ul style="list-style-type: none"> • IPPC communication activities (publication, communication products, films, etc) • access to governing bodies (especially FAO, but also RECs); FAO and other goodwill ambassadors to reach senior decision makers
6. Sustainability, monitoring and evaluation of capacity building	<ul style="list-style-type: none"> • develop approaches for impact assessment for phytosanitary capacity building (in accordance with “Paris principles” and regarding IPPC strategy) • monitoring to assess impact of capacity building activities (review and evaluation) • monitor and continuously improve IPPC capacity building programmes 	<ul style="list-style-type: none"> • ensure involvement of all stakeholders (including creating networks for sustainability, involving universities, public-private partnerships, etc) • link to other national initiatives
	<ul style="list-style-type: none"> • develop IPPC ‘seal of approval’ for capacity building programmes 	<ul style="list-style-type: none"> • develop, test and adopt criteria for ‘seal of approval’ • promote with donors and countries