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Independent Evaluation of the Workings of the International Plant Protection Convention and its Institutional Arrangements

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ABBREVIATIONS

AGP	Plant Production and Protection Division (FAO)
APO	Associate Professional Officer
AU	African Union
CAHFSA	Caribbean Agricultural Health and Food Safety Agency
CBD	Convention on Biological Diversity
CGIAR	Consultative Group on International Agricultural Research
Codex	Codex Alimentarius Commission
COSAVE	Comité de Sanidad Vegetal del Cono Sur
CPM	Commission on Phytosanitary Measures
CPPC	Caribbean Plant Protection Commission
EC	European Commission
EPPO	European and Mediterranean Plant Protection Organization
EWG	Expert Working Group
FPMIS	Field Programme Management Information System
GATT	General Agreement on Tariffs and Trade
ICPM	Interim Commission on Phytosanitary Measures
IPFSAH	International Portal on Food Safety, Animal and Plant Health
IPP	International Phytosanitary Portal
IPPC	International Plant Protection Convention
ISO	International Organization for Standardization
ISPM	International Standard on Phytosanitary Measures
MTF	Multilateral Trust Fund
NAPPO	North American Plant Protection Organization
NGO	Non-Governmental Organization
NPPO	National Plant Protection Organization
OECD	Organization for Economic Cooperation and Development
OIE	World Organization for Animal Health
PCE	Phytosanitary Capacity Evaluation
PVS	Performance, Vision and Strategy
RPPO	Regional Plant Protection Organization
SBDS	Subsidiary Body on Dispute Settlement
SC	Standards Committee
SG	Support Group

SPS	Sanitary and Phytosanitary Measures
SPTA	Strategic Planning and Technical Assistance
TCP	Technical Cooperation Programme (FAO)
TP	Technical Panel
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UTF	Unilateral Trust Fund
WTO	World Trade Organization

I. Executive Summary

Background to the Evaluation and its Methodology

- i. The growth in trade in agricultural products has led to a new mix of trade partners, as well as to new phytosanitary challenges. Greatly increased travel and tourism are also significant factors in the increased level of pest introductions in recent years. These changes, and increased food security and environmental concerns, clearly demonstrate the importance and need for an international body that addresses in an effective manner plant health issues and internationally-agreed phytosanitary measures.
- ii. At its session in April 2005, the Interim Commission on Phytosanitary Measures (ICPM) of the International Plant Protection Convention (IPPC) requested an evaluation which would provide: (i) “an input on future policy, organizational structure, funding negotiations, strategy and management of the IPPC”; and (ii) “an analysis of the current administrative and working structures of the IPPC, their functioning and output in relation to existing goals and their suitability to implement the strategic plan of the IPPC”. The desirability of such an evaluation was confirmed by the FAO Programme Committee in the evaluation work plan.
- iii. The methodology used to conduct the evaluation included desk studies, discussions with a wide range of stakeholders, visits to countries for discussions with a range of stakeholders from government industry and civil society, a questionnaire survey to which there were 92 responses, an external peer review and a review of the draft report by the Commission for Phytosanitary Measures (CPM) during its session in March 2007.
- iv. The report starts with an assessment of the relevance of the Convention vis-à-vis global phytosanitary issues and the global trade context. It is followed by an analysis of the four activity areas of the IPPC, that is: (i) standard-setting process; (ii) information exchange; (iii) technical assistance; and (iv) dispute settlement. The report also addresses the scope and governance of the IPPC, the functioning of the Secretariat and budget matters.

Standards and the Standard-Setting Process (Recommendation 1)

- v. Stakeholders consider IPPC standards to be relevant; however, for some developing countries, their usefulness is limited because of inadequate capacity. There is a need for greater prioritization in the development of new standards and more clarity on the process for establishing the work programme. The criteria which have been defined as a basis for prioritization, while valid, are too numerous and not sufficiently aligned with the overall objectives.
- vi. The evaluation team has identified a number of ways to improve the efficiency of the standard-setting process. These include greater use of existing standards, in particular those developed by Regional Plant Protection Organizations (RPPOs), and greater use of the knowledge and expertise outside governments. (In particular, industry groups are under-utilised and the process would also benefit from the involvement of representatives of the Non-governmental Organization (NGO) community). To ensure continued relevance of standards, attention needs to be systematically paid to their implementation and applicability. At present, there is no process for learning lessons from the successes and failures of implementation.
- vii. There is insufficient rigor and transparency in the selection of the Standards Committee (SC) members. The effective application of the existing rules of procedure and more active involvement of RPPOs in the identification of appropriate candidates would do much to improve this. The standard-setting process could benefit from more content-based reporting of discussions held during the process which would help members prepare informed comments on draft standards. There is an increased need for consideration of environment and biodiversity issues when developing and revising

phytosanitary standards. This requires both capacity in the Secretariat, and a Technical Panel on Biodiversity to provide a wider range of technical expertise.

viii. Over time, the IPPC has worked to improve the standard-setting process. Strengthening the Secretariat's capacity is essential to enhancing its effectiveness. Increased secretariat expertise would help alleviate the pressure on Stewards, who are responsible for the preparation of drafts, and on the SC. It could also contribute to greater participation of Contracting Parties in the standard-setting process.

Information Exchange (Recommendation 2)

ix. The IPPC Secretariat has developed an electronic internet-based forum, the International Phytosanitary Portal (IPP), for the exchange of official phytosanitary information by Contracting Parties to the Convention, the Secretariat and RPPOs. While information exchange is recognized as important by Contracting Parties and there is satisfaction with the Portal as a tool, mandatory reporting obligations are only being partially met. There is a lack of country information and unreliable information undermines the Portal as a whole. In the evaluation team's judgement, only the Contracting Parties posting the information, and not the Secretariat, can verify the reliability of technical information posted. While Secretariat training efforts have been successful, there is still a need among countries for training and other capacity- building to meet reporting obligations and on how to use the Portal for this.

x. In the recommendation, it is proposed that the IPPC Secretariat should consider developing a basic form, available on the Portal, for countries to auto-evaluate their reporting obligation status, as well as the accuracy of the data provided. It should also establish formal linkages with existing plant quarantine databases to improve the availability of information and to increase the Portal's usefulness. A monitoring and compliance system for meeting mandatory IPPC reporting obligations should be developed and implemented. The Secretariat staffing should be increased to effectively undertake the various information activities.

Technical Assistance (Recommendation 3)

xi. There is a great need for the provision of technical assistance on IPPC-related matters. Requirements are particularly high for training, including upgrading skills of technical staff in the implementation of standards, inspection, surveillance and pest identification. To fully address these requirements would require a comprehensive development strategy, which is currently lacking, including the involvement of donors in a well-defined, long-term technical assistance programme. This could best be done within the framework of an International Consultative Group on Technical Assistance and Capacity-Building on Phytosanitary Matters.

xii. The evaluation team concludes that the IPPC cannot be rated as an appropriate international organization for implementing technical assistance activities aimed at the strengthening of national phytosanitary capacities. These tasks can be best undertaken by international technical assistance organizations, including FAO. **Technical assistance carried out directly under the IPPC should be limited to its core business, i.e. closely linked to a better understanding of standards and monitoring of the impact of standards as well as the development and use of the IPP as a tool for information exchange among Contracting Parties, and support to developing country attendance at technical and governance meetings.**

Dispute Settlement (Recommendation 4)

xiii. Dispute settlement procedures have formed an integral part of the IPPC since the adoption of the original 1952 text, but have never been formally used. The Commission on Phytosanitary Measures (CPM) has taken the necessary steps to put in place a Dispute Settlement process with a range of options and it is recommended that continued effective support be given to maintain the newly established Subsidiary Body on Dispute Settlement (SBDS) and to promote awareness of the

IPPC's dispute settlement procedures. The CPM should encourage Contracting Parties to the Convention, when appropriate, to make use of this process.

Governance, Management and Funding of the IPPC (Recommendations 5-7)

xiv. Over time, the ICPM/CPM has addressed the various activities to be covered under the IPPC in an effective manner. It has developed and set the strategic direction for IPPC-related activities and has adopted the necessary policies and supporting procedures, including relevant structures. However, it has not established priorities needed to cope with the limited resources available in the actual budget. The Bureau and the Informal Working Group on Strategic Planning and Technical Assistance (SPTA) have played a key role in this.

xv. The time has come to combine the functions of the Bureau and SPTA into one enlarged Bureau for the following reasons: (i) the coming into force of the IPPC and its permanent structures requires transparent and formal governance mechanisms; (ii) the necessary structures are well-established, including their rules of procedure; (iii) making the best use of the available resources; (iv) streamlining the decision-making process; and (v) providing clarity on the role and responsibilities of the Bureau. Such an enlarged Bureau could also play an active role in fund-raising for the various IPPC activities.

xvi. For the SC to operate more effectively, it requires the dedicated input of all members. In practice, this is difficult to achieve with a group of 25 people. The complex tasks could be undertaken in a more effective and efficient manner by a smaller Standards Committee, supported by a strengthened Secretariat. This would represent a good compromise between the need for efficiency and productivity with the need for equitable representation. **The analysis of IPPC activities and governance calls for a significantly strengthened Secretariat. The Secretary of the IPPC should not have other FAO duties, and should be a full-time manager (D1 position). The final decision on appointment should be taken by the new Bureau and representatives of the FAO Director-General. The posts dealing with the IPPC's two core functions (i.e. standard-setting and information exchange) should be upgraded to senior positions (P5). The professional staffing of the Secretariat should be increased from five to ten.**

xvii. There is little margin for significant increases in the IPPC's funding level by FAO from its Regular Programme budget given FAO's overall budget situation. However, FAO should ensure guaranteed core funding of the Secretariat's core activities at a level agreed between the CPM's expanded Bureau and FAO. This would facilitate timely identification of the amount of additional resources to be mobilized to meet the full IPPC budget requirement.

xviii. There is strong resistance from many Contracting Parties to the Convention to the establishment of a system of assessed contributions, although this would increase the autonomy of the IPPC vis-à-vis FAO. Consequently, voluntary funding will have to remain the primary source of additional funding for the IPPC. There should be a more solid resource mobilisation strategy based on multi-donor rather than bilateral funding.

Overall conclusions

xix. It is not possible to measure the benefits of the various initiatives undertaken under the revised Convention. The Convention is very much valued by the Contracting Parties to the Convention as a forum for discussion on phytosanitary issues and measures. It is undeniable that International Standards on Phytosanitary Measures (ISPM) are essential benchmarks for national standards and to facilitate trade while reducing the risk of pest introduction. These benefits will increase as trade continues to expand. Increased attention should be paid to enhancing public information on the overall importance of plant protection to effectively address food and bio-security concerns, and the important role the IPPC, Regional and NPPOs are playing.

xx. The evaluation team's recommendations aim, first of all, at strengthening the IPPC's governance structures, as well as at the equitable and effective participation of all Contracting Parties to the Convention in the workings of the IPPC. Stronger structures will enhance the overall effectiveness of the activities undertaken under the Convention, and help ensure that Contracting Parties consistently and sustainably meet their obligations.

xxi. FAO's hosting of the IPPC Secretariat is accepted as desirable by virtually all stakeholders and the financial support provided by FAO has been instrumental for the work undertaken so far. The new Convention is an autonomous organization with its own governing body, the consequences of which are inadequately reflected in the current administrative arrangements with FAO. There now needs to be a more balanced and secure relationship with fully-shared responsibilities between the Governing Bodies of the IPPC and FAO.

xxii. The IPPC should concentrate on what it can do best for the Contracting Parties, given the limited financial and human resources. Strategies and activities at all levels need to be prioritised. More effort needs to be put into strengthening the core work of information exchange and standard-setting. Technical assistance under the IPPC should be strictly limited to IPPC-related activities. However, the very significant country requirements for phytosanitary capacity-building demand an increase in technical cooperation from both FAO and other agencies.

II. Introduction

A. BACKGROUND AND PURPOSE OF THE EVALUATION

1. The Seventh Session of the Interim Commission on Phytosanitary Measures (ICPM) in April 2005 requested an evaluation which would provide:
 - a) “an input on future policy, organizational structure, funding negotiations, strategy and management of the International Plant Protection Convention”; and
 - b) “an analysis of the current administrative and working structures of the IPPC, their functioning and output in relation to existing goals, and their suitability to implement the strategic plan of the IPPC”.
2. It was further stated that the “evaluation shall have considerations for the future on an examination of past performance, current and emerging challenges, and innovative ideas. It shall also determine if International Plant Protection Convention (IPPC) activities and administration are satisfactory to meet the needs of surveyed members”.
3. This evaluation of the IPPC will also serve as an input into the overall evaluation of FAO’s work on international instruments.
4. The New Revised Text of the Convention was adopted in 1997 and came into force in October 2005. Since 1997, there has been a substantial increase in the amount of work carried out under the Convention. Given this increased workload, the effective funding and resourcing of IPPC activities have become major concerns for the Commission on Phytosanitary Measures (CPM). In addition to resource issues that needed to be addressed, and given the developments since the adoption of the revised text, an evaluation was seen as the opportunity to help shape a vision for the future based on a sound analysis of the Convention’s relevance, effectiveness and efficiency of its workings and its institutional arrangements. The terms of reference are presented in Annex 1.

B. EVALUATION METHODOLOGY

5. Annex 2 of the report describes the details of the methodology used to conduct the evaluation.
6. After initial desk work was conducted, a stakeholder consultation was convened to better define issues and modalities for the evaluation design. The stakeholders comprised representatives of IPPC Contracting Parties and other interest groups from non-governmental organizations, industry and trade.
7. As a next step, a five-member team¹ was established to carry out the evaluation. Annex 5 provides a description of the team members’ bios. The evaluation team planned the work in consultation with the IPPC Bureau and Secretariat. The activities included a comprehensive documentation review; benchmarking analysis of relevant institutions (e.g. World Organization for Animal Health (OIE), Codex Alimentarius Commission (Codex)); and the conduct of detailed desk studies on technical assistance and standard-setting.
8. In addition, the team visited 19 countries where it met with representatives of the government, including National Plant Protection Organizations (NPPOs), as well as of industry. It also visited four Regional Plant Protection Organizations (RPPOs) and a number of international organizations (e.g.

¹ Core Team Members included: Lukas Brader (Team Leader), John Mumford (Technical Specialist, Team Member), Kevin Nalder (Technical Specialist, Team Member), Erin Holleran (FAO Evaluation Service), Rachel Sauvinet-Bedouin (FAO Evaluation Service).

In addition, two regional experts accompanied the team in country visits in their region: Peter Ooi (Asia) and Marco Bertussi (Latin America).

World Trade Organization (WTO), Convention on Biological Diversity (CBD), OIE and Codex Alimentarius). The evaluation team sent an extensive questionnaire to 192 countries including all Contracting Parties and non Contracting Parties, and conducted a detailed analysis of the 92 responses. A number of teleconferences with key informants that could not be visited were made. The evaluation team also had extensive consultations with different IPPC structures such as the Bureau and the Informal Working Group on Strategic Planning and Technical Assistance (SPTA).

9. As part of the methodology, an external Peer Review Panel of five experts was convened to assist with the finalisation of the report. Panel members were invited to Rome and asked to conduct a critical review of the draft evaluation report. Annex 4 presents the position paper prepared by the PRP members. The panel comprised five people, who are knowledgeable on the subject matter and who provided various perspectives.

10. The draft report was reviewed by the CPM during its second session held from 26-30 March 2007. Comments received were used to finalise the evaluation report, which will be presented to the FAO Programme Committee for consideration at its ninety-eighth session in September 2007.

C. STRUCTURE OF THE REPORT

11. The report has been structured around key issues and concerns for the evaluation. It starts with an assessment of the relevance of the Convention vis-à-vis global phytosanitary issues and the global trade context. It is followed by an analysis of the four activity areas of the IPPC, that is: (i) standard-setting process; (ii) information exchange; (iii) technical assistance; and (iv) dispute settlement. With regard to the latter, the analysis is limited due to lack of use of the system to date and thus, the lack of experience on which to build lessons. The report also includes the scope and governance of the IPPC, the functioning of the Secretariat, and budget matters.

12. The following report sections provide an analysis of current operations, including the identification of strengths and weaknesses. Recommendations have been developed to build on strengths, while addressing weaknesses.

III. Relevance of the International Plant Protection Convention in the Global Context

13. The relevance of the IPPC (its scope and mandate) is examined against today's global context. The IPPC is the only global phytosanitary agreement and derives much of its importance in the global plant health arena from this. The relevance of the activities carried out under the IPPC, in particular that of standard-setting, is reviewed in detail in the appropriate sections of the report.

14. Modern transportation, travel and communication technologies have facilitated large increases in global movement of people and goods, increasing the risks to food security and the environment. Natural borders that once were effective barriers to the introduction and spread of pests of plants are now under increasing pressure. Along with this reduction in natural phytosanitary barriers and major increases in international agricultural trade, phytosanitary measures have become more prominent as a potential impediment to trade.

15. Globalisation has been accompanied by growing levels of international trade in agricultural products and increased levels of travel. World trade in agricultural products has increased in value by 42% from 2000 to 2004, reaching almost US\$ 800 billion². This increase is partly explained by a shift towards high-value agricultural products as well as by an increase in volume.

² All monetary values in the report are given in US dollars.

16. The growth in trade has led to a new mix of trade partners, as well as to new phytosanitary challenges. While Europe still has the largest share of world trade of agricultural products and accounts for the greatest value of regional trade, there are some trends of interest to the context in which the IPPC finds itself. Since 2000, agricultural trade between regions has experienced strong growth, entailing increased phytosanitary risks. For example, from 2000 to 2004, trade between South and Central America and Europe increased 10% and trade between Asia and Europe increased 9%, though this shift was primarily due to a few countries in the regions (i.e. Argentina, Brazil, Chile and Mexico for the Americas and China, India, Indonesia, Malaysia and Thailand for Asia). Also, the distribution of shares of world trade of agricultural products is changing. While shares of two of the leading agricultural exporters - USA and Canada - are declining, shares are slowly increasing for many developing and emerging economies.

17. The product mix of world agricultural trade is also shifting, with perishable products becoming increasingly important. From 1980 to 2000, the share of fruit, vegetables and cut flowers in agricultural exports has grown from 13.7% to 18.9%, entailing a significant increase in the number of accidental pest introductions. This trend is similar for both developed and developing countries. Fruit and vegetables alone now account for just over 20% of developing country agricultural exports. Further, the size of perishable flows testifies to the rising consumer demand for cut flowers, fresh fruit and vegetables.

18. In addition to trade increases, travel and tourism are also significant factors in the increased level of pest introductions in recent years. Over the last 20 years, the flow of air passengers has more than doubled. International air cargo has increased at an average rate of 6-7% per year for the past 35 years, and transport of perishable products such as fruit and vegetables³ is increasing at 12% per year, adding to the range of risks. The extensive use of forest products in packaging, particularly wooden pallets, has resulted in the distribution of destructive forest pests. Furthermore, movement of military vehicles and material has caused several important pest introductions. All these changes strongly demonstrate the importance and need for an international organization that addresses plant health issues and internationally-agreed phytosanitary measures, extending beyond the boundaries of trade facilitation. The changes also demonstrate the magnitude of the challenges faced by the IPPC. The purpose of the IPPC is “to secure common and effective action to prevent the spread and introduction of pests of plants and plant products and to promote appropriate measures for their control”. The introduction and spread of pests can be costly, even in an individual country.

