



International Plant Protection Convention

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Phytosanitary Capacity Evaluation Tool (PCE)

The PCE, or *Phytosanitary Capacity Evaluation*, is a management tool designed to help a country to identify both strengths and gaps in its existing and planned phytosanitary systems.



Benefits of the PCE

The PCE generates a snapshot of a country's phytosanitary capacity at a particular time, as the basis for planning phytosanitary capacity building. The PCE process also provides a framework for rational strategic planning to prioritise activities/resources to fill gaps and enhance the effectiveness of the overall phytosanitary system. Through the PCE process a strategic framework is developed that provides the basis for dialogue with donors of development aid, and thus improve the likelihood of access to further funding.

The PCE should be used to examine the capacity of the National Plant Protection Organization (NPPOs) in relation to implementation of International Standards for Phytosanitary Measures (ISPMs) and the rights and responsibilities described in the IPPC.

Many countries have used the PCE to support strategic planning at the national level for the phytosanitary system, i.e. preparation of a national phytosanitary action plans (NPAPs), where these plans are generally the same inputs that are introduced into national development plans and agenda.

These plans developed on the basis of the PCE are suitable, in the case of Africa, for inclusion into the Comprehensive Africa Agriculture Development Programme (CAADP) process lead by the African Union's New Partnership for Africa's Development (NEPAD) programme for each country.



How is the PCE Applied?

The PCE is designed to be implemented at a pace defined by the country working to a plan with milestones and deadlines. The IPPC recommends that the optimal resourcing involves the allocation of a knowledgeable and experienced facilitator and up to 8 module coordinators deployed for a finite number of weeks.

The IPPC recognises that the best practice arising from a PCE is that it is most effective when the evaluation is commissioned under the authority of a Minister, whose conferred strategic leadership can be adopted by the PCE project manager and coordinators. The process is usually initiated by a formal letter of request to the IPPC (FAO) from the NPPO or by the relevant Minister, but in some cases (countries) it has been at a higher Executive level.

The entire process is under the control of the country – it is not something that is done TO a country, it is a framework that the country adopts for its own purposes and benefits. The IPPC recommends that a complete PCE be applied every 3-4 years. The country may opt to repeat specific modules more frequently as the case necessitates. That decision remains with the national authorities. The PCE is modular – with 13 modules (representing components of an effective SPS system) which can be selected



and applied in total or in clusters according to the preferences of the NPPO or its strategic owners. This flexibility offers the scope for an initial evaluation and for the re-run of selected modules over time.

Through the process, gaps are identified through a consensual and confidential process of consultation amongst stakeholders (public and private) of a phytosanitary system. The result would be a confidential (to the country) output that consists of a situation analysis, and a strategic plan in the form of logical frameworks that can be used by the NPPO or Ministry or donors and technical assistance providers to build/strengthen phytosanitary capacity.

In essence, the PCE process involves determination of which of up to 13 modules encompassing the full phytosanitary system will be applied, and for each module a wide variety of representative stakeholders (from both public and private sectors) are identified and approached using a focussed semi-structured questionnaire model.

The results generated through use of the PCE are intended to be used by NPPOs, and more broadly by government agencies, as a basis on which to identify capacity building or infrastructure needs and actions to address them. A PCE report is prepared which has the potential to be a powerful persuasive factor in the success of submissions for focussed aid projects. The findings are not publicly released unless a country wishes to use or present their PCE results externally.



Who Should Be Involved in Conducting a PCE?

It is recommended that six to eight staff from the NPPO and, as much as possible, two to three non-NPPO representatives from appropriate research institutes or agricultural universities or agro-industries or import/export associations etc. is involved in application of the tool.

Although the PCE was designed as a “self-assessment” exercise, however, in practice, an external consultant usually facilitates the application of the PCE. To obtain a consensus answer amongst the stakeholders, a workshop is held (often run by an experienced facilitator) and coordinators complete the questionnaires. The consensus is then used for a problem analysis and an assessment of strengths, weaknesses opportunities and threats (SWOT analysis), which then leads to the development of a logical framework, from which the manager and advisers can complete a national phytosanitary action plan (NPAP).



History

The PCE Tool was developed with assistance from the New Zealand Government in 1999 to assess the capacity of National Plant Protection Organizations (NPPOs), regardless of development level, in relation to implementation of International Standards for Phytosanitary Measures (ISPMs) and the rights and responsibilities described in the International Plant Protection Convention (IPPC).