19. The origins of the IPPC go back to the 19th century, as Table 1 shows. However, it was in 1989 during the General Agreement on Tariffs and Trade (GATT) Uruguay Round that the IPPC began to assume a more important role on the global stage. It was then that the IPPC was proposed as the global plant health standard-setting organization under the future Sanitary and Phytosanitary Measures (SPS) Agreement of the World Trade Organization (WTO). The SPS Agreement recognises the IPPC as the relevant international standard-setting organization for the elaboration of international standards to help ensure that phytosanitary measures are not used as unjustified barriers to trade. Consequently, steps were undertaken to adapt the Convention to the new realities. This resulted in the development of a revised text which extended the Convention’s scope and mandate to include standard-setting, the promotion of the provision of technical assistance, and to address environmental concerns.

³ Perishable products are estimated to account for 14% to 18% of the world’s air cargo, including horticultural products.

Table 1. Some milestones in the history of the Convention

1881	<i>Phylloxera vasatrix</i> Convention: the first international agreement for plant protection
1929	International Convention for the Protection of Plants (Rome)
1951	Conference of FAO at its Sixth Session adopts the International Plant Protection Convention (IPPC)
1952	IPPC comes into force, superseding all international plant protection agreements
1976	First amendments to the Convention are undertaken
1979	Revised text of the amended IPPC is approved
1989	GATT Uruguay Round proposes the IPPC as one of the standard-setting organizations for the future Agreement on the Application of Sanitary and Phytosanitary Measures (the SPS Agreement)
1991	Amendments of 1979 come into force
1992	IPPC Secretariat established and begins standard-setting programme
1993	Conference of FAO at its Twenty-seventh Session approves the first International Standard for Phytosanitary Measures
1995	The SPS Agreement becomes operative under the newly established World Trade Organization
1996	IPPC Expert Consultation draws up the first draft of a New Revised Text of the Convention
1997	Conference of FAO at its Twenty-ninth Session unanimously adopts the New Revised Text of the IPPC with interim measures
2005	New Revised Text of the Convention comes into force

20. The relevance of the IPPC and the nature and importance of plant health issues vary across regions, trade markets, and capacity of countries to deal with these issues. As noted above, trade between ecologically diverse regions is increasing, which raises the risk of introduction of organisms into new regions, since exports within a hemisphere or continent pose less phytosanitary risks than those across hemispheres or regions. It also raises the need for both an international common understanding on how to address these risks and for phytosanitary regulations.

21. Obviously, the relevance of an international regulatory framework is high for active trading (importing and/or exporting) countries. They directly face certain phytosanitary issues and, as a result, have specific expectations from the IPPC.

22. Integration into the global economy has been uneven, especially for some developing countries. The existence of a recognised international regulatory framework is a necessity if they want to access international markets. However, it is also a challenge since many developing countries face particular obstacles in the area of plant health due to lack of capacity, capital and infrastructure. Therefore, for those countries, the relevance of the IPPC depends on the extent to which it can respond to two expectations: (i) provision of a recognised regulatory framework that facilitates market access and (ii) provision of support for them to comply with international regulations.

23. Today, the IPPC provides the only global forum for exchanging views on how best to address international phytosanitary and related issues. It is an important, relevant instrument for facilitating the

continuously expanding international trade in plant produce and other regulated articles capable of vectoring plant pests into areas where they are absent.

24. Against that background, the evaluation team finds the IPPC scope and mandate to be relevant to today's global context and the range of needs of individual countries. This is clearly shown by the rapid increase in the number of Contracting Parties to the IPPC, which has currently reached 161 members. However, as noted above, the relevance of various aspects of the IPPC varies across Contracting Parties depending on such issues as the nature and level of their trade, their integration into the global market and their capacity to deal with pests.

25. To meet these various expectations in an equitable manner, there is a need for the availability of adequate funding and human resources for an effective Secretariat and the organisation of a wide range of technical and administrative meetings. To some extent, the IPPC seems to have become a victim of its own success and the workload has grown rapidly, well beyond the Convention's budgetary resources. This is a constant concern to IPPC's Governing Body, the Commission on Phytosanitary Measures, but for which no effective and sustainable solution has yet been found. Addressing these challenges is crucial for ensuring the IPPC's relevance in the future.

IV. Assessment of IPPC Core Activities

A. STANDARDS AND STANDARD-SETTING PROCESS

26. The IPPC started its standard-setting work in 1991, with the first International Standard on Phytosanitary Measures (ISPM) approved in November 1993. To date, 29 standards have been adopted (see Annex 3). Many of the early ISPMs address "concept" issues of general relevance to all plant protection services such as pest risk analysis, glossary of phytosanitary terms and pest eradication guidelines⁴. More recent standards are "specific" to particular modes of transmission and infection (e.g. wood packaging), taxonomic groups (fruit flies), risk mitigation measures (irradiation), or diagnostic protocols⁵. There is a development pipeline that includes a dozen specifications for future ISPMs and the outline for over 100 more topics that could eventually be considered for development as standards.

27. Nearly all evaluation questionnaire respondents indicated that standard-setting was "very important" and stated that IPPC standards help ensure and facilitate safe movement of plants and plant products. Both concept standards and specific standards were rated as "very important". At a practical level for industry, standards are often too vague for direct application, particularly concept standards. Specific standards are considered more likely to be implemented and more useful. This is not surprising as concept ISPMs so far focus on creating an enabling environment for plant health and cover mostly the establishment of government phytosanitary systems.

Relevance of Standards

28. The relevance of IPPC standards was examined taking into account the extent to which IPPC standards cover the most relevant and important issues in plant health, as expressed by IPPC members and in decisions of the CPM, and the extent to which standards are relevant to the purposes stated in the Convention.

29. The initial emphasis of the ICPM/CPM on concept standards was appropriate since there are both general and specific issues with which to deal. Concept standards are essential in establishing

⁴ Concept standards describe a concept or provide an overview of an area for phytosanitary standardization. In this report, they also include reference standards which normally cover general phytosanitary issues (IPPC Procedural Manual, June 2006, Annex 16).

⁵ Specific standards, pest-specific and commodity-specific standards provide guidelines on specific issues on a pest or a group of pests, and for a commodity (IPPC Procedural Manual, June 2006, Annex 16).

frameworks within which specific standards can be applied. The existing concept standards cover fundamental international plant quarantine and inspection functions: phytosanitary principles; definitions; pest risk analysis; notification, documentation and certification; pest status, inspection and surveillance; pest-free and low prevalence areas; equivalence of phytosanitary measures; and regulatory systems. These concept standards have been important for all Contracting Parties. They give a global, standard nomenclature for trade. This is especially useful for developing countries in defining national regulations, as well as for pursuing access to new markets.

30. While concept standards establish general principles, specific standards are also needed so measures can be consistently applied among individual trading partners. In the future, there will be an increasing demand for specific standards related to matters such as taxonomic group of pests, particular pathways of introduction, diagnostic methods, and phytosanitary treatments. However, as specific standards apply to specific crops, plants and ecological zones, particular attention will need to be paid to the relevance of the specific standards vis-à-vis salient plant health issues and trade demands and in a manner that is equitable to Contracting Parties.

31. In both the evaluation interviews and the questionnaire, stakeholders found the IPPC standards to be relevant and useful. The evaluation team concurs with stakeholder views. However, within the global context in which the IPPC operates, biosecurity issues are becoming increasingly important. Therefore, increased attention to environmental and biodiversity issues will further strengthen the relevance of IPPC standards.

32. In evaluation interviews, issues related to the IPPC's interface with the Convention on Biological Diversity (CBD) were mentioned as an area in which more attention should be focused in the standard-setting process. Some believed that the CBD would become increasingly important in the regulation of world trade and that IPPC standards needed to reflect the risks associated with the movement of articles capable of vectoring plant pests of environmental concern, including alien invasive species⁶. Consequently, certain stakeholders expect the IPPC to liaise more actively with the CBD and the evaluation team concurs, given the overall importance of environmental issues in national and international development activities. Both the standard-setting process and the standards themselves are expected to show evidence of consideration of environmental risks, including appropriate measures to deal with these risks.

33. The Preamble to the Convention refers both to threats to plant production and to environmental protection, by preventing the international spread of plant pests, "especially their introduction into endangered areas". The IPPC's mandate is to protect wild plants as well as cultivated ones, and to promote the development of appropriate structures to guard against pests of plants (including plants that are invasive alien species). The CBD's mandate is much broader. It calls for the development of national strategies, plans or programmes for the conservation and sustainable use of biological diversity. Regarding alien species, CBD members shall "prevent the introduction of, and take action to control or eradicate alien invasive species which threaten ecosystems, habitats or species".

34. The ICPM-3 (2001) recognized "the overlapping objectives of the IPPC and the CBD" and called for stronger cooperation between the IPPC and the CBD, including adoption of standards relevant to the environment. A Memorandum of Cooperation between FAO and the CBD describing the intended cooperation was endorsed at ICPM-4 in 2002 and signed in 2003. Two supplements to ISPM 11 (Pest risk analysis for quarantine pests including analysis of environmental risks and living modified organisms 2004) and a supplement to ISPM 5 (Glossary of phytosanitary terms: Guidelines

⁶ The definition used in the report is that of the Convention on Bio-Diversity: "Invasive alien species refers to an alien species whose introduction and spread threaten ecosystems, habitats or species with socio-cultural, economic or environmental harm, and/or harm to human health." (UNEP/CBD/COP/6/18/Add.1/Rev.1)

on the understanding of potential economic importance and related terms including reference to environmental considerations 2003) were outcomes of that decision. Annex 1 of ISPM 11 comments on the scope of the IPPC in regard to environmental risks, confirming that broadly defined risks to the environment and to biological diversity from plant pests should be covered by the IPPC. In October 2002, the SPTA “gave a high priority to collaboration and liaison efforts between the IPPC and CBD Secretariats”. IPPC’s relationship with the CBD is addressed in more detail in Section V(B).

35. The series of resolutions adopted by the ICPM/CPM since 2001 have demonstrated the IPPC’s recognition that there will be an even greater need to ensure that environmental issues, particularly those related to pests of plants that affect the natural environment, are included in relevant IPPC standards in the future. Both the standard-setting process and the standards themselves are expected to show evidence of consideration of environmental risks, including appropriate measures to deal with such risks. However, while the IPPC Secretariat liaises with the CBD on environmental concerns in plant health standards at the global level and some specific working groups have addressed related issues in supplements to standards, there has been limited capacity within the Secretariat to handle environmental issues and to ensure that all new standards, and revisions of current standards, refer, when needed, to potential environmental or biodiversity impacts. Furthermore, national plant protection officials have not traditionally liaised with their environmental counterparts, so that the experience and expertise regarding environmental concerns are often not well established nor perhaps their relevance fully entrenched, particularly related to standards. Given the multiple dimensions of biodiversity issues, there is a need for an expert forum (technical panel) to provide advice on specific environmental/biodiversity aspects of IPPC standards.

36. The quality of standards has been examined from the point of view of their technical validity, applicability and consistency. The response from the questionnaire on the quality of IPPC standards was that the overwhelming majority (92%) considered the standards to be at least “satisfactory”. However, there is room for improvement, as indicated by the proportion of respondents judging them to be of the highest quality (less than 50%).

37. The technical validity of plant health standards derives from the participation in Expert Working Groups (EWGs) and Technical Panels (TPs) of members selected for their specific experience related to the issues contained in the standards. Draft standards are scrutinized by the Standards Committee, which includes members with broad technical expertise. The Standards Committee can provide some comparability across several standards, which they are reviewing simultaneously and some members will have had previous experience of standards drafting. However, a number of Standards Committee members do not usually have the specific expertise that the drafting group (an EWG or TP) would have. The Standards Committee also has members, selected on a regional representational basis, who may not be able to provide in-depth comments on technical and operational issues, but help ensure that relevance and impacts are considered in relation to all regions. The Standards Committee must also be able to address global perspectives in an adequate manner.

38. There are two periods of country consultation in which National Plant Protection Organizations (NPPOs) are encouraged to ensure that relevant technical experts are included from both public and private sectors to review draft ISPMs. Some revisions to draft ISPMs are made by the Secretariat, Stewards (of standards), and/or the Standards Committee following consultations. Prior to the approval and adoption of a standard, technical issues can be debated at the CPM. Technical developments may prompt revision of adopted standards, as has occurred with ISPM 15 (Guidelines for regulating wood packaging material in international trade) and ISPM 3 (Guidelines for the export, shipment, import and release of biological control agents and other beneficial organisms), to reflect additional control options. Disagreement on technical content, arising from a genuine divergence of scientific thought and variability in the interpretation or availability of experimental data, has delayed the development of some standards (e.g. a standard on pest sampling protocols). However, the technical and operational reliability of measures recommended in many standards will have been

demonstrated and validated experimentally or in regular practice, before inclusion in the standard (e.g. the efficacy of diagnostic tools).

39. In the case of specific standards, it is important but difficult to reach consensus on the technical content of the standards. Offering equivalent measures, in particular for phytosanitary treatments and diagnostic protocols, is an important issue in specific standards, particularly in cases where there are significant differences in practices, acceptability of different phytosanitary measures and costs of implementation. This can give rise to critical differences of opinion on the scientific basis of comparisons. References are provided in standards on the source of evidence used to develop the standard, but the format of a standard is not the appropriate forum for providing detailed technical justification of the methods included. This can be elaborated in Explanatory Documents, which accompany four standards to date.

40. Applicability of plant health standards is more difficult to achieve than technical validity, since the circumstances of trade and regulation vary greatly from country to country and more so than any variations in technical and operational conditions. The drafting process usually includes members from diverse regions and a review by the Standards Committee which includes representatives of regions in which conditions may require particular actions. As with technical issues, the country consultation process is intended to allow national conditions to be considered in the draft text of standards. Issues of applicability can be considered on the basis of country consultation responses by the IPPC Secretariat and the Stewards. Finally, the draft text is debated at the CPM and applicability can be an issue of importance to some delegations, although it is addressed at a rather late stage in the process. Developing countries in particular have difficulties in implementing standards due to, among other things, limited financial resources for investment, lack of infrastructure and necessary skills.

41. Despite being included in Goal 1 (A robust international standard setting and implementation programme of the IPPC's Business Plan), implementation is not formally monitored after the adoption of standards, and there is no process to review standards for applicability. Furthermore, there is no formal process for learning lessons related to implementation or failure to implement. A number of concerns over specific lapses in the application of standards are brought to the WTO SPS Committee each year.⁷ From an examination of these concerns, it is apparent that both developed and developing countries have difficulties in meeting expectations of implementing some IPPC standards. Further, no implementation timeframes are agreed at the time of adoption. Unlike technical validity, applicability can be difficult to assess prior to adoption because it cannot be experimentally tested. However, more systematic consideration should be given prior to adoption regarding how a standard would be implemented, and what expectations of positive and negative impacts would be likely to occur.

42. As standards become more specific, more industry involvement will be needed to ensure industry practices can be appropriately considered and made compliant when required. Industry involvement in standard-setting is important to make certain that standards are practical and relevant. At present, it is up to governments to seek industry advice through the NPPOs or RPPOs liaising with industry in their regions.

43. The degree to which industry involvement occurs is variable. It is often driven by an active position of involvement by an industry that recognizes the role of phytosanitary standards. In particular, the seed and nursery industries have been actively engaged with NPPOs and RPPOs to ensure that their position is understood because their business is intimately connected with plant health. Other industries, often more peripherally involved such as transport equipment, may not recognize the potential impact until very late in the development of a standard, or even well after adoption or implementation. Despite discussions with pallet suppliers, many stakeholders and other affected parties in that industry were caught unaware by the implications of ISPM 15 on wood

⁷ Since 2000, a total of 63 concerns over the application of standards and other issues related to plant health have been brought to the WTO SPS Committee.

packaging treatment. Subsequently, the industry criticized ISPM 15 on the basis of the scientific validity of the treatments recommended. Within four years of adoption, ISPM 15 was revised to account for new technical data.

44. The adaptation of existing non-IPPC standards by the IPPC could offer an opportunity to extend the applicability of sound technical standards, but would require a mechanism to validate the standards and to consider the equivalence of potential alternative approaches. Standards that are already implemented by NPPOs and industry groups could be redrafted in the IPPC format and adopted by the IPPC. Such standards could be of particular relevance in the case of diagnostic tools used by industry, for example. It is not clear what the cost implications of adapting pre-existing standards would be, but they would need drafting, validation and consultation. Relevance and priority are likely to be more important considerations than cost in taking up any pre-existing standards.

45. Consistency in standards is difficult to achieve, but efforts are made. These include: (i) the repeated participation of some experts in EWGs and (ii) the use of TPs with standing members selected for their technical expertise and who oversee the development of a suite of standards in a given topic area. Stewards responsible for drafting standards are chosen in part on the basis of previous experience with other standards.

46. Several indicators mentioned above were combined into a single question on the quality of standards in the evaluation questionnaire. As noted above, the results on the quality of IPPC standards⁸ show that, while the overwhelming majority of respondents considered the standards to be “satisfactory” or “very satisfactory”, there is an opportunity to increase the proportion judging them to be of the highest quality. The questionnaire also asked respondents to comment on ways in which the quality of the standards could be improved. Funding for technical expertise and additional professional support top the list of changes that would improve the quality of IPPC standards.

47. The use of Explanatory Documents to elaborate the interpretation of standards does not imply poor wording in standards or confused technical content. The complexity of some issues may require greater explanation, and these documents can help in raising capacity and encouraging implementation through greater understanding of the issues and the methods proposed to resolve them. They also allow standards to be kept short and relatively consistent in style, and separate the tasks of drafting and explaining. The procedure for the development and use of explanatory documents is clearly described in the policy adopted by ICPM-6 in 2004. The use of specifications for standards, experienced Stewards, and draft editing and reviewing by the Standards Committee and Secretariat collectively produce consistent standards. However, too little Secretariat capacity is available to meet the needs of the current or proposed standards workload.

The Standard-Setting Process

48. A wide range of issues was raised by stakeholders concerning the standard-setting process in the evaluation interviews and questionnaire. However, it should be noted that 90% of questionnaire respondents indicated that the standard-setting process was at least “satisfactory” in meeting the expectations and needs of the member countries. But only 36% considered it very satisfactory. Overall, while the process was considered efficient, room for improvement was acknowledged by all. In contrast, interviewees focused more on difficulties or frustrations with the standard-setting process regarding participation and transparency; this included experts with considerable experience working within the process. For ease of understanding, Figure 1 below describes the Standard-Setting Process.

a) *Rate of Standard-Setting Process*

49. The rate of standard-setting (currently about three to four standards per year) was thought variously to be too little and too great. Some interviewees indicated that it was frustrating to operate

⁸ Quality of standards covers the science base, clarity, applicability and lack of contradiction between standards.

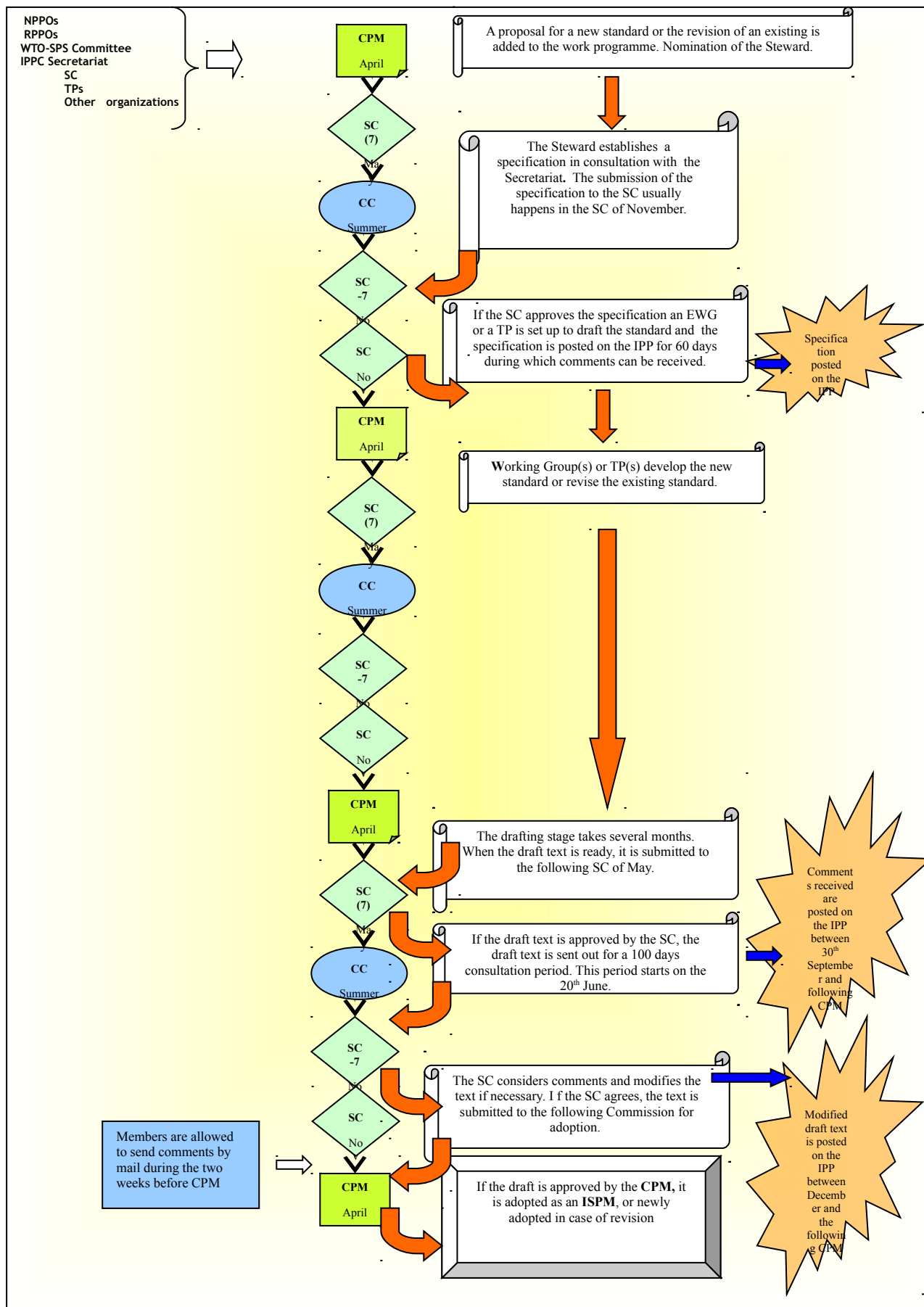
with so few standards, while others commented that it was important to allow time for sufficient transparency and consensus. There was also a concern in some countries, particularly developing countries, that the capacity to implement existing standards, let alone more new standards, was not available, and that the pace of standards adoption should be better matched to the ability of implementation.

Table 2. Adoption of Standards per year⁹

Adoption	ISPM No.
FAO Conference 27th (1993)	1
FAO Conference 28th (1995)	2, 3, 4
FAO Conference 29th (1997)	6, 7
ICPM 1 (1998)	8, 9
ICPM 2 (1999)	10
ICPM 3 (2001)	11, 12, 13, 5 (suppl. 1)
ICPM 4 (2002)	14, 15, 16, 17
ICPM 5 (2003)	18, 19, 11 (suppl. 1), 5 (suppl. 2)
ICPM 6 (2004)	20, 21, 11 (suppl. 2)
ICPM 7 (2005)	22, 23, 24, 3
CPM 1 (2006)	25, 26, 27, 1
CPM 2 (2007)	28, 29, 2

50. Examination of the historical pace of standard-setting (Table 2) shows some increase over recent years. While the number of standards adopted per year has gradually increased, the number of meetings needed to support the process has increased at a faster rate, particularly due to the need to revise increasing numbers of earlier standards along with the preparation of new ones. Questionnaire responses showed a slight bias towards a longer standards development cycle. Establishing any target rate for standards requires a careful specification process to ensure that the content of standards can be produced within a specified time and that sufficient technical expertise will be available to meet the timeframe. Overall, the current level of standard-setting, that is three to four standards per year, appears to be reasonable given the existing discrepancies in implementation capacity among the Contracting Parties.

⁹ A complete list of standards can be found in Annex 3.



b) *Participation in Standard-Setting Process*

51. Many countries indicated a lack of capacity for effective participation in the standard-setting process, either for themselves or for other countries. In many cases, this involved limited technical capacity within the phytosanitary services, with too few staff and too little experience. In some cases, there were inadequate funds to release staff to participate in standard-setting, even where expertise was sufficient. The relatively low participation of developing countries in the standard-setting process is a key reason for the organisation of regional workshops on draft ISPMs. These workshops provide the opportunity for developing country representatives to meet, to have the draft ISPMs explained, to discuss the ISPMs, and to identify areas requiring additional attention. Further, they provide a mechanism for giving input into the standard-setting process.

52. An inefficient SC structure (too many people with insufficient technical knowledge, and issues related to representational roles for all members to be completely engaged and useful) was a concern expressed in a number of interviews, which included members of groups involved in the standard-setting process (i.e. SC, TPs and EWGs). There is a perception of insufficient rigor in the selection of SC members. The evaluation team considers that the selection of SC members could be strengthened through the effective application of the rules of procedure adopted by CPM-1 (2006) and a more active involvement of RPPOs in the identification of appropriate candidates in the respective FAO regions.

53. Language has been cited as a major issue by some Contracting Parties (particularly in Spanish-speaking countries in Latin America) and was the subject of considerable discussion at CPM-1 in 2006. Greater provision of interpretation is expected to improve participation, but at the expense of resources that might be used for other purposes. There is a perception that comments in English have more impact in the consultation stage. Side sessions to negotiate the text of draft standards during the CPM (e.g. redrafting the Establishment of pest-free areas for fruit flies (Tephritidae) during CPM-1) are seen by some participants as a barrier to full participation, especially if they do not include interpretation and do not use agreed procedures to hear, accept and record comments.

54. The current standard-setting process puts enormous time commitment and stress on the Stewards, the SC and the Secretariat. A frequent comment in interviews was that the current reliance on in-kind contributions of technical expertise may not be sustainable. The SC does not have sufficient time to thoroughly complete its assigned tasks, which include developing and approving ISPM specifications, reviewing comments on draft ISPMs, revising draft ISPMs, and an increasing number of additional tasks assigned by the CPM. As a result, more comments are submitted during the country consultation stage, which may lead to rushed changes at the last minute at the CPM. Any increase in the number or complexity of standards would exacerbate these problems. Furthermore, the minutes of meetings in the standard-setting process do not adequately reflect the issues and solutions that were discussed, making it difficult for members to make informed comments during the consultations. A three-year standard-setting cycle would be more appropriate to ensure adequate time for standards specification, drafting and consultation. A consistent standard-setting cycle also allows efficient resource planning.

55. There is insufficient use of RPPOs in standard-setting. A significant factor in this is the diverse capacity and functionality of RPPOs. To give RPPOs more collective responsibility in the process would require strengthening RPPOs in Africa, Asia, Central America, the Near East and the Pacific to ensure that they could work effectively with the stronger RPPOs. The strong RPPOs in Europe, North America and South America play an important part in the standard-setting process by suggesting topics for IPPC standards, recommending experts for drafting standards, and organizing consultation on drafts. Further, suggestions were made during interviews for additional potential tasks for the RPPOs including: reviewing specifications for standards; filtering comments during consultation stages; liaising with multi-national industry groups on particular standards; and supporting the drafting of some standards.

56. The standard-setting process would also benefit from external inputs by the private sector and, especially in the case of biodiversity and environmental standards, the NGO community. Mechanisms exist within FAO for the participation of these groups in the overall work of FAO. It is suggested that the CPM examine modalities for this participation based on models used by other FAO bodies, and more particularly in Codex. In its procedure manual, Codex clearly defines the working relationships of various bodies and structures in the private sector referred to as “Non-Governmental Organizations” (NGO). NGO members can take part in the standard-setting process only through representative organizations at a very early stage of drafting and then all along the process through commenting. Providing that safeguards are put into place, NGOs’ contribution to the Codex standard-setting process has been overall considered positive. It brought expertise that is not necessarily available in the public sector and perspectives of various groups of stakeholders.

c) *Transparency in the Standard-Setting Process*

57. There is a perception of poor transparency in the selection of EWG and SC members. The process is prescribed in the IPPC Procedural Manual, but some parties complain that the procedures are either not always followed, or are not seen as being followed. No specific cases were identified in the interviews. Greater use of the International Phytosanitary Portal (IPP) could be made to make certain that Contracting Parties are well informed of the process of appointing experts as the process proceeds. A major issue in the appointment of participants in committees is the willingness of individuals to participate, given the demands of their own institutions, and for many, the availability of funds to support travel or time. Inevitably, some compromises must be made to achieve a working set of members and this may lead to over-representation of developed countries. A review of a sample of ten ISPMs shows that while the majority of participants in EWGs have come from developed countries (48%), developing country participants accounted for 30% of the participants in the groups involved in drafting standards. The balance of participants came from RPPOs (which includes developing country representatives) and the IPPC Secretariat.

d) *Developments in the Standard-Setting Process*

58. In recent years, another type of expert group has been working alongside the existing EWGs. In 2004, ICPM-6 recognized four main areas of interest and set up specific long-term expert groups, the TPs on: (i) Diagnostic Protocols for Specific Pests, (ii) Pest-Free Areas for Fruit Flies, (iii) Phytosanitary Treatments, and (iv) Forest Quarantine. The Glossary Working Group, which was involved in the yearly revision of ISPM 5, became the fifth TP. The TPs differ from the EWGs in that they continue for as long as a general theme of standards is needed, while the EWGs are *ad hoc* groups set up for a specific standard.

59. The EWGs and TPs provide opportunities to get specialized expert knowledge from diverse sources. The TPs have the added advantage of member continuity in the evolution of a related series of standards. The IPPC has encouraged such mechanisms that include a compromise between the efficiency of a core of participants who know the process and generic principles of standard-setting with the inclusiveness and transparency of both technical experts and representational members.

60. The development of a formal specification for standards helps in planning resource inputs into the standard-setting process by defining standards with clear boundaries and limits the work required. Overall, the specification of standards in use since 2001 has resulted in a shorter and more consistent process. Some early standards were relatively open-ended and took much longer to produce than more recent standards, while all recent standards have been drafted with only one or two EWG sessions. This keeps the cost and the time taken to prepare the standards within planned limits.

61. The fast-track standard-setting process was adopted by ICPM-6 (2004) and should, among others, be used where specific technical material and resources are available or simple to develop, and where non-concept or technical standards of potential global interest that are approved by RPPOs or

other organizations are available. It has had a slow start¹⁰. It is not clear what expectations there are for the use of this approach, or to what extent it is encouraged or supported. It would indeed be particularly suited to adoption of validated non IPPC-generated technical standards, originating from NPPOs, RPPOs or industry groups.

e) Priorities in the Standard-Setting Process

62. The criteria for the development of priorities for standard-setting are as follows: level of trade affected by non-existence of a particular standard; frequency with which a particular issue emerges as a repeated source of trade disruption; feasibility of applying an international standard at a global level; feasibility of developing and implementing the ISPM within a reasonable time schedule; stage of development of the international standard; relevance and utility to developing countries; emergency need for the international standard; relevance and value to the total framework of standards; availability of expertise needed to develop the proposed international standard; and availability of external resources to support preparation of the standard. While the evaluation team believes that these criteria are useful and provide a good basis for prioritization, there are many criteria and it is not clear how they are used during the process of proposing and approving topics for the standard-setting work programme.

63. A review of the IPPC's most recent standard-setting work programme (CPM 2007/24) shows that there is a disproportionate number of high priority draft standard topics compared to normal priority topics. For 2008, five (5) of the seven (7) topics are designated high priority, while the remaining two (2) are designated as normal priority. This does not include the 14 phytosanitary treatments that are also slated for adoption in 2008 and do not have a priority designation, nor does it include the four high priority pending topics that do not have a projected adoption date. With so many high priority standard topics for 2008, it must be questioned how the priority criteria are applied. Secondly, the extent to which these criteria are used to set priorities in the standard-setting process is not always clearly reported. Thirdly, does the designation of priority topics for standards result in a realistic work programme for the Standards Committee and Secretariat? Currently, the number of high priority standards on the work programme exceeds the average number of standards that are adopted annually. Therefore, with so many priorities, not all standards topics can be treated as priorities. More consideration needs to be given to a high priority designation throughout the standard identification process so that a realistic number of standard topics are identified and able to be treated as priorities. Individual criteria should be ranked and/or weighted by order of importance to facilitate prioritization.

64. Furthermore, the CPM is diverted from higher priority issues at its meetings because it devotes great attention to minute details of draft standards. The SC-approved draft ISPMs are only posted on the IPP in January prior to the CPM which is held in March or April. Member comments on those SC-approved draft ISPMs are required 14 days before the CPM, and these comments are only distributed at the CPM meeting in the languages in which they were received. Consequently, there is not enough time for members to review the comments before the CPM. Therefore, too much CPM time is taken on detailed issues. Interviewees reinforced the evaluation team's view that long-term planning and setting of clear and useful priorities for the standard-setting process require additional attention from the CPM. In this respect, the decision of CPM-2 to convene a Focus Group to review the IPPC standard-setting procedures is considered timely.

The Cost of Standards

65. The evaluation team attempted to conduct a comparative analysis of the cost of producing an individual standard across standard-setting organizations. In the absence of similar data, the team was

¹⁰ The procedure has been tried only once for the revision of annex 1 of ISPM 15. Although there was no formal rejection of the draft standard by any of the Contracting Parties, the Secretariat felt it would be more useful to have the steward and the Standard Committee review the country comments. Annex 1 was eventually approved through the normal standard setting process.

not able to carry out such an analysis. However, the team was able to calculate the cost of producing ISPMs which should assist the IPPC in its strategic planning efforts.

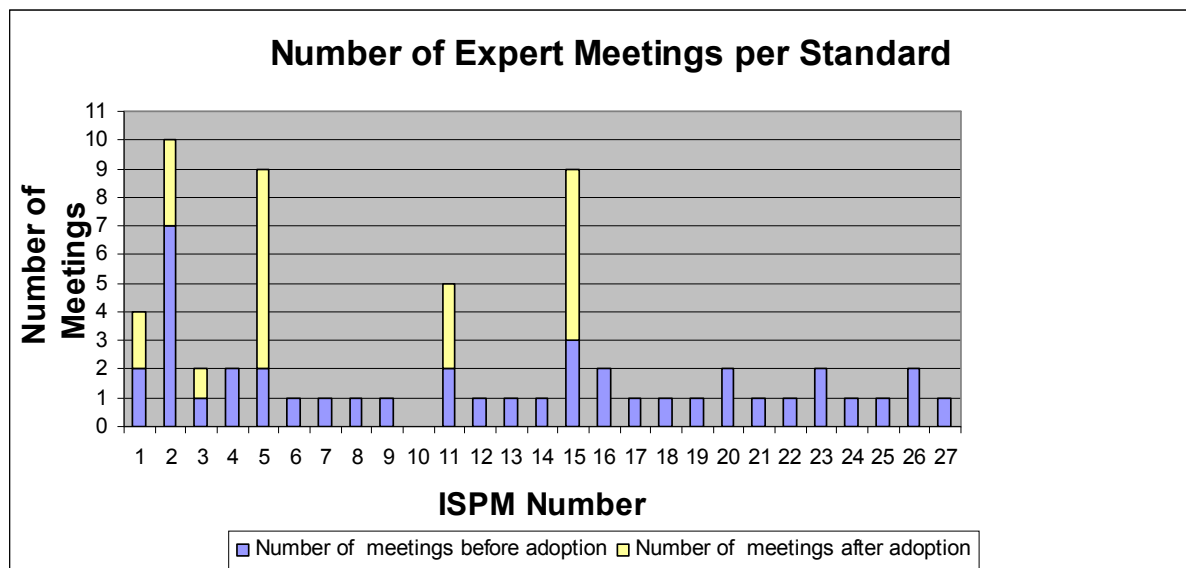
66. Based on data gathered from a detailed analysis of ten standards (ISPMs 2, 7, 15, 21-27), the evaluation team estimated the total cost of producing an individual standard. Most recent standards have cost approximately US\$130,000 per standard at a marginal rate, and US\$193,000 at a full-cost rate¹¹. However, ISPM 26 (Establishment of pest-free areas for fruit flies (2006)) was almost twice as expensive as other recent standards due to the large team of experts involved. The earlier standards ISPM 2 (Guidelines for pest risk analysis (adopted in 1995) and ISPM 15 (Guidelines for regulating wood packaging material in international trade (adopted in 2002, revision adopted in 2006)) were also considerably more expensive than the above-mentioned level. Both ISPM 2 and ISPM 15 required many more meetings than the norm, both before and after adoption. In fact, ISPM 15 was the most expensive IPPC standard to produce, at an estimated cost of US\$3 million. There were almost 300 person-days of effort before adoption and 1,400 post-adoption in explanatory workshops and revision meetings.

67. The relative consistency of costs for most of the recent standards arises from the fact that standards are currently produced from precise specifications established by the Secretariat and the Standards Committee, on relatively predictable time schedules and with similar levels of professional inputs. This is very helpful in managing the process efficiently and anticipating inputs. However, the scale of in-kind professional resources contributing to the process may not be sustainable. Some standards (ISPM 5, ISPM 11, ISPM 15) required much more input in revision than for the original adoption, and others (ISPM 1 and ISPM 3) have involved as much effort to revise as to produce originally.

68. If the IPPC had to pay the full costs for expert time to produce the current level of three new standards per year, it would need to budget approximately US\$ 600,000 per year for standard setting, in addition to Secretariat input. Standards need regular revision. As the number of standards increases, the cost of revision will also increase, with each revision likely to cost as much as a new standard. A planned average revision of IPSMs after five years as per IPPC policy would indicate 5-6 revisions per year, requiring a full-cost budget of approximately US\$1 million per year to carry out the revisions.