The PCE is the first of the SPS-related situation analysis methods developed. The tool was pilot tested in six countries (Cook Islands, Fiji, Solomon Islands, Indonesia, Bangladesh and Viet Nam), and subsequently revised, updated and expanded.

In 2001, the Interim Commission on Phytosanitary Measures (ICPM) agreed that the IPPC Secretariat should ensure that the PCE tool was updated and maintained. A major revision of the PCE Tool was released in November 2004 as a multilingual CD-ROM version which included French, Arabic and Spanish language capabilities.

Further, a review of the PCE tool was completed in 2007. The review noted the positive impacts of the PCE at the national level, specifically its role in supporting the identification of capacity building needs and strategic planning, identifying areas for increased budgetary allocations, emphasizing the importance of appropriate legislation, increasing awareness about the IPPC and enabling NPPOs to present their needs more effectively to government and donors.

As a result of the review, the IPPC secretariat revised the tool in 2010 on the basis of the recommendations of an Informal PCE Working Group and the external review. As a consequence the tool has been migrated into a web only version. The purpose for the migration is to provide countries with a stable platform accessible through the internet and a secure area to store PCE sessions over a number of years with the ability to compare recent sessions with those done in the past. The PCE version sought to address the concerns of some contracting parties as well as the external review.



Countries & Territories* Where the PCE Has Been Applied

The PCE process has been applied in over 80 countries to date (January 2011) with numerous repeats in some countries:

Afghanistan	Fiji	Mozambique	Sudan
Antigua and Barbuda	French Polynesia*	Myanmar	Suriname
Azerbaijan	Gabon	Nauru	Swaziland
Bahamas	Grenada	Nepal	Syria
Bahrain	Guam	New Caledonia*	Tanzania
Bangladesh	Guatemala	Nicaragua	Thailand
Barbados	Guinea Bissau	Niue	The Gambia
Belize	Guyana	Niger	Togo
Benin	Haiti	Nigeria	Tokelau
Bhutan	Honduras	Oman	Tonga
Bolivia	India	Pakistan	Trinidad and Tobago
Burkina Faso	Indonesia	Palau	Tuvalu
Cambodia	Iran	Panama	Uganda
Colombia	Jamaica	Papua New Guinea	United Arab Emirates
Cook Islands	Kenya	Peru	Vanuatu
Costa Rica	Kiribati	Qatar	Venezuela
Cote d'Ivoire	Kuwait	Samoa	Viet Nam
Dominica	Kyrgyz Republic	Saudi Arabia	Wallis and Futuna*
Dominican Republic	Lao PDR	Senegal	Zambia
Ecuador	Lesotho	Solomon Islands	
El Salvador	Malaysia	St. Lucia	
Eritrea	Mali	St. Kitts and Nevis	
Estonia	Marshall Islands	St. Vincent and the Grenadines	
Federated States of Micronesia	Mexico		



How is a PCE Financed?

Some contracting parties are capable of financing the process unilaterally, e.g. from the national budget. In other situations, donors may pay for the application of the PCE. The IPPC does not fund the application of a PCE but works in close collaboration with donors to provide the support for the application of a PCE when requested. In the case of FAO funded projects, the IPPC liaises closely with the FAO Technical Cooperation Programme (TCP) to address country requests for technical assistance and requires countries to perform a PCE when phytosanitary issues are raised.

The main preference, however, is for the PCE to be performed before a full project is prepared. In the case of FAO, TCP Facility (TCPF) funds may be used to perform a PCE and formulate a project on the basis of the results.



The STDF as a donor of technical assistance also requires a PCE to be performed as a pre-condition in assessing fitness for funding of project proposals submitted for consideration to its Working Group. Other donors, such as the World Bank, are considering a similar requirement. Regional Plant Protection Organizations and other aid or technical assistance donors may also commission a PCE with their own resources.

In all cases some counterpart resources should be considered and allocated at the national level to undertake planning, stakeholder identification and resource allocation for workshops to support and ensure that the PCE process is successfully completed.



Contact for More Information

International Plant Protection Convention (IPPC)

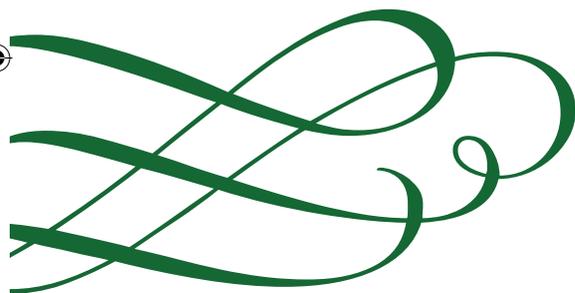
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