¹¹ These estimates are based on the number of person-days recorded for EWGs or TPs attributed to each ISPM, consultant costs, and an estimate of 75 days per standard for the Steward. Costs of the IPPC Secretariat are considered to be fixed costs, and are not attributed to individual standards. Costs are allocated for travel (assumes an average of US\$ 1,400 per participant), subsistence (meeting days plus one), and three ranges of salary costs (low, based on an FAO rate of US\$ 250 per day; marginal, based on a typical non-overhead salary rate of US\$ 500 per day; full, based on a full overhead salary rate of US\$ 1,000 per day).

Figure 1. Number of Expert Working Group meetings per Standard. Meetings after adoption include meetings to draft revisions, which are not applicable to recent ISPMs which are not yet due for revision.



Outcomes and Impacts of Standards

69. Outcomes of standards are derived from the use of standards. As indicated earlier, there is no monitoring carried out on the implementation of standards once they have been adopted. During country visits, the evaluation team collected anecdotal evidence on the use of ISPMs. A number of countries recognized that ISPMs were playing an increasingly important role in the domestic movement of plant products, particularly fresh produce. The development and implementation of specific ISPMs in the future (e.g. for the recognition of pest-free areas for specific pests, areas of low pest prevalence) would also be of significant benefit to, for example, the horticultural industry.

70. It was also reported that some ISPMs were used by NPPOs to establish their regulations and systems for both imports and exports, resulting in domestically developed programmes becoming closely aligned with international standards. Some countries mentioned that ISPMs had been used in bilateral trade negotiations. Some developing countries provided examples on how ISPMs facilitated new market entry. The ISPMs provide an important platform for market access negotiations and the establishment of justified import regulations and systems, in particular for developing countries. However, the effective use of ISPMs is impeded in many developing countries due to the lack of capacity to implement standards.

71. Standards are expected to impact in two ways: (i) reduce the spread of pests and (ii) facilitate trade. Again, during country visits, many countries referred to the important role of standards in facilitating trade. These impacts are difficult to identify and even more so to quantify. A study carried out on ISPM 7 and ISPM 15 provides some insights on their likely impacts as discussed below.

72. *ISPM 7 Export certification system* (adopted in 1997) provided the conceptual basis for recognition of systems implemented for producing phytosanitary certificates, and is almost universally used in the export of plant products. The trade in fresh produce, cut flowers, nursery stock and seeds generally requires phytosanitary certificates as basic evidence of compliance with import regulations. The issuing NPPO identifies the requirements of the importing country and verifies that the consignment complies with these requirements. Exporters often pay for many activities leading to the issuance of phytosanitary certificates as a user fee, generating significant income for NPPOs in many countries.

73. An important benefit of export certification systems is that credible certification adds confidence to trade and is sometimes used as a basis for reduced inspection regimes by importing country NPPOs. For example, the European Union operates reduced inspection levels for a range of produce from certain countries, requiring as little as 3% of consignments of imports from these countries to be inspected. Phytosanitary certificates issued by exporting country NPPOs based on a history of compliance with ISPM 7 are required for all consignments to be eligible for reduced inspection regimes. Further, acceptance of phytosanitary certification without the need for significant compliance interventions by the importing country would be an indicator of successful implementation of ISPM 7 internationally.

74. *ISPM 15 Guidelines for regulating wood packaging material in international trade* (adopted in 2002, revision adopted in 2006) established standards for treatment of pallets and wood packaging used in international trade. The standard was precipitated by the increase in trade from East Asia to North America and Europe in the 1990s and interceptions and outbreaks of wood boring beetles, particularly the Asian Longhorn Beetle, in wooden packing material in the USA from 1996 onwards. Over 90% of world trade (in value terms) is transported on a wood pallet or has wood packing material. So, the potential negative effect of a pest outbreak is ubiquitous. In comparison, approximately two billion new pallets are treated each year at a typical cost of US\$1 per treated pallet, representing 0.03% of the value of the world merchandise trade (US\$10.3 trillion per year). The treatment is intended to prevent pest outbreaks such as the Asian longhorn beetle (which has cost US\$75 million to eradicate in the USA) or the Emerald ash borer (US\$50 million spent on eradication so far in the USA). The Asian longhorn beetle alone has been estimated to have the potential to cause losses of US\$100 billion per year in North America. While ISPM 15 imposes significant costs on industry, adoption and certification of pallet and packaging, treatments could save much greater losses from pests already known to infest packing material and pallets.

Conclusions

75. In general, stakeholders consider IPPC standards to be relevant; however, for some developing countries, their usefulness is limited because of inadequate capacity. The initial emphasis of the (I)CPM on concept standards has been appropriate since there are both general and specific issues to deal with. While concept standards establish general principles, in future specific standards will be increasingly needed so that measures can be consistently applied amongst individual trading partners.

76. There is a need for greater prioritization of standards and more clarity on the prioritization process. The criteria which have been defined as a basis for prioritization, while valid, are too numerous to form the basis of prioritization and should be weighted against priority objectives. Priorities in standard-setting must reflect needs and, to a certain extent, opportunities, particularly as they rely to a large extent on voluntary contributions of in-kind participation from national experts.

77. The evaluation team has identified a number of ways that could contribute to improve the efficiency of the standard-setting process. They relate mostly to a greater use of existing standards, in particular those developed by RPPOs, as well as to better drawing upon the knowledge and expertise beyond that in the government. In particular, industry groups are under-used, and it is believed that their involvement using the Codex model at an early stage in the process would require greater flexibility in the selection of invited experts. The process would also benefit from the involvement of representatives of the NGO community, in particular in the case of biodiversity and environmental standards.

78. To ensure continued relevance of standards, attention needs to be systematically paid to the implementation and applicability of standards. There is no process for learning lessons related to implementation or failure to implement. The evaluation team notes with interest that these matters will be reviewed by an open-ended working group on compliance scheduled for September 2007.

79. There is insufficient rigor and transparency in the selection of SC members. The selection of SC members could be strengthened through the effective application of the rules of procedure adopted by CPM-1 (2006) and a more active involvement of RPPOs in the identification of appropriate candidates in the respective FAO regions.

80. The evaluation team also concludes that the standard-setting process could work more efficiently and be more participatory through the extension of the country consultation stage and by having a more content-based reporting of discussions held during the process. This would help members prepare informed comments and, overall, enhance participation. Finally, a three-year standard-setting cycle would be more appropriate to ensure adequate time for standards specification, drafting and consultation.

81. There is an increased need for considerations related to the environment and biodiversity when developing and revising phytosanitary standards. This means strengthening the capacity of the Secretariat to deal with those issues, as well as liaising with other international organizations, including RPPOs, on these issues. Additional staff resources will be needed to meet these specific obligations effectively. The establishment of a Technical Panel on Biodiversity would provide a wider range of technical expertise, as well as other perspectives that need to be taken into account when addressing these issues.

82. Over time, the IPPC has worked to improve the standard-setting process. Some developments, such as that of the TPs, have enhanced the standard-setting process. Strengthening the Secretariat's capacity would be essential to enhancing the efficiency of the standard-setting process. Increased secretariat expertise would help alleviate the heavy pressure on Stewards and the SC, and will also bring the necessary greater transparency through more extensive reporting and publication of discussions in SC, EWG and TP meetings. Finally, it would contribute to greater participation of Contracting Parties in the standard-setting process.

Recommendations

Recommendation 1: Standards and the Standard-Setting Process

Quality and usefulness of standards: In order to maintain, and to further enhance, the quality and usefulness of standards, it is recommended that:

- 1.1 as the existing concept standards cover already many fundamental international plant quarantine and inspection functions, there should be a greater balance in the selection of standards in favour of specific standards;
- 1.2 industry stakeholders should be consulted and their knowledge and experience used at an early stage of the standard-setting process, particularly for specific standards on the basis of the Codex model (as explained in paragraph 56), and the necessary safeguards should be set up;
- 1.3 greater efforts should be put into prioritization of standards, using existing criteria and weighting their importance as well as taking into account available resources;
- 1.4 priorities should also be based on maintaining an average number of three to four standards per year at least in the next three to five years (an increased number of standards may be envisaged where greater efficiency is gained in the process). The process through which priorities are established should be made clear to Contracting Parties; and
- 1.5 opportunities should be sought to make greater use of existing standards, particularly those developed by RPPOs.

Environmental and biodiversity concerns: To ensure that environmental and biodiversity concerns are effectively addressed by the IPPC, it is recommended that:

- 1.6 a Technical Panel on Biodiversity should be established to review standards from the point of view of environmental impacts, biodiversity threats, and invasive species pathways that could be given accelerated priority and that could be included in the CPM work programme;
- 1.7 some standards should have a primary theme directed at biodiversity issues;
- 1.8 the Expert Working Groups, Technical Panels and Standards Committee should incorporate bio-diversity and environmental considerations into their work so that all standards address these concerns, not just the

standards coming from the Technical Panel on Biodiversity. All standards should have a statement regarding their biodiversity impact; and

1.9 an Environmental Liaison Officer position should be created in the IPPC Secretariat with responsibility for environmental content in standards, information and training, and for leading the Technical Panel; and she/he could also carry out liaison functions with other international organizations for the Secretariat such as the Convention on Biodiversity.

Implementation of standards: To ensure the quality and to enhance the implementation of standards, it is recommended that: a procedure for monitoring implementation and impact of standards should be developed by the CPM, and used to inform both revisions of standards and the priorities and processes for developing new standards; each standard should have an implementation statement indicating the expected timeframe for implementation, an estimate of the potential impacts and costs and benefits of implementation, and a plan on how implementation could be achieved and monitored; and regional workshops reviewing draft ISPMs should continue and new regional workshops promoting implementation should be initiated, with the assistance of RPPOs.

Maintenance of the current level of standard-setting: To maintain even the current level of standard-setting, which is heavily reliant on in-kind contributions of expertise, it is recommended that: the CPM should ensure that there is both sufficient direct funding either from the FAO Regular Programme or extra-budgetary sources, to recruit expertise in standard setting to facilitate the work of stewards and to be able to recruit the necessary expertise not provided on a voluntary basis and when needed.

Participation of Contracting Parties: To ensure the widest participation of Contracting Parties in the standard setting process, it is recommended that: 1.14 sufficient financial and technical support should be directed at active participation of experts from developing countries in the SC, and EWGs and TPs (this will mean the active search and financial support of experts from developing countries).

Transparency of the standard-setting process: To enhance the transparency of the standard-setting process, it is recommended that: minutes of standard-setting committees (EWGs, TPs, SC) should provide sufficient detail on the nature and depth of the debates on key issues related to draft standards, and be available prior to member consultations; greater time should be allocated between the end of member consultation on draft ISPMs and the SC meeting and the posting of SC approved draft ISPMs and the meeting of the CPM to allow time for feedback on comments and to achieve greater consensus prior to the CPM; and a three-year standard-setting cycle would be more appropriate to ensure adequate time for standards specification, drafting and consultation.

Secretariat to fulfil its role adequately: Finally, in order for the Secretariat to fulfil its role adequately in the standard-setting process, including the proposed additional tasks, it is recommended that: the number of permanent professional staff in the Secretariat involved in supporting the standard-setting process should be increased from 1.5 person years to 4 person years plus part of the time from the Senior Environment Liaison Officer (mentioned above); and the Secretariat should be able to have a greater role all along the standard-setting process in support of the EWGs, TPs, the SC and the CPM with a view to increasing transparency, quality of the work and facilitating participation of all Contracting Parties.

(The above does not account for the recruitment of non-permanent staff which are needed temporarily at various stages in the process. This also assumes that a great part of the work in the production of standards will continue to be done on a voluntary basis).

B. INFORMATION EXCHANGE

Background

83. Contracting Parties to the IPPC have the primary responsibility for the exchange of official phytosanitary information, while the IPPC Secretariat provides the forum for information exchange. This ensures that there are formal channels for notification of changes to phytosanitary measures and that there is a recognized international forum for information sharing. Contracting Parties have a number of mandatory and optional information reporting obligations and responsibilities under the Convention (See Table 3).

84. At the request of the Interim Commission on Phytosanitary Measures (ICPM), the IPPC Secretariat developed an electronic internet-based forum, called the International Phytosanitary Portal (IPP), for the exchange of official phytosanitary information by Contracting Parties, the Secretariat

and RPPOs as required by the IPPC. While the IPP officially went “live” in August 2002, it was not until 2005 that its development phase was complete and Contracting Parties began in earnest to use it for posting and accessing information. Currently, navigation is available in four of FAO’s five official languages.¹²

85. The Secretariat upgrades the IPP based on guidance from the informal IPP Support Group (IPP-SG) and feedback from the regional training workshops. IPP-SG members¹³ discuss technical issues, propose new IPP features, and provide useful feedback from the user perspective.

86. Plans for the next IPP phase include: improving design layout and search mechanisms and developing IPP capacity-building materials. There are also plans to develop a site for the exchange of optional information. Given funding constraints, the evaluation team believes that priority should be focused on the exchange of mandatory information.

Importance of Information Exchange

87. Contracting Parties believe that information exchange is important to facilitate trade and to institute appropriate national phytosanitary measures, as they reported in country visits, meetings, and the questionnaire. There are two types of information on the IPP: (i) *IPPC-related information* (e.g. meeting documentation, ISPMs and calendar of events), and (ii) *country information concerning NPPOs* such as lists of regulated pests. Questionnaire respondents placed greater importance on the first category than the second. Information on standards developed under the IPPC was ranked as the most important type of information on the IPP.

88. The evaluation team believes that information exchange is of critical importance in today’s global world and that the IPPC Secretariat is the most appropriate and relevant entity to provide a central forum for information exchange, given its relationship to the Convention and the need for a central, international forum for official information exchange.

89. While Contracting Parties contend that they find information on the IPP to be important, the reality is that there is still a general lack of country information on the IPP beyond the basic contact points, as developed below.

Extent to which Contracting Parties Meet Information Reporting Obligations

90. Overall, the extent to which Contracting Parties meet their reporting obligations via the IPP is minimal. Only a small percentage (20%) of questionnaire respondents reported using the IPP to meet their reporting obligations.

91. There is, however, some ambiguity over who should receive the Contracting Party information for meeting reporting obligations. The 1997 revision of the IPPC sets out the reporting obligations and provides a forum for information sharing – which is now officially the IPP. The Convention specifies which parties should receive the information. Some articles of the Convention¹⁴ specify to whom the information shall be provided (i.e. Secretary, Contracting Parties concerned and RPPOs). Others¹⁵ do not. ICPM-3 (2001) adopted clearly defined guidance on the exchange of information as required by the IPPC and agreed that official phytosanitary information provided through the IPP would be deemed as having met the reporting obligations under the IPPC. Yet, ISPM 17 (2002) states that pest reports which are obligations under the IPPC should be made available via one of three systems: direct communication, publication on an accessible official national web site, or the IPP. Furthermore,

¹² Programming for the last language, Chinese, is underway and should be available in 2007.

¹³ The goal is to have IPP SG members with sufficient technical expertise (plant health and information technology) and regional representation.

¹⁴ e.g. Article VII.6 for emergency actions

¹⁵ e.g. Articles IV.2 (b) and VIII.1 (a)

Contracting Parties do not declare (nor are they required) which mechanism they are using to meet their reporting obligations, which adds to the existing ambiguity related to multiple reporting channels. Therefore, it is difficult to assess the extent to which Contracting Parties are meeting all of their information reporting obligations through the various systems. Efforts should be made to clarify reporting channels and which one a Contracting Party is using.

92. The area with the greatest reporting compliance is the national IPPC contact point, the most basic of all mandatory reporting obligations, as Table 2 shows. As of 19 February 2007, 84% of all Contracting Parties had reported their official IPPC national contact point. Contracting Parties barely use the IPP for optional reporting, just for the posting of some publications. The minimal use of the IPP for optional reporting is not surprising given the IPPC's priority on mandatory reporting.

93. Contracting Parties offered many reasons for low or non-utilization of the IPP in fulfilling their reporting obligations. The main reason for not complying with reporting obligations via the IPP is the lack of personnel and capacity according to questionnaire results. Respondents also cited other reasons that were repeated in country visits: the lack of easy access to internet facilities and computers; the absence of plant quarantine pest lists in the countries; and the existence of other information reporting mechanisms (e.g. European and Mediterranean Plant Protection Organization (EPPO) - an RPPO). Some Contracting Parties who are EPPO members stated that they did not want to duplicate their reporting and advocated for more information sharing between RPPOs and the IPP.

Table 3. IPP Statistics on Mandatory and Optional Reporting as of 19 February 2007

	Africa	Asia	Europe	North America	Latin America and Caribbean	Pacific	Near East	Total
# of Contracting Parties in region	35	17	44	2	33	12	17	160
Mandatory Reporting Obligations								
Contact Points	32	15	37	2	28	9	11	134
Description of the NPPO	20	9	23	0	15	4	1	72
Phytosanitary restrictions	29	16	32	0	20	14	8	119
Pest Reports	5	1	8	0	18	7	0	39
Regulated Pests	5	5	21	0	8	6	0	45
Points of Entry	16	4	12	0	11	9	3	55
Emergency Action	1	0	1	0	1	3	0	6
Optional Reporting								
Non-compliance	0	3	0	0	0	0	0	3
Organizational (NPPO information)	3	0	1	0	5	4	0	13
Pest Status	0	1	2	0	1	3	0	7
PRA (Rational phytosanitary requirements)	0	0	5	0	1	4	0	10
Publications	18	14	18	0	27	13	4	94

94. During country visits and other meetings, Contracting Parties noted other reasons for not utilizing the IPP to meet reporting obligations. Certain types of phytosanitary information are provided

directly to trade partner countries and some countries consider certain data to be of a sensitive nature (e.g. pest reporting and emergency actions).

95. Finally, meeting reporting obligations is not an area that has been greatly emphasized by the IPPC Secretariat or the CPM. Rather, Contracting Parties have been 'urged' to meet their reporting obligations, but there is no monitoring and compliance system or other such incentive to encourage countries to comply.

96. In late December 2006, the IPPC Secretariat began generating statistics showing national phytosanitary information reported through the IPP. Until then, data were gathered on an *ad hoc* basis in preparation for meetings. The evaluation team believes that the development of this system represents a good first step in monitoring Contracting Party data on the IPP, and has the potential to be more fully developed.

Outcomes of Information Exchange

97. The outcomes of the IPPC Information Exchange functions depend very much on the use made of the Portal. Contracting Parties consider the IPP to be a user-friendly tool, according to their comments on the questionnaire and in country visits. Many cited satisfaction with accessibility, general lay-out, speed-response time, and navigational language. Current data indicate the IPP gets approximately 30,000 to 40,000 hits per month. However the extent to which this indicates the usefulness of the IPP is doubtful and would require more information on the type and length of hits. Utilization of the IPP is primarily for IPPC meetings preparation, standards download, access to national IPPC contact points, and national country phytosanitary information.

98. The capacity and needs of Contracting Parties and stakeholders vary considerably, which impacts IPP usage. Contracting Parties may use the IPP to enter country-level data or to gather data. A number of developing countries have trouble using the IPP both for data entry and for browsing due to poor information technology infrastructure and/or lack of capacity. Language issues also affect use. English is the most common language for documents on the IPP. All documents on the IPP are not available in all official languages, affecting the usefulness of some documents to certain countries. Although navigation is available in four FAO languages, only certain general pages about the IPPC, Secretariat and IPP have been translated into the official languages. Currently, there is a general policy not to officially translate all documents, especially those uploaded by countries. One step taken by the Secretariat and supported by the evaluation team to address this issue has been to encourage NPPOs and RPPOs to provide translations of their own pages and documents.

99. A very important aspect that affects usage of the IPP is the existence of other information exchange mechanisms (often containing both official and unofficial information) available to Contracting Parties. One mechanism is the various RPPO sites, such as those of the *Comité de Sanidad Vegetal del Cono Sur* (COSAVE), the EPPO and the North American Plant Protection Organization (NAPPO), which are widely used by some Contracting Parties for phytosanitary information exchange purposes. Another is direct communication between countries. Much information, because of its nature, is still exchanged directly; this is a key reason why the listing of the IPPC contact points on the IPP was rated of such high importance as countries now know who the official contact point is.

100. The existence of other information exchange mechanisms limits the effectiveness and relevance of the IPP. Countries are reluctant to enter data more than once. There are opportunities for further developing synergies with the existing electronic mechanisms, particularly between the IPP and the RPPO sites. For the purpose of gathering data on standards and their scientific justification, the International Portal on Food Safety, Animal and Plant Health (IPFSAH) has access to and is already harvesting data from the three standard-setting bodies (Codex, OIE and IPPC), as well as from other sites such as, for example, those of the European Union, the United States and Japan. Some opportunities are more costly and time-consuming than others. Basic web site links already exist. But,

overall, linkages have been poorly developed. This is an area where further work should be done, especially since the IPP has now completed its initial development phase.

101. During country visits, many Contracting Parties strongly emphasized the importance of having reliable information on the IPP, and many raised the issue of the lack of reliability of some national information. This is particularly worrying to the evaluation team because the value and usefulness of the IPP will be undermined if Contracting Parties do not have confidence in data on the IPP. Given the volume of information on the IPP and possible legal liability issues, the Secretariat is not in a position to assume the role of data verifier and this should remain the sole responsibility of the Contracting Parties posting the data (i.e. they remain the owners of the data).

102. As a result of a series of sub-regional workshops organized by the Secretariat, there has been a substantial increase – albeit from a low starting point – in the amount of national information available on the IPP. Workshops have not yet taken place in all regions; the remaining ones are planned for 2007. One could expect the growing usage trend to continue given the increased capacity and quantity of those trained. The evaluation team supports the IPP Support Group's recommendations to plan follow-up regional workshops in the near future to assist countries with reporting obligations.

Resources: Financial and Human

103. Over the last three years, funding from extra-budgetary sources has permitted the recent development of the IPP. The primary funding source was the one-off extra-budgetary resources totalling US\$668,000 that the IPPC received as a result of arrears funding, which represented nearly 28% of what the IPPC received from that source. Taking into account its core funding level from the FAO Regular Programme, the IPPC does not have sufficient funds for such development efforts. Core funding should, however, be sufficient to enable the basic maintenance of the IPP and the activities that Secretariat staff need to undertake to meet its reporting obligations.

104. It is recognized that the two full-time Plant Protection professionals who currently manage IPPC information exchange activities are obliged to handle the substantial number of routine operational and technical daily management tasks associated with the IPP and have thus insufficient time for more strategic and technical support in the area of information exchange. Therefore, in addition to these two full-time professional posts, there appears to be a real need for a junior professional who takes overall responsibility for daily management of the IPP (webmaster), thereby freeing up the Plant Protection Officers (focused on the IPP) from these time-consuming tasks. In addition and given the nature of information technology, there also appears to be a need for a full-time Programmer to maintain the existing system and to improve existing IPP tools and features. Finally, routine updates and developments to the IPP require the services of Information Technology (IT) professionals.

Conclusions

105. Contracting Parties are not properly meeting their information exchange reporting obligations as required under the IPPC Convention. While information exchange is recognized as important by Contracting Parties, mandatory reporting obligations are only being partially met via the IPP. Further, while Contracting Parties contend that they find information on the IPP to be important, the reality is that there is still a general lack of country information on the IPP beyond the basic contact points. As described above, there are various reasons for these Contracting Party reporting difficulties.

106. There is general satisfaction with the IPP as a tool. Data show that there has been increased usage of the IPP both for reporting on information obligations and for getting information, particularly over the last two years. That increasing usage trend appears to be continuing, driven in large part by a series of Secretariat workshops on the IPP. While secretariat training efforts have been successful, there is still a need among countries for capacity-building and training on reporting obligations and how to meet them using the IPP.

107. Unreliable information on the IPP undermines the quality and usefulness of the IPP. Future secretariat workshops and refresher courses on the IPP should include sufficient discussion and guidance on the critical importance of the integrity of national and regional information posted on the IPP. In the evaluation team's judgment, only the Contracting Parties posting the information, and not the Secretariat, can verify the reliability of technical information posted. However, the Secretariat does have a role to play in actively promoting the need and benefits of having reliable information on the IPP.

Recommendations

Recommendation 2: Information Exchange

Assistance to Contracting Parties

2.1 The IPPC Secretariat should continue to assist countries to better understand their information reporting obligations and to provide training on how to use the IPP to meet those obligations. Once the Secretariat finishes giving the basic workshop to Contracting Parties in all the regions, future training support should involve the development and provision of short refresher courses to reinforce the training and ensure capacity.

Evaluation of obligation status

2.3 The IPPC Secretariat should consider developing a basic form, available on the IPP, for countries to use to auto-evaluate their reporting obligation status, as well as the accuracy of the data provided. Countries could be encouraged to auto-evaluate their status on a regular basis (e.g. yearly). In view of the arrival of new editors and the need for refresher information by existing ones, the IPPC Secretariat should continue the development of appropriate capacity-building tools.

Increased availability of information

2.5 The IPPC Secretariat should establish formal linkages with other information exchange mechanisms and their databases in particular with RPPOs and the International Portal on Food Safety, Animal and Plant Health, through Memoranda of Understanding or other appropriate mechanisms to improve the availability of information and to increase the usefulness of the IPP. Information provided through RPPOs should be recognised as a legal reporting route for the IPPC, providing that IPPC can harvest the information. This would imply that a standard format for data exchange be defined in the Memorandum of Understanding to permit periodic harvesting of data from these official sources. Further, the IPPC Secretariat should establish a mechanism for Contracting Parties to officially declare to the IPPC which reporting channel they are using to meet their reporting obligations.

Compliance with mandatory information exchange obligations

2.8 Compliance with mandatory information exchange obligations should be given much greater emphasis by the CPM and the Secretariat. A monitoring and compliance system for meeting mandatory IPPC reporting obligations should be developed and implemented. (A first step in that direction would be to publish country information reporting every year at the CPM.) This system should specifically track Contracting Party compliance with all reporting obligations.

Professional support

2.10 The Secretariat should hire a Webmaster for information exchange and a Programmer to maintain the IPP and to improve its tools and features. Funding should be made available for hiring external Information Technology professional assistance to assist with the maintenance of the IPP and to support its further development.

C. TECHNICAL ASSISTANCE

Background

108. Article XX of the Convention addresses technical assistance. It reads as follows: "The Contracting Parties agree to promote the provision of technical assistance to Contracting Parties, especially those that are developing Contracting Parties, either bilaterally or through the appropriate international organizations, with the objective of facilitating the implementation of this Convention".

109. Technical assistance functions were discussed during the ICPM-3 (2001). A number of recommendations were adopted aimed at improving planning, prioritization and programming of technical assistance, including:

- establishment of an *ad hoc* working group on technical assistance which is currently covered by the Informal Working Group on Strategic Planning and Technical Assistance;
- development of a system for determining general priorities for technical assistance and a system for meeting priority needs;
- encouragement of individual Members to utilize the Phytosanitary Capacity Evaluation (PCE)¹⁶ tool to determine their own needs and priorities, and to formulate national plans for the improvement of their phytosanitary systems and for technical assistance where appropriate;
- development of a programme for the promotion of technical assistance in the phytosanitary area;
- determination of priorities for the Secretariat's technical assistance activities; and the Secretariat's preparation of annual reports on ongoing activities regarding phytosanitary technical assistance and the maintenance of a list of general phytosanitary assistance needs submitted by Members.

110. Technical assistance supported by the Secretariat can be divided into two types of activities:

- i) technical assistance related to IPPC core activities, including financial support for the attendance at IPPC meetings, and workshops on draft standards, as well as training on IPP development and use; and
- ii) strengthening of national phytosanitary capacity.

111. **Technical assistance related to IPPC core activities.** This category was financed by the Secretariat's FAO Regular Programme Budget and Trust Funds, including the Special Trust Fund for the IPPC¹⁷ and European Commission (EC) projects. The objective of the EC projects is to provide financial resources for developing countries' attendance at CPM and standard-setting meetings, as well as their participation in training programmes and workshops on IPPC-related activities. Certain RPPOs have assisted in the organisation of ISPM workshops, and these experiences should serve as a basis to further promote the involvement of RPPOs in this type of technical assistance activities. The Special Trust Fund was used mostly for facilitating developing country attendance at IPPC meetings, and attendance to international and regional plant health risk analysis workshops. Between 2001 and 2005, the IPPC Secretariat organized and supported approximately 25 regional workshops on draft ISPMs and other IPPC-related matters. There is no documentation to assess the relevance and effectiveness of this type of technical support. However, both country visit interviewees and questionnaire respondents emphasized the importance and the usefulness of this type of activities. In particular, regional workshops on draft ISPMs were judged very useful by respondents.

112. **Technical assistance for strengthening national phytosanitary capacity.** This type of project includes a wide range of activities, such as: modernization of plant quarantine facilities; training of manpower and establishment of properly equipped laboratories; drafting and promulgation of phytosanitary laws compliant with the WTO-SPS Agreement; and establishment of surveillance systems to assist with the creation of pest-free areas.

113. Between 2001 and 2006, FAO/IPPC provided technical assistance through 48 projects for a total value of US\$10.8 million, financed by the FAO Technical Cooperation Programme (TCP), i.e. FAO's Regular Programme Budget. The TCP projects addressed the following: strengthening phytosanitary capabilities; surveillance, management and establishment of pest-free areas; pest risk analysis and other matters. Extra-budgetary funding (column 2 of Table 4) was mainly used for

¹⁶ The PCE was developed in 1998 to assess the capacity of NPPOs to implement ISPMs. The application of the PCE has been analysed recently by a CABI team. The results will be reported to CPM-2.

¹⁷ MTF/GLO/122/MUL: Special International Plant Protection Convention Trust Fund (Voluntary Trust Fund).

training and for the use of the Phytosanitary Capacity Evaluation tool (PCE) to formulate national phytosanitary plans. The PCE was developed in 1999 to assess the capacity of NPPOs in relation to implementation of ISPMs and the rights and possibilities described in the IPPC.

Table 4. Overview of Projects by Funding Category for the period 2001-2006

	Technical Cooperation Programme (TCP)	Trust Fund and Multilateral Trust Fund (GCP + MTF)	Unilateral Trust Fund (UTF)	Total
N. of projects	48	7	1	56
% total projects	86%	12%	2%	100%
Funding	US\$10.8 M	US\$1.8 M	US\$0.4 M	US\$13.1 M
% total funding	83%	14%	3%	100%

(Source FAO –FPMIS)

114. The evaluation team carried out a desk review of technical assistance for strengthening the national phytosanitary capacity provided by FAO/IPPC through a range of projects over the past five years. The review consisted of a detailed analysis of 26 projects, selected according to activity type, regional distribution and available information. Of the 26 projects, eight were implemented in Africa, seven in Asia, five in Latin America, five in the Near East and one inter-regionally. This analysis included projects that were implemented in countries visited by the evaluation team and the results of the technical cooperation were also covered in the evaluation questionnaire.

115. Few donors supported IPPC-related technical assistance activities through FAO. The lack of donor funding for strengthening national capacities seems to indicate that the IPPC Secretariat did not succeed in involving donors in a substantial manner in its technical assistance programme. Lack of planning on how to meet donor objectives and the absence of clear priorities on the type of assistance to be provided are probably some of the reasons. As a result, the technical assistance coordinated by the IPPC Secretariat was almost entirely an FAO-funded effort.

116. Information related to support provided by other organizations and bilateral donors is limited. Recently, the SPS Committee Secretariat has made some efforts in this regard. The Secretariat submitted a report¹⁸ on SPS-related technical assistance to the Trade Capacity-Building Database of the WTO and of the Organization for Economic Cooperation and Development (OECD), which highlights significant support provided by the European Community and its Member States. Australia, Canada, New Zealand and USA are also named as important bilateral donors for the provision of technical assistance to strengthen the phytosanitary capacity of various developing countries.

Assessment of Projects: Relevance, Efficiency and Effectiveness

117. In a report on the PCE tool, Canale¹⁹ notes that the FAO TCP projects are small and catalytic by nature. Therefore, they should be followed up by the development of formal links to other technical assistance agencies. However, the TCP projects studied for this review did not provide details on technical assistance provided by other agencies, and linkages do not appear to have been established. Further, country counterpart contributions are generally not included in the project budgets. These shortcomings severely limit the sustainability of the activities undertaken.

¹⁸ G/SPS/GEN/26 (4 October 2006).

¹⁹ Felipe Canale "Phytosanitary Capacity Evaluation and its Application in Developing Countries" (December 2004).

118. Generally, the TCP projects were considered relevant to the problems to be addressed. However, most projects experienced delays of several months in start-up and implementation. These delays negatively affected project operations and reduced project effectiveness. In all projects, the PCE tool was used to determine the type of actions to be undertaken. Terminal reports usually contain a list of recommendations, but often without any concrete activity planned to ensure the necessary follow-up.

119. Based on feedback obtained during the country visits and on the questionnaire results, it may be concluded that positive results have been achieved, in particular with regard to staff training. This included: training of NPPO staff and policy-makers on matters such as phytosanitary measures, information technology and use of databases; awareness-raising workshops; pest surveys; and eradication techniques. Questionnaire replies confirm this positive picture, indicating an average score of 7.4 (scale of 1 to 10) for the importance of training and 7.8 for the way training was provided by FAO. Another positive aspect of IPPC/FAO support relates to the work of FAO's Legal Office on legislative aspects, which was carried out in a satisfactory manner, usually with the effective assistance of national consultants.

120. Overall, the longer-term impact, as well as the sustainability of IPPC Secretariat projects implemented over the last five years, are likely to be limited. This is due to: high turnover in NPPO staff; lack of funding or other necessary support to the Plant Protection Service to effectively maintain the strengthened capacity; and the lack of collaboration and coordination with other donors' initiatives. Above all, with a limited timeframe of two years and a ceiling of US\$500,000, TCP projects are not well suited to effectively address complex capacity- building needs in a comprehensive and sustainable manner.

121. Furthermore, Secretariat staffing to provide technical support to the projects was inadequate, with only one technical officer assigned to address a wide range of operational and technical issues in many countries and regions with limited collaboration from other FAO services. This limited follow-up. To address this, some helpful measures have been taken, including the delegation of project responsibility to FAO Regional Plant Protection Officers and the use of consultants.

122. For the Regional Plant Protection Officers' time, FAO's IPPC Regular Programme budget provides funding. In practice, the effective use of these officers' time and their contribution to technical assistance have been uneven. There are several reasons for this. Firstly, their tasks are not well defined in their terms of reference. Secondly, they do not report directly to the Secretariat, making it difficult for IPPC staff to coordinate and oversee technical assistance as a whole. Moreover, timely and detailed planning is made even more difficult by insufficient capacity within the IPPC Secretariat. To date, the Regional Plant Protection Officers' involvement has not resulted in a significant reduction of the workload for the IPPC Secretariat.

123. The evaluation team did not review the importance of the PCE tool because a detailed analysis has recently been undertaken, the results of which have been submitted to CPM-2. The PCE has become a significant component of the IPPC Business Plan's Goal 4 (Improved phytosanitary capacity of members) by promoting the provision of technical assistance. Apart from TCP projects, the PCE is little used by technical assistance agencies, and countries often do not use or present their PCE results externally.

124. The analysis mentions that views on what is meant by phytosanitary capacity vary, but generally include both the protection of plant resources and the facilitation of trade. There is no discussion or definition of this term in the PCE or the IPPC glossary. The PCE implicitly describes a national system model, but the capacity required by countries varies, so it is not appropriate to describe a single benchmark system against which to assess capacity. In the analysis, ten possible objectives are identified for conducting a review of national phytosanitary capacity, and these cannot be addressed by a single tool such as the PCE.

125. The report further recommends that the objectives of the PCE should be restricted to phytosanitary capacity needs assessment as the basis for national planning and priority setting, and for allocating and attracting funding. It should not be used for matters such as rapid appraisal of the national plant health system and measuring the efficiency of the system, to convince trade partners of credibility and trustworthiness, or for monitoring compliance with IPPC or other international obligations. Specific recommendations are made concerning: (i) future development of the PCE; (ii) other tools in phytosanitary evaluation; and (iii) an overall technical assistance strategy.

Conclusions

126. Questionnaire findings highlight a great need for the provision of technical assistance. Requirements are particularly high for training programmes, including upgrading skills of technical staff in the implementation of standards, inspection, surveillance and pest identification. Also, support for pest risk analysis and pest listing, along with issues related to limitations due to infrastructure and equipment, are mentioned as highly important for a majority of developing countries. Canale's²⁰ review of the results of the PCE tool conducted in developing countries also indicates that legislative constraints and constitutional issues are major limiting factors.

127. Technical assistance requirements including capacity-building are broad. To fully address these requirements would require a comprehensive development strategy, including the involvement of various donors in a well-defined, long-term technical assistance programme. FAO/IPPC support to phytosanitary capacity is only a small part of the total global support through a range of donor agencies.²¹ The desk review shows that FAO/IPPC acted largely in isolation, establishing partnerships with other donors in only a few cases in the Caribbean. Lack of coordination between donor agencies is a common feature in virtually all IPPC projects.

128. It would be an important step forward to build on the interests and initiatives of the different donors to better plan and coordinate the various activities to be undertaken. Given the wide range of stakeholders and the extensive needs, this could best be done within the framework of an International Consultative Group on Technical Assistance and Capacity-Building on Phytosanitary Matters.

129. Notwithstanding the ICPM-3 recommendations, in particular with respect to the development of a system for determining general priorities and for meeting needs, priorities for the Secretariat's technical assistance activities have not been established. In addition, there is no clear evidence of the results achieved by the technical assistance.

130. The above shortcomings show that the IPPC Secretariat's overall responsibilities and role should be defined more explicitly. There is insufficient clarity regarding overall technical assistance needs and the role of the FAO/ IPPC Secretariat in this respect. The Secretariat's current role in technical assistance is not adequately focused. It extends beyond its capacity. Moreover, it diverts scarce resources from core business activities.

131. In conclusion, the IPPC cannot be rated as an appropriate international organization for implementing technical assistance activities aimed at the strengthening of national phytosanitary capacity. At the same time, it is recognized that there is a tremendous need for the provision of technical assistance to developing country Contracting Parties to strengthen their phytosanitary capacities, and it is evident that this could benefit from a much better planned and coordinated approach than is currently the case. These tasks can be best undertaken by international technical assistance organizations, including FAO, which have experience and the capacity to raise funds and to implement projects.

²⁰ Ibid footnote 20.

²¹ The World Bank, the European Commission and a number of bilateral agencies are major donors in this domain.

Recommendations

Recommendation 3: Technical Assistance

Coordination of Global Support

3.1 FAO, and not the IPPC Secretariat, is best placed to coordinate global support for strengthening national phytosanitary capacity; and an International Consultative Group on Technical Assistance and Capacity-Building on Phytosanitary Matters should be set up and coordinated by the FAO Plant Production and Protection Division. The group:) would be open to all donors and recipient countries in the field of phytosanitary capacity; b) objectives would be to define priority needs, facilitate resource mobilization, and ensure coordination; it should establish effective linkages with the CPM.

Organization of Technical Capacity

3.3 FAO, through the Plant Production and Protection Division, should organize the necessary technical capacity outside the IPPC Secretariat as part of its regular programme with a view to providing technical assistance in support of phytosanitary capacity development. FAO should do so taking into account its resources and in partnership with other main actors; and FAO should report to the CPM on its phytosanitary technical assistance.

IPPC Technical Assistance

3.5 Technical assistance carried out directly under the IPPC should be limited to its core business, i.e. closely linked to a better understanding of standards and monitoring of the impact of these standards, the development and use of the IPP as a tool for information exchange among Contracting Parties, and support to developing country attendance at technical and governance meetings.

D. DISPUTE SETTLEMENT

Background

132. Dispute settlement is described in Article XIII of the IPPC Convention and a guide to dispute settlement under the IPPC was prepared by the Informal Working Group on Strategic Planning and Technical Assistance (SPTA) in 2005. CPM-1 (2006) established the Subsidiary Body on Dispute Settlement (SBDS) and adopted its Terms of Reference and Rules of Procedure. The IPPC process is not meant to replace the WTO mechanism or to prejudice the rights and obligations of WTO Members who might seek to resolve disputes through the WTO.

133. Dispute settlement procedures have formed an integral part of the IPPC since the adoption of the original 1952 text (Article IX), but have never been formally used since the establishment of the IPPC Secretariat. Therefore, the evaluation team is not in a position to assess their effectiveness. That said, over the years, Contracting Parties have consulted with FAO and the IPPC Secretariat for advice or resolution of phytosanitary disputes. Since records have not been kept, it is unclear how many issues there have been. It has been argued that these informal enquiries constitute FAO's supply of "Good Offices" and should be directed to the Secretariat and recorded within the IPPC dispute settlement framework. At CPM-2 (2007), the decision was made to monitor, record and report these issues to the SBDS and the CPM. The evaluation team concurs.

134. The IPPC's dispute settlement process consists of a series of procedures that make up a dispute settlement system. Article XIII does not preclude Contracting Parties from using any form of dispute resolution (e.g. mediation, consultation, arbitration, etc). The range of dispute settlement options available to Contracting Parties is described in the IPPC's new Dispute Settlement manual (October 2006) developed by the SBDS. The evaluation team views the manual as a useful development; its publication, though, is too recent for its utility to be fully assessed.

135. When asked, many Contracting Parties expressed interest in the IPPC's dispute settlement procedures in response to the Evaluation Team's questionnaire and during its country visits. However, they were generally unaware of the specifics of the procedures which may be one of the reasons why the procedures have not been used.

136. The SBDS is a subsidiary body composed of one expert from each of FAO's seven regions. Its role is to assist the Secretariat in helping Contracting Parties select an appropriate dispute settlement system and may assist in conducting or administering consultation, good offices, mediation or arbitration. The SBDS first met in April 2003 and meets annually since then. It posts its meeting reports on the IPP. To date, the SBDS has focused primarily on elaborating the dispute settlement process. Its activities could increase substantially if and when Contracting Parties use the dispute settlement process.

137. A comparative analysis of the IPPC, OIE and WTO procedures for dispute settlement was carried out as part of a desk review for the evaluation. The OIE process, which is the least formal, results in a confidential technical report to the disputing parties. The IPPC process is more formal and more transparent, involving all Contracting Parties because of the IPPC Secretariat's obligation to report the outcome of formal consultations in the dispute settlement process to the CPM.

138. From discussion with some of its delegates, it appears that the WTO-SPS Secretariat would welcome disputes being handled by the IPPC since it is a big drain on resources at WTO. An IPPC dispute process is viewed as being more technically focused (and less costly) than the more legally focused WTO-SPS disputes. In that respect, the IPPC dispute settlement process could relieve part of the workload carried out under the WTO-SPS settlement mechanism by dealing with technically-based disputes. However, the extent to which the IPPC has the capacity to deal with a full-scale dispute is uncertain since the process is untested.

Conclusion and Recommendations

139. The evaluation team concludes that the CPM has taken the necessary steps to put in place a Dispute Settlement process with a range of options.

Recommendation 4: Dispute Settlement

4.1 Continued effective support should be given to maintain the newly established Subsidiary Body on Dispute Settlement and to promote awareness of the IPPC's dispute settlement procedures. The CPM should encourage Contracting Parties, when appropriate, to make use of this process.

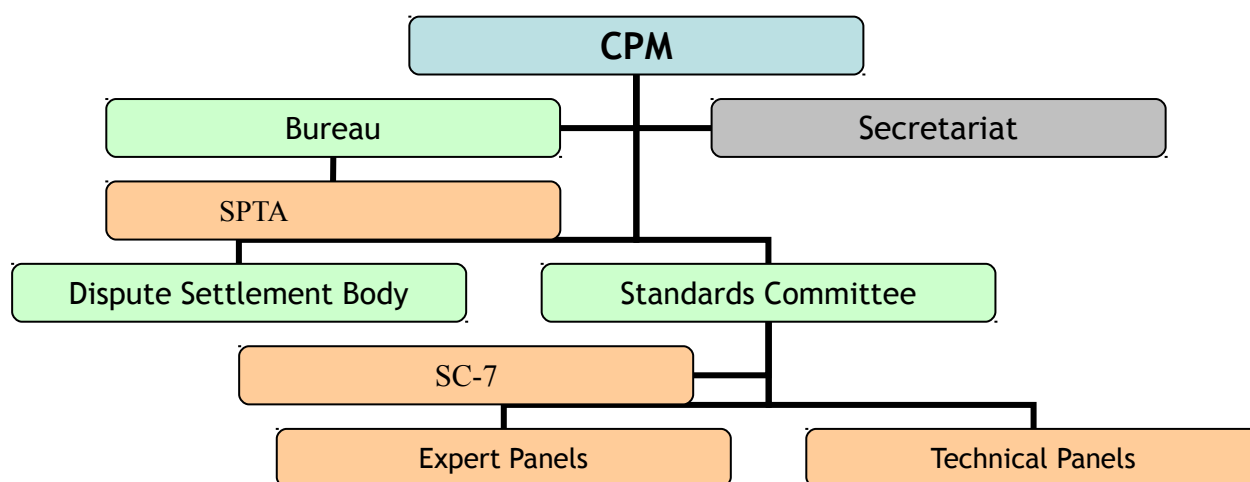
V. Governance, Management and Funding of the IPPC

A. ASSESSMENT OF GOVERNANCE STRUCTURES

140. The IPPC governance has been assessed against four corporate governance principles defined by the World Bank²² in its evaluation of Global Programmes: (i) clear roles and responsibilities; (ii) transparency; (iii) fairness; and (iv) clear accountability. In the following analysis, the fairness principle relates to equitable participation of all Contracting Parties. The following diagram summarizes the structure of the IPPC as of April 2007.

Diagram 1: IPPC Structure

²² World Bank Operations Evaluation Department (2004) "Addressing the Challenges of Globalization – An Independent Evaluation of the World Bank's Approach to Global Programmes".



Commission on Phytosanitary Measures (CPM)

141. The Commission on Phytosanitary Measures, the IPPC's Governing Body, has been responsible for the overall implementation of the objectives of the Convention since October 2005, when the New Revised Text (1997) came into force. Until 2005, these responsibilities were handled by the Interim Commission on Phytosanitary Measures (ICPM). The CPM's main functions are described in Article XI of the Convention and include: (i) review of the state of plant protection in the world; (ii) development and adoption of international standards; (iii) establishment of rules of procedure for the settlement of disputes; (iv) establishment of subsidiary bodies of the Commission; (v) adoption of guidelines regarding the recognition of Regional Plant Protection Organizations; and (vi) establishment of cooperation with other relevant international organizations on matters covered by the Convention. The same functions were listed in the terms of reference of the earlier ICPM.

142. The CPM meets annually. Each Contracting Party may be represented at the CPM. Over time, participation in CPM meetings has grown steadily (see Table 5) and there is a fair participation from all regions. At the CPM's first meeting in 2006, representatives of 124 countries and observers from 15 international organizations attended. Representation from Africa increased significantly from ICPM-4 to ICPM-5, mainly due to support from the Special Trust Fund for the IPPC. Obviously, the CPM is the most important structure for Contracting Parties to express themselves. Eighty-eight percent (88%) of questionnaire respondents rated participation in CPM meetings as very important.

Table 5. Participation in (I)CPM Meetings by Region

FAO Regions	Africa	Asia	Europe	Latin America	Near East	North America	Pacific	Total
FAO Members	48	24	45	33	21	2	16	189
IPPC Members	35	20	42	33	16	2	13	161

as of May 2007 (% of FAO Members)	(73)	(83)	(93)	(100)	(76)	(100)	(81)	
Number of countries attending (I)CPM meetings								
CPM-1 (2006)	32	18	33	21	12	2	6	124
ICPM-7 (2005)	31	17	33	21	10	2	5	119
ICPM-6 (2004)	31	16	36	23	8	2	3	119
ICPM-5 (2003)	29	11	33	18	6	2	3	102
ICPM-4 (2002)	15	13	27	14	7	2	2	80
ICPM-3 (2001)	17	12	31	14	10	2	2	88
ICPM-2 (1999)	14	13	28	14	15	2	2	78
ICPM-1 (1998)	14	12	26	17	6	2	5	82

143. The agenda for ICPM-1 (1998) included the following topics: rules of procedure, adoption of standards, standard-setting procedures, work programme for harmonization, and status of the IPPC. ICPM-1 adopted, among others, a comprehensive set of criteria for the development of priorities for standard-setting. In subsequent meetings, standard-setting priorities were part of the agenda. From the third meeting onwards, the agenda has also included the Report of the (annual) Technical Consultations among Regional Plant Protection Organizations. From the fourth meeting onwards, the Report of the Secretariat has been included. Since ICPM-6 (2004), the agenda has been presented under the headings of the IPPC's six strategic directions (Note: from 2008 onwards the agenda will be presented under the seven 5-year goals contained in the Business Plan) and some 20-30 items have been dealt with in each meeting. Many stakeholders commented that the agenda was too detailed. In each meeting, the adoption of international standards is a major discussion item. Contracting Parties are aware of the difficulties involved with effectively addressing all the opinions expressed during CPM meetings. Notwithstanding, it is generally felt that there is a genuine effort to consider all important points in reaching a consensus.

144. The CPM meetings entail substantial costs; costs of CPM-1 (2006) paid from the Secretariat's budget were US\$232,000 and for 2007, they are estimated at US\$258,000, representing approximately 10% of the IPPC's annual core budget. In addition, US\$240,000 has been allocated from European Commission (EC) and IPPC trust funds to assist developing countries (Contracting Parties) to meet their cost of attendance. In particular, document printing/translation costs charged by FAO are extremely high compared to those of other alternative printing and translation services. Significant cost savings could be made by outsourcing translation activities.²³

145. Surprisingly, over time the CPM has taken no action on the gathering and management of information on the occurrence, outbreak and spread of pests. In the resolution adopted by the FAO Conference in 1997, this is the only technical matter raised. Article 11.2(a) of the IPPC states that one of the functions of the CPM will be to "review the state of plant protection in the world and the need for action to control the international spread of pests and their introduction into endangered areas". The evaluation team considers that the CPM is a unique forum to review phytosanitary issues at the global level. Such a review would be an effective means to determine the overall importance of the IPPC. It is an essential tool to monitor the relevance of the work undertaken, and to determine progress achieved over the years. This could take the form of a State of International Plant Health Report, published at regular intervals.

²³ The cost of FAO services for translation amounts to US\$475 per 1,000 words (2006). The cost average on the market without editing appears to be in the order of US\$180.

146. A draft business plan was developed by the Bureau in 2002. After reviews by the FAO Finance and Programme Committees and by ICPM-6 (2004), the revised Business Plan and Strategic Plan were endorsed by ICPM-7 (2005). A revised 5-year Business Plan has been adopted by CPM-2 (2007), which presents new 5-year goals, including major activity areas and expected outcomes, as well as means of measuring the efficacy of the programme over time. It is intended that this plan will be supported by an annual operational plan, with an associated budget, outlining the year's activities aimed at meeting the agreed goal. It is the view of the evaluation team that the Business Plan, while having the merit of setting goals, is too ambitious vis-à-vis the resources needed and does not provide a clear set of priorities. Furthermore, as good governance and management rule, the CPM should be given the responsibility to review and endorse the operational plan and budget.

147. In general, the evaluation team concludes that over time, the ICPM/CPM has addressed the various activities to be covered under the IPPC in an effective manner. It has developed and set the strategic direction for the IPPC-related activities and has adopted the necessary policies and supporting procedures, and has established relevant structures. However, it has not established priorities needed to cope with the limited resources available in the actual budget. Its responsibilities over decisions relating to the budget are too limited to make a critical review of, and informed decisions on, business/operational plans. The evaluation team believes this is an important issue to address as the CPM is moving towards governance maturity.

Bureau and the Informal Working Group on Strategic Planning and Technical Assistance

148. The Bureau is composed of a Chairperson and two Vice-Chairpersons of the CPM. Its task is to work with the Secretariat throughout the year on executing the CPM's work programme. The Bureau presides at CPM meetings, and both the Bureau and the Secretariat make the final decision for the selection of experts to participate in working groups and panels. The functions also include participation in working group meetings and convening of extraordinary meetings of the Standards Committee. Over the years, the Bureau has made substantial and useful contributions to the Secretariat's work, including assistance in the preparation of working papers for the CPM and other meetings. While the Bureau has been working quite effectively, concerns have been expressed by some Contracting Parties about a small group of individuals taking important decisions on behalf of the CPM.

149. Since its establishment at ICPM-2 in 1999, the Informal Working Group on Strategic Planning and Technical Assistance has been operating as an informal open-ended working group. The SPTA discussed its long-term role and composition at its meeting in October 2003. During the latter, the following issues were raised: (i) the SPTA does not always have enough time to address technical issues on technical assistance; (ii) it does not have formal terms of reference; (iii) its structure is unbalanced, with insufficient representation from developing countries; and (iv) continuity of membership is a problem, particularly for developing countries attendees. It was recommended that the Secretariat seek to facilitate the participation of two representatives from developing countries per FAO Region. This one-off recommendation was adopted by ICPM-6 (2004) for the following (2005) SPTA meeting. But the balance has not changed in favour of developing country participation since then. The number of developing country participants compared to the total number was over the years 2003 -2006 respectively 6/14, 11/19, 7/16 and 5/16.

150. ICPM-7 (2005) adopted the interim terms of reference for the SPTA. The following functions are listed: review of the strategic plan and business plan; work programme; technical assistance activities and information exchange activities; recommendation of strategic priorities for new standards; undertaking of financial planning; development of appropriate procedures; consideration of a possible ICPM response to emerging issues; and undertaking of any other activity referred by the ICPM. The SPTA's activities have allowed for the development over a relatively short period of time of the structures and rules of procedure necessary for the effective functioning and implementation of the IPPC and its various activities.

151. The SPTA's open meetings made it possible to benefit from the goodwill of a relatively small number of people with extensive IPPC experience. Although established as an advisory body, it is recognized by all that the SPTA has been very influential in the overall governance of the IPPC, including CPM decision-making. There is, however, some overlap and a lack of clarity on the respective roles of the Bureau (formal structure) and the SPTA (informal structure). Furthermore, SPTA's informality may have created among certain Contracting Parties an impression of insufficient transparency – transparency being of course essential to good governance.

152. CPM-1 held in 2006 decided to extend the Bureau from three to seven members, one from each FAO region, which would carry out in future the functions currently allocated to the SPTA and Focus Groups. The enlarged Bureau would form the core group of the SPTA. This matter was reviewed by the SPTA at its October 2006 meeting. It agreed to keep the SPTA informal until such time that the effectiveness of the enlarged Bureau could be evaluated. However, such an evaluation will be somewhat delayed because, according to current plans, the selection of the new members of the extended Bureau will only be completed by CPM-3 (2008). In addition, there is a lack of clarity in the CPM-1 report on what the future structure is aimed at, a separate Bureau and SPTA, or one combined body, and little information is provided in the various documents on the real purpose of the proposed changes.

153. The SPTA made extensive use of the experience and advice of many people, and this has strongly benefited the development of the various procedures and structures necessary for the effective implementation of the IPPC responsibilities. The evaluation team considers that the time has come to combine the functions of the Bureau and SPTA into one enlarged Bureau for the following reasons: (i) the coming into force of the IPPC and its permanent structures requires transparent and formal governance mechanisms; (ii) the necessary structures are well established, including their rules of procedure; (iii) making the best use of the available resources; (iv) streamlining the decision-making process; and (v) providing clarity on the role and responsibilities of the Bureau. Such an enlarged Bureau could also play an active role in fund-raising for the various IPPC activities.

154. There will be a strong need for transparency in the Bureau's operations. In particular, the minutes of meetings should be made quickly available and consideration should be given to making audio recordings of the meetings available over the internet, as in the case with the Executive Committee of Codex. The extended Bureau should have the opportunity to co-opt or invite experts for particular discussions as required.

Standards Committee

155. The terms of reference and rules of procedure for the Standards Committee (SC) were adopted by ICPM-3 (2001). The main objective is to prepare draft ISPMs according to the standard-setting procedures. The SC has 25 members, four from each of five FAO Regions, three from the Pacific and two from the North America region (ICPM-6 (2004)). An expert working group of seven (SC-7) is selected from its members; its functions include the review and revision of specifications and draft standards. The SC serves as a forum to manage the standard-setting process, including the development and approval of ISPM specifications and administrative documents for standard-setting; selection of members for Technical Panels, Expert Working Groups and Stewards; review of member comments; revision and approval of draft ISPMs for submission to the CPM; and other tasks assigned by the CPM. The SC meets twice per year.

156. Realizing the expectations of ICPM members regarding standards development and the slow standard-setting procedure, ICPM-5 (2003) decided to establish a Focus Group to examine the current standard-setting mechanism with a view to improve the standard-setting procedure. The Focus Group identified a number of issues and the most important ones concern the following: (i) papers not getting to the SC with enough time for proper review; (ii) SC spending too much time drafting, not enough on other functions identified in the TORs of the SC; (iii) obtaining regular attendance of all members of

the SC; (iv) limited time available for the SC to consider the comments prior to the meetings; (v) lack of Secretariat resources to provide editorial assistance in drafting; (vi) role of SC members: are they regional representatives or experts, or both? (vii) problems with obtaining sufficient expertise in the SC; and (viii) difficulties in getting full participation in the meetings due to language issues and a lack of familiarity with the process.

157. The Focus Group developed a set of recommendations to address some of these issues, including the establishment of a fast-track procedure and the setting up of Technical Panels (TP) in specific areas. These recommendations were adopted by ICPM-6 (2004). Both the Fast Track procedure and the TPs could potentially facilitate the work of the SC but so far, the experience is too limited to determine if this has really happened.

158. The issues raised by the Focus Group highlight not only some of the shortcomings, but also the complexity of the SC's work. Given the results achieved, it may be concluded that the SC has carried out its tasks in a relatively productive manner, as discussed in Section III (A) of this report. The process requires extensive monitoring and management of the wide range of activities undertaken. This is done following a two-step approach through the SC-7, and subsequently the full SC, with extensive input from the Secretariat, the stewards, the technical panels and the working groups. During country visits, stakeholders expressed concerns regarding the selection of SC members; it was felt that the established procedures should be more closely followed. It was also felt that transparency could be improved by more detailed reporting on reasons why certain decisions are taken.

159. For the SC to operate in the most effective manner, it requires the dedicated input of all members. In practice, this is difficult to achieve with a group of 25 people who also have other obligations. This has been partly solved by the creation of the SC-7, but this does not constitute the most efficient use of the human and financial resources. Therefore, the evaluation team has come to the conclusion that the complex tasks could be undertaken in a more effective and efficient manner by a smaller SC, supported by a strengthened Secretariat. This would represent a good compromise between the need for efficiency and productivity with the need for equitable representation. It also considers that the selection of SC members could be strengthened through a more active involvement of the RPPOs in the identification of appropriate candidates in the respective FAO regions.

Recommendations

Recommendation 5: Governance

CPM Programme of Work: The CPM should review and formally adopt the annual programme of work and related budget.

CPM's Cost: In order to reduce the CPM's cost, it is recommended that translation costs should be reduced by outsourcing these activities.

Information: Acknowledging that one of the CPM's key functions should remain the review of phytosanitary issues at the global level, but noting that the Secretariat does not have the capacity to carry out such a review on a regular basis. FAO (and not the IPPC Secretariat) should integrate into its core work programme a review of the phytosanitary status of the world as part of the technical services provided by the Plant Production and Protection Division to the IPPC and to the FAO membership as a whole.

Structures and Transparency: To combine the functions of the Bureau and the Informal Working Group on Strategic Planning and Technical Assistance into the newly enlarged Bureau. 5.5 Greater transparency be ensured through various measures including quick availability of minutes of meetings and audio-recordings on the Internet as well as possibility to co-opt or invite experts.

Effective management of the work to be undertaken by the Standards Committee The total membership of the Committee should be reduced to 14: two from each FAO Region. RPPOs should be involved in the identification of appropriate candidates. The Secretariat should ensure that proposed members meet the requirements as described in the Standards Committee's rules of procedure (subsequently, candidates should be endorsed by the Bureau against agreed criteria before being submitted to the CPM for confirmation).

B. SECRETARIAT

Assessment of Secretariat Functions and Management

160. In 1992, the Secretariat was established within FAO's Plant Protection Service. The Secretariat's mandate is broad and includes administration of the CPM work programme, implementation of the policies and activities, publication of information relating to the IPPC, support to the standard-setting process, facilitation of information exchange between Contracting Parties and coordination with FAO's Technical Cooperation Programme to provide technical support on matters relating to the IPPC. The role of the IPPC Secretariat is unique compared to other standard-setting bodies, i.e. the OIE), Codex and the International Organization for Standardization (ISO), in the sense that it is the only Secretariat given the authority to enter into the substance of standard-setting. It has specific responsibilities at four stages:

- i) initiation of a standard (Procedural Manual 2006, section 9.1 page 34);
- ii) drafting of specifications for standards (in collaboration with the steward);
- iii) consulting with the Chair of the Standards Committee prior to the submission of a draft standard for consideration; and
- iv) resolving comments on draft standards in the fast-track procedure prior to submission of the draft and the comments to the Standards Committee.

161. A number of interlocutors expressed concerns about the lack of leadership and team cohesion within the Secretariat. This translates, among other things, into a lack of strategic prioritization of the work of the Secretariat, late reporting in some cases, and limited sharing of information among the team resulting in information and knowledge for each of the main functions of the Secretariat being very much divided between the members of the team.

162. There are several reasons for this. While all Secretariat staff are highly committed, they face extraordinarily heavy workloads. It is well recognized that the Secretariat is under-staffed to adequately fulfill its growing tasks. As Table 6 shows, the number of permanent staff of the Secretariat

that provide substantive and continuous services has not increased significantly over the past five years.

Table 6. Staffing²⁴ of the IPPC Secretariat for the period 2002-2006

Staffing for 2002		Standards	Info Ex	Tech Asst	Admin	Total
Permanent Staff	Sub-Total	0,6	0,6	1,1	2,8	5,1
Non permanent Staff	Sub-Total	1	1,25	0,25	0,5	3
Total person years		1,6	1,85	1,35	3,3	8,1
Staffing for 2003						
Permanent Staff	Sub-Total	0,6	1,75	1,2	2,55	6,1
Non permanent Staff	Sub-Total	4,5	1,6	0,25	0,25	6,6
Total person years		5,1	3,35	1,45	2,8	12,7
Staffing for 2004						
Permanent Staff	Sub-Total	1,1	1,8	1,1	2,6	6,6
Non permanent Staff	Sub-Total	4,6	1,25	1	1,1	7,95
Total person years		5,7	3,05	2,1	3,7	14,55
Staffing for 2005						
Permanent Staff	Sub-Total	1,1	2	1,1	2,95	7,15
Non permanent Staff	Sub-Total	5,25	1,5	1	1,2	8,95
Total person years		6,35	3,5	2,1	4,15	16,1
Staffing for 2006						
Permanent Staff	Sub-Total	1,5	1,9	1,1	3,1	7,1
Non permanent Staff	Sub-Total	3,25	1	0	1,2	4,45
Total person-years		4,75	2,9	1,1	4,3	11,55

163. As per terms of reference and budget allocation, the Secretary devotes time to the IPPC only on a part-time basis. In the past few years, the former Secretary (who was also chief of the Plant Protection Service) devoted in practice only 20% of his time to the IPPC, the remaining being for other tasks of the Plant Protection Service. The Coordinator, who takes a leading role in the management of the Secretariat of the CPM, is the only senior staff member (after the Secretary). There is no reason to have both a secretary and a coordinator position if the Secretary works full-time on the IPPC. Furthermore, given the tasks involved (i.e. dealing with highly ranked country representatives), the post should be at least that of a manager (D1 position). A desk review²⁵ comparing the Secretariats of recent international agreements notes that, while the Secretariats were originally normally headed by Directors (D2), this has now raised in a number of cases to the level of Assistant Secretary-General for the larger United Nations (UN)/United Nations Environment Programme (UNEP) Conventions.

²⁴ Source: IPPC Secretariat - These data do not cover translation and interpretation, web design, publications, messengers hired for meetings, or work done by external staff under letters of agreement. Further, they do not cover costs of in-kind contributions such as stewards, RPPOs meeting organizational costs, or costs associated with members of the information exchange group developing and writing IPP user manuals and information exchange manuals.

²⁵ Draft Review of the Budget Structures and Secretariats of Recent International Agreements, IPPC Secretariat, 2006.

164. The two most important functions, Standard-Setting and Information Exchange, are carried out by officers with inadequate post seniority vis-à-vis the responsibilities to be undertaken. Indeed, these functions imply frequent negotiations with senior government officials. The work for these two functions should be strengthened in priority and be headed by two senior staff with additional support.

165. The Plant Protection Officers in the FAO Regional Offices are expected to spend at least 25% of their time on IPPC matters. Within the overall IPPC budget, the contribution to the cost of these officers amounts to about US\$350,000-400,000 per year. However, there is no report indicating the actual contribution of them to the work of the IPPC, and the extent to which this capacity is tapped is unclear.

166. There is little control and influence by the IPPC Governing Bodies (i.e. CPM and the Bureau) on the administration and staffing of the Secretariat which, nevertheless, serves and reports to the CPM. The Secretary and the staff of the Secretariat are all appointed by FAO's Director-General through FAO selection and recruitment procedures (Article XII of the Convention and as per article XIV of the FAO Constitution). 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 and do not fully engage the responsibilities of the Contracting Parties.

167. In the past two years, the presentation of the Secretariat's budget plans to the Informal Group on Strategic Planning and Technical Assistance (SPTA) demonstrates efforts towards greater accountability. Furthermore, there is a growing feeling among Contracting Parties of the need for a certain degree of independence and an increased accountability of the Secretariat to the Governing Bodies it serves. Inadequate consideration seems to have been given at the time of the drafting of the new Convention to the wide range of new activities to be undertaken and the need for a mode of governance that would bring the necessary ownership to the large number of Contracting Parties.

Recommendations related to the Secretariat and Staffing

Recommendation 6: Secretariat

Staffing: The Secretary post should not be associated with other FAO functions and should be a full-time D1 (Manager). There should be open competition for the post of Secretary. The Coordinator post should then be abolished. The seniority of the posts dealing with the IPPC's two core functions (i.e. standard-setting and information exchange) should be upgraded to P5, supervising other professionals.

Technical Assistance: In view of the proposed changes regarding the role of the Secretariat on technical assistance: Regional Plant Protection Officers should perform specific tasks against reimbursement from the IPPC budget. Activities funded from this source should be concerned with the primary role of the IPPC (e.g. standard-setting, information exchange and dispute settlement). The activities carried out by the Regional Officers should be reported annually in the CPM as part of the activity and financial report of the Secretariat to the CPM.

Selection of staff In line with the provisions of Article XIV of the FAO Constitution, the Bureau and representatives of the Director-General (e.g. from the Plant Production and Protection Division) will recommend a candidate for Secretary to the Director-General following a transparent and competitive selection process. A similar procedure will be followed for the selection of the professional staff of the IPPC Secretariat. Such staff would not be eligible for consideration as internal candidates for posts elsewhere in FAO.

Structure and number of Professional Secretariat Staff

6.9 Based on the analysis in the previous chapters, changes proposed regarding the structure and the number of professional staffing of the Secretariat are as follows:

- D-1 IPPC Secretary (Manager)
- 1 P-5 Senior Environmental Liaison Officer and Coordination with other international organizations
- 1 P-5 IPPC Senior Standards Officer
- 3 P-4 Standards Officers

- 1 P-5 IPPC Senior Information Exchange Officer
- 1 P-4 Information Officer
- 1 P-3 Programmer
- 1 P-2 Webmaster

168. These proposals assume that technical assistance functions are moved to FAO's Plant Production and Protection Division (AGP). Also, the above does not take into account the requirements for administrative support and other temporary professional support needed for specific tasks (e.g. programme development of the IPP, editing and meeting preparations for standard-setting activities, CPM-related planning and support). The evaluation team is aware that these proposals fall short of the projected staff requirement listed in the Business Plan 2007-2011. However, as mentioned earlier, the Business Plan is viewed by the evaluation team as too ambitious and does not correspond to the resources likely to be available in the foreseeable future.

C. IPPC'S FINANCIAL RESOURCES

Assessment

169. Funding for the IPPC comes from three sources: (i) a core budget paid by FAO's Regular Programme and decided by the FAO Conference, but subject to adjustment by the Director-General; (ii) voluntary trust funds; and (iii) in-kind contributions.

170. The IPPC core budget funded by FAO's Regular Programme budget provides for the "normal" activities of the Secretariat or what is called "core business" of the IPPC, including:

- activities associated with the Commission on Phytosanitary Measures;
- meetings and activities of the Standards Committee;
- expert working groups;
- information exchange (International Phytosanitary Portal);
- technical assistance; and
- partial funding of staff salaries in the FAO Regional and Subregional Offices for their contribution to the work of the Secretariat.

171. Trust funds have been provided by donors for several purposes: (i) provision of additional expertise to the Secretariat through Associate Professional Officers (APOs); (ii) support to specific activities defined by the Secretariat (workshops and expert consultations); and (iii) facilitating developing country participation in IPPC activities. With regard to the latter, a special voluntary trust fund was established in 2004²⁶.

172. Based on the Secretariat's 2006 budget planning report, the distribution of expenses by activity line item shows that the most important cost relates to FAO staff, including both the Secretariat and the regional staff. The second most important is that of administration, with CPM printing, translation and interpretation costs accounting for 60% of the activity line item.

²⁶ *ibid* footnote 18.

Table 7. 2006 Regular Budget: Actual Expenses²⁷

Activity Line Item	Actual expenses (US\$)	Distribution of expenses (%)
Total Staff	1,391,426	57
<i>Total Secretariat Staff</i>	<i>1,076,426</i>	<i>44</i>
<i>Regional Staff</i>	<i>315,000</i>	<i>13</i>
Standard Setting	214,059	9
Information Exchange	62,456	2.5
Dispute Settlement	0	0
Technical Assistance	88,137	3.6
Administration	390,403	16
Liaison	29,962	1.2
Letters of Agreement²⁸	263,174	10.7
Total	2,439,617	100

173. Over the past three years, the total size of IPPC's budget varied between US\$3.2 million and US\$4.6 million (in nominal terms). A desk review²⁹ of the budget structures of recent international agreements shows that the IPPC budget is in the lower middle-range category compared to other international agreements.

174. In constant prices (real terms), the IPPC's total funding has increased by nearly 150% between 1998 and 2005³⁰, with a particular increase in 2003 due to the use of FAO arrears and a sharp increase in voluntary and in-kind contributions from a few donors. Since 1998, the proportion of IPPC's core funding within the total FAO Regular Programme budget has increased from 0.38% in 1998 to 0.62% in 2006, indicating the degree of priority given by FAO to the work of the IPPC. However, over the years, the total volume of IPPC's activities has increased substantially and, as a result, the relative proportion of funding coming from the FAO Regular Programme budget has decreased. Meanwhile, the part from extra-budgetary resources has increased. In this respect, some Contracting Parties have been particularly generous in the past few years, reflecting greater commitments to the IPPC. Furthermore, their extra-budgetary funding and in-kind contributions have been instrumental in ensuring a certain level of service delivery by the Secretariat.

175. Since its establishment in 2004, the Special Trust Fund for the IPPC received contributions from three donors³¹ for a total of \$860,000 (as of February 2007). The fund facilitated the attendance of developing country representatives to ICPM-6, ICPM-7 and CPM-1, to regional workshops on draft ISPMs, as well as to various meetings³². In total, over the three years of implementation, it funded the participation of 60 representatives from developing countries to IPPC meetings.

²⁷ Data from Secretariat as of November 2006

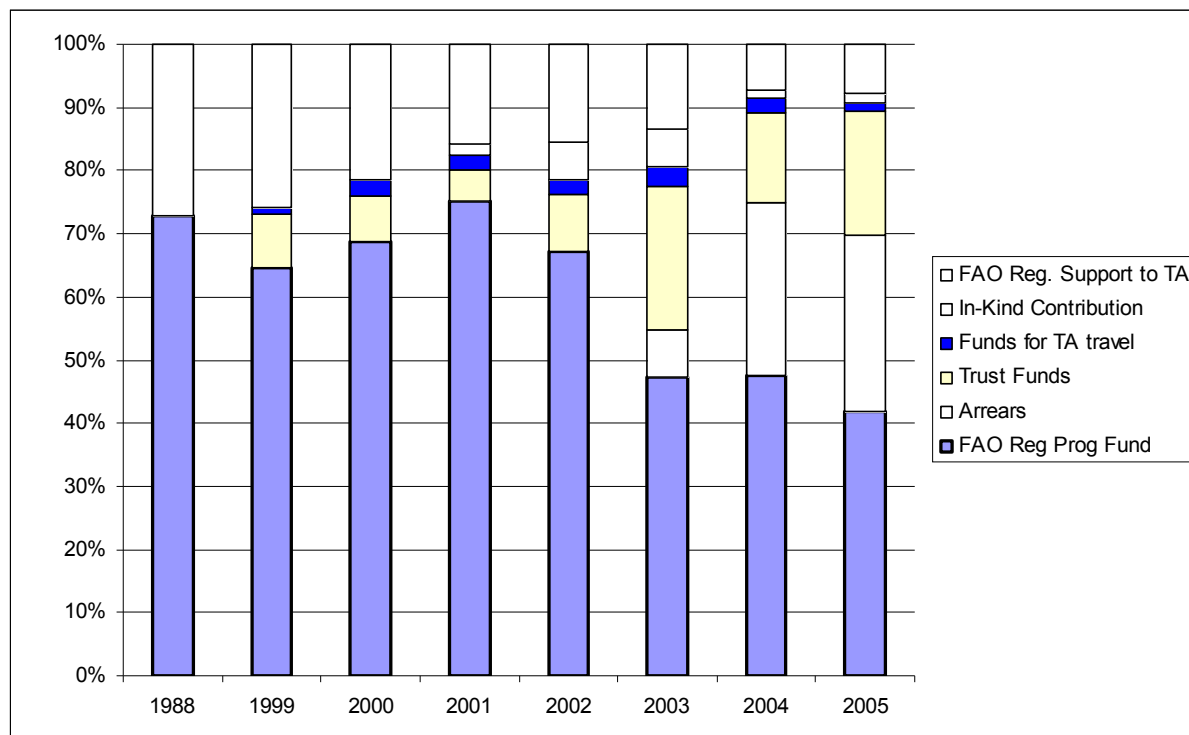
²⁸ This line item refers to activities such as working group meetings and seminars that are related to information exchange and technical assistance that have been sub-contracted by Letters of Agreement.

²⁹ Draft Review of the Budget Structures and Secretariats of Recent International Agreements, IPPC Secretariat 2006.

³⁰ From US\$1.46 to \$3.6 million (1998 base)

³¹ New Zealand, Canada and USA.

³² International Plant Health Risk Analysis Workshop (Canada, October 2005); the meeting of the IPP Support Group organized in Wageningen (and partly funded by the Netherlands Government).

Figure 2. Evolution of the IPPC Funding Base

176. From the above, it appears that the source of funding determines the use. This means that the relative reduction in FAO funding of the IPPC's total budget has resulted in a situation where insufficient resources were available for expanding the core business of IPPC (i.e. essentially funding the services of the Secretariat). Thus, an increasing part of the Secretariat's work has had to rely on human resources provided either through other funding sources or in-kind contributions. The review of activity reports between 1999 and 2006, as well as the Programme and Budget plans of 2006 and 2007, show clearly under-funding for certain core activities of the Secretariat. In particular, information exchange activities (e.g. navigation capacity in the two remaining official languages) and liaison functions have been most affected. There is a fundamental problem of an insufficient stream of resources on the basis of which the Secretariat can plan its core activities, and there is also a large amount of unpredictability with voluntary funding that is not necessarily tied to the IPPC's programming cycle. In addition, the combination of cost-saving recommendations and proposals for additional staffing developed by the evaluation team will likely result in additional net costs for the IPPC that should, in principle, be funded by FAO's Regular Programme budget.

177. Another funding issue is the disconnect between the Regular Programme budget decisions made by the FAO Conference and the IPPC's strategic planning and programming by the Informal Working Group on Strategic Planning and Technical Assistance (SPTA) and approved by the CPM.

178. Finally, the IPPC's financial reporting is insufficiently transparent, due to the lack of separation between IPPC and wider FAO budgets and activities. These should be split, but where the FAO budget and activities relate to the IPPC mission, they could be shown in the accounts as related financial contributions to IPPC activities. The annual financial reports presented to the CPM do not permit a good understanding of expenses against resources. Efforts to increase the transparency of IPPC's financial reporting should lead to a better understanding of the budget issues by all parties and to improved stewardship of the resources.

179. In view of the above, funding options and responsibilities have been examined. The evaluation team analysed the advantages and disadvantages of alternatives and additional funding mechanisms, including mandatory and voluntary assessed contributions, expanding the scope of the multilateral IPPC trust fund, sponsorship of meetings and in-kind contributions by IPPC Contracting Parties, as well as service fees and charges. To do so, the team looked at practices in other international agreements. With regard to service fees and charges, the evaluation team benefited from the experience of another standard-setting body, the OIE.

Conclusions

180. There is little margin for significant increases in the IPPC's funding level by FAO from its Regular Programme budget given FAO's overall budget situation. However, FAO should preferably ensure systematic annual core funding of the Secretariat's core activities on a basis agreed upon by the CPM's expanded Bureau and FAO. This would permit to identify in a timely manner the amount of additional resources to be mobilized to meet the full IPPC budget requirements.

181. In the same way that technical staff of the Secretariat should be selected by both FAO and the expanded Bureau of the CPM, the annual budget and programme should be defined by the expanded Bureau. The Secretariat should be fully accountable to the expanded Bureau and should provide detailed and clear financial reports.

182. There is strong resistance from many Contracting Parties to the setting up of assessed contributions, which would increase the autonomy of the IPPC vis-à-vis FAO. This is obviously the most far-reaching alternative as it would likely have legal implications, but it seems unrealistic to pursue this at this stage. Consequently, extra-budgetary funding will have to remain the primary source of additional funding of the IPPC in the future. This seems to be the prevailing opinion among the Contracting Parties, as confirmed by the results of the questionnaire regarding funding options. It was also the conclusion reached by CPM-2. FAO Regular Programme budget is ranked first by 69% of questionnaire respondents, followed by the expansion of voluntary contributions and by in-kind contributions. The Secretariat should have a more solid resource mobilisation strategy, stressing the preference for multi-donor trust funding over bilateral funding. Donor Contracting Parties should make an effort to tie their contributions to the IPPC's annual planning cycle.

183. More innovative approaches of funding, such as cost-recovery schemes, will have to be systematically and carefully considered in the future, using models and experiences of other standard-setting bodies, especially in cases where the Secretariat expands its functions and/or takes upon additional tasks (e.g. pest-free certification system, compliance system, certification system for plant protection, capacity evaluation using the PCE tool, etc.). However, the cost of running such schemes against their benefits should be properly assessed. To increase funding opportunities, additional efforts should be undertaken to enhance the public information on the overall importance of plant protection to effectively address food and biosecurity concerns.

Recommendations

Recommendation 7: Financial Resources

- 7.1 FAO should preferably ensure systematic annual core funding of the Secretariat's core activities on a basis agreed upon by the CPM's expanded Bureau and FAO.
- 7.2 The annual budget and programme should be defined by the expanded Bureau. The Secretariat should be fully accountable to the expanded Bureau and should provide detailed and clear financial reports.
- 7.4 The Secretariat should have a more solid resource mobilisation strategy, stressing the preference for multi-donor trust funding over bilateral funding.
- 7.5 Donor Contracting Parties should make an effort to tie their contributions to the IPPC's annual planning cycle.
- 7.6 More innovative approaches of funding such as cost-recovery schemes will have to be systematically and carefully considered in the future.

VI. Relationships with International Organizations and Agreements

184. Under the IPPC's Business Plan Goal 6 (International promotion of the IPPC and cooperation with relevant regional and international organizations), the CPM is required to strengthen cooperation with other relevant organizations to identify areas of common interest and develop coordinated activities and joint programmes where appropriate. From information gathered from reports and evaluation team visits, the IPPC is obviously pursuing its relationships with other international organizations. Collaboration with some organizations has been more intense than with others. There is a natural working relationship between the IPPC and the Regional Plant Protection Organizations. Among the other organizations implementing international agreements, the Convention on Biological Diversity (CBD) is the one with which IPPC's links are the most important.

A. REGIONAL PLANT PROTECTION ORGANIZATIONS

Assessment of the Roles of the Regional Plant Protection Organizations

185. The roles of the Regional Plant Protection Organizations (RPPOs) are described in Article IX of the Convention. ICPM-7 (2005) adopted a detailed set of recommendations on the roles and functions of RPPOs and their relationship with the CPM, following proposals prepared by an *ad hoc* working group. The areas of cooperation are: standard-setting process, information exchange, technical assistance, dispute settlement and funding issues.

186. Before the adoption of the New Revised Text of the Convention in 1997, the RPPOs constituted the main link between the NPPOs and FAO. Matters of joint interest were reviewed in the Technical Consultations between FAO and the RPPOs, the first of which was held in 1989. At that time, it was recommended that a clearly identifiable Secretariat of the IPPC be created within FAO and that FAO should explore the possibility of creating an official body (the current CPM) to support the IPPC. In the following years, Technical Consultations played a major role in the revision of the IPPC.

187. The involvement of the RPPOs and their member countries in IPPC activities was discussed by the evaluation team on several occasions, including the 2006 Technical Consultation with RPPO representatives and visits to headquarters of some of the RPPOs. RPPOs are key actors for the achievement of IPPC strategic objectives, in particular with respect to the development and implementation of ISPMs and to information exchange. However, the diversity of the existing nine RPPOs makes it difficult to follow a uniform approach in the collaborative arrangements between the IPPC and the RPPOs.

188. As noted above, the RPPOs played an active and strong part in the development of the 1997 Convention. The evaluation team is convinced that they can and should play an equally important and effective role in the planning and implementation of the Convention's ongoing activities.

Suggestions

189. The evaluation team identified a number of areas in the above sections where RPPOs could have a greater role in the implementation of the Convention, which are:

- a) Information Exchange: The development of Memoranda of Understanding for the establishment of systematic links with databases of RPPOs as discussed in the section above on Information Exchange; EPPO, NAPPO and COSAVE have particularly well-developed databases.
- b) Standards:
 - i) RPPOs could play a greater role regarding the development and implementation of ISPMs, including the organization and conduct of regional workshops to review draft ISPMs;
 - ii) RPPOs could plan the regional implementation of adopted ISPMs in cooperation with the FAO Plant Protection Officers. This could also involve the coordination of technical assistance requirements for Contracting Parties to meet their obligations as well as the provision of technical assistance support to facilitate the implementation of ISPMs.

190. The evaluation team was not in a position to conduct an evaluation of the RPPOs. However, it identified issues that need to be further explored and that should be addressed by FAO in the near future:

- the Asia and Pacific Plant Protection Commission (APPPC) and the Caribbean Plant Protection Commission (CPPC)³³ are FAO subsidiary bodies³⁴;
- FAO should review carefully its support to these bodies. In particular, it should define ways of ensuring greater independence and long-term sustainability;
- efforts should be undertaken to finalize the establishment of the Near East Plant Protection Organization; and
- FAO, in collaboration with relevant regional bodies, should explore opportunities to strengthen the capacity of certain RPPOs, such as the Inter African Phytosanitary Council (IAPSC), in collaboration with the African Union (AU).

B. RELATIONSHIP WITH THE CONVENTION ON BIOLOGICAL DIVERSITY

191. Invasive alien species are increasingly recognised as a major threat to the environment and biological diversity, second only to habitat loss resulting from climate change and direct human destruction, according to the United Nations Environment Programme (UNEP). Both the IPPC and the CBD have mandates to address the issues of plant pests that affect biological diversity as discussed in Section III (A). Therefore, the relationship between the CBD and IPPC is of great significance to both parties. It is the subject of a Memorandum of Cooperation between FAO and the CBD and there is a joint work plan for the two Secretariats. At CPM-1 (2006), it was reported that at a joint meeting, "it had been suggested that parties to the CBD may consider recognizing the IPPC as the standard-setting organization for invasive alien species that were pests of plants".

192. The IPPC has an internationally recognised role in standard-setting in relation to plant pests, and there seems to be a general recognition of the IPPC's competence in the area of invasive alien

³³ The CPPC is currently being dismantled and the RPPO activities will be taken over by the Caribbean Agricultural Health and Food Safety Agency (CAHFSA), which will function as the RPPO for the Caribbean subregion in accordance with Article IX of the New Revised Text of the IPPC.

³⁴ Article XIV of the FAO Constitution for the Asia and Pacific Plant Protection Commission, and Article VI for the Caribbean Plant Protection Commission.

species affecting plant life and health. The CBD has produced its own guidelines on invasive alien species, which is another reason why the IPPC's relationship with the CBD is so important. At CPM-1, it was noted that there were concerns that there may be joint activities on alien invasive species which are not defined in the IPPC and which may not be equivalent to quarantine pests. Care was requested to ensure that the CPM is kept well informed of any common activity between the CBD and the IPPC which may affect international trade, due to different criteria and interpretations. A number of different perspectives are evident in the CBD and IPPC which could lead to conflicting approaches, such as the timeframe of impacts assessed, the role of scientific evidence in precautionary actions, and the respective responsibilities of exporting and importing parties. Given that the CBD and IPPC both address invasive alien species and living modified organisms, it is important that collaboration continues to enhance synergies and mutual understanding and to reduce possible duplication. Recent discussions on terminology between the two entities are an example of actions being taken to improve mutual understanding.

193. The CBD and IPPC are linked to national governments through different ministries (usually environment and agriculture respectively) in most cases, which have diverse responsibilities and capacities. The IPPC works with NPPOs that are routinely responsible for phytosanitary regulation of international trade, and also have the capacity for inspection, surveillance and management of pests if they are detected. The IPPC's relationship with the CBD at the global level helps ensure coherent integration of phytosanitary regulations that affect either or both broad agricultural and environmental risks from plant pests. This mirrors the interaction that is essential at national levels to ensure effective environmental risk management. The practical knowledge of pest risk analysis, surveillance, diagnosis and management developed by the NPPOs associated with the IPPC could give great support to practical management of invasive alien species by the CBD and its national link agencies.

194. There is a genuine interest within the CBD Secretariat to collaborate with the IPPC on matters of joint interest in relation to invasive species and living modified organisms and to rely as much as possible on the IPPC on taking appropriate measures to avoid undesirable introductions. Given the emerging global importance of environmental concerns and the overlap of the IPPC and CBD mandates, it is essential that there is sufficient expertise and capacity within the IPPC to address the issues and to interact with the CBD. This has been discussed earlier in this report, and it is recommended that an Environmental Liaison Officer position be created in the IPPC Secretariat.

C. RELATIONSHIPS WITH OTHER INTERNATIONAL ORGANIZATIONS AND AGREEMENTS

195. *World Trade Organization (WTO)*. Of the international organizations and agreements whose objectives and activities overlap with those of the IPPC, the WTO is of particular importance. The WTO's Agreement on the Application of Sanitary and Phytosanitary Measures (SPS Agreement) states that countries should use internationally-agreed standards in establishing their requirements for sanitary and phytosanitary measures. To meet this objective, the SPS Agreement identifies three standard-setting organizations: (i) IPPC for plant health; (ii) Codex Alimentarius Commission for food safety; and (iii) the World Organization for Animal Health (OIE) for animal health.

196. For the IPPC, cooperation with the WTO and the other standard-setting bodies is essential to avoid overlap or conflicting approaches and to create synergies. The IPPC maintains a good working relationship with the WTO and the SPS Committee. The IPPC attends WTO SPS Committee meetings as an official observer and the SPS Committee is invited to the CPM to which it provides annual updates.

197. The IPPC maintains close, informal working relationships with the two other standard-setting bodies under the SPS Agreement, OIE and Codex. The three standard-setting "sisters" liaise informally at WTO meetings and are generally aware of how the others work. The IPPC recognizes that there are opportunities to cooperate with the other standard-setting bodies in areas where there are

commonalities relating to standard-setting (e.g. use of international rules, electronic certification). At the national level, Contracting Parties are increasingly combining the three disciplines (plant health, animal health and food safety) into one administrative unit in order to capitalize on commonalities and improve the efficiency in the implementation of international agreements and their respective standards.

198. While there are many institutional similarities between these three organizations, technical specialists recognise that there are significant fundamental differences in the problems they address, particularly the enormous diversity of plant pests, pathogens and invasive alien species, their ability to propagate and disperse themselves, and their impact on the natural environment further removed from direct human impacts. Therefore, comparisons must be made with care and the organizations may not always offer benchmarks for each other.

199. *Codex Alimentarius Commission*. As noted, the IPPC Secretariat maintains an informal working relationship with the Codex Secretariat, focused primarily on procedural issues related to the functioning of an SPS standard-setting body. There is limited scope for technical interaction between the two. IPPC's relationship with Codex is facilitated by the fact that both are housed within FAO and each year Codex is invited to attend the CPM.

200. *World Organization for Animal Health (OIE)*. As with Codex, the IPPC Secretariat maintains an informal working relationship with the OIE. The IPPC and OIE have coordinated on such issues as certification, risk analysis and recognition of pest- and disease-free areas. Recent discussions between the two concentrated on the structure and funding mechanisms of the OIE.

201. *Montreal Protocol on Substances that Deplete the Ozone Layer (Montreal Protocol)*. Cooperation between the two has focused primarily around the issue of methyl bromide. IPPC Contracting Parties who are also parties to the Montreal Protocol are aware of their obligation to take precautionary measures to control emissions of ozone depleting substances such as methyl bromide. The CPM recognizes the need to retain methyl bromide for critical quarantine treatments until alternative phytosanitary treatments or procedures are available. CPM-2 agreed to continue to cooperate and coordinate with the Ozone Secretariat on issues of common concern with a view to identifying and promoting activities that would benefit and enhance the coherence of the two international agreements.

202. *Liaison with Research, Education and other Institutes*. CPM-2 adopted a work programme on liaison with research, education and other institutes. The proposed activities include: (i) identification of research, education and other institutes in countries; (ii) incorporation of database into IPP; (iii) development of an IPPC information package; and (iv) IPPC information package provided to research, education and other institutes.

VII. Overall Conclusions: Priorities and Vision for the Future

203. More than 13 years after the first International Standard for Phytosanitary Measures (ISPM) was adopted, it is clear that the experts who discussed the future of the IPPC in the consultations between FAO and the RPPOs in the late 1980s had the right vision on how best to revise the Convention to effectively facilitate the rapidly expanding international trade. The revisions aligned the Convention with the Agreement on the Application of Sanitary and Phytosanitary Measures (the SPS Agreement) of the World Trade Organization. A new Convention and related structures were developed which have succeeded in a remarkable manner in transforming the former Convention into an effective international standard-setting structure in a relatively short period of time. The IPPC has quickly achieved equal status to the two older standard-setting bodies recognized under the SPS Agreement, OIE and Codex Alimentarius.

204. A forum has been created where leaders of all NPPOs can meet and review the necessary actions needed to reduce the spread of plant pests under conditions of increased international trade in agricultural products, as well as increased passenger traffic. The development and implementation of ISPMs is the main instrument for this and these standards have proven to be essential tools to appraise and address phytosanitary matters in an effective manner. Another key element has been the simultaneous development of a coordinated information exchange mechanism, the International Phytosanitary Portal (IPP). In addition, extensive efforts have been undertaken to assist developing countries to strengthen their capacity to fully participate in these new developments.

205. It is not possible to measure tangible benefits of these new initiatives. However, it is evident from the feedback received from a wide range of stakeholders and through the results of the questionnaire that the benefits to Contracting Parties are significant and that the IPPC is valued as an important Convention. In addition to the benefits derived from the availability of recognised international standards, information and knowledge exchanged and experience shared through the various IPPC structures represent significant benefits to Contracting Parties that are difficult to quantify. In the future and in line with Goal 6 of the Business Plan, increased attention should be paid to ways and means to enhance the public information on the overall importance of plant protection to effectively address food and bio-security concerns, and the important role the IPPC, RPPOs and NPPOs are playing in this respect.

206. There are some concerns in relation to certain activities, but it is generally recognized that in a relatively short period of time, the IPPC has developed a solid basis for its overall governance. Most surprisingly, these developments have taken place under conditions of continuous concerns about shortage of staffing and funding limitations.

207. The IPPC will have an even brighter future provided that the necessary actions are taken on a number of matters discussed in this report. The evaluation team's recommendations aim, first of all, at strengthening the IPPC's governance structures, as well as at the equitable and effective participation of all Contracting Parties in the workings of the IPPC. Stronger structures will enhance the overall effectiveness of the activities undertaken under the Convention, and hopefully ensure that all Contracting Parties meet their obligations in a consistent and sustainable manner.

208. Furthermore, the recommendations aim to promote greater efficiency of actions taken at various levels, and greater ownership of the processes and outputs by all Contracting Parties. In this respect, the relationship with FAO is an important element. FAO's hosting of the IPPC Secretariat is accepted as a logical situation by virtually all stakeholders and the financial support provided by FAO has been instrumental for the work undertaken so far. However, the evaluation team's analysis and conclusions call for a more balanced and secured relationship with fully shared responsibilities between the Governing Bodies of the IPPC and FAO, in particular regarding budget levels and management as well as Secretariat staffing.

209. Two aspects require special consideration:

- i) The new Convention that came into force in October 2005 provided the Convention with its own governing body, the consequences of which are inadequately reflected in the current administrative arrangements with FAO. A dialogue needs to start now between FAO and the CPM on the practical modalities of a new partnership between the CPM and FAO.
- ii) The Secretariat's funding base for its activities also needs to be reviewed in view of the constant shortage of adequate resources on which the Secretariat can prioritize and plan its work. Again, the principle of shared responsibilities between FAO and the Contracting Parties means that agreement will have to be reached on a minimum level of sustained funding from FAO, as well as the commitment of Contracting Parties to ensure the necessary additional funding over a significant period.

210. Finally, the IPPC should concentrate on what it can do best vis-à-vis the needs of the Contracting Parties, given the limited financial and human resources. The IPPC needs to prioritize strategies and activities at all levels. In this respect, more effort needs to be put on strengthening the core work related to information exchange and standard-setting. Technical assistance under the IPPC should be strictly limited to IPPC-related activities. However, the significant country requirements for phytosanitary capacity-building and the need for coordination of assistance indicate that there is a special role for FAO and other technical assistance agencies to play.

211. The strong interest of the wide range of stakeholders in the effective development and implementation of the IPPC is the best guarantee for the future of the Convention. With a relative small number, but nevertheless significant adjustments to the current workings of the IPPC and FAO, it should be possible to even more effectively address the challenges ahead and to meet the expectations of the Contracting Parties.

Annex I: Terms of Reference

I. Background

The seventh session of the Interim Commission on Phytosanitary Measures in April 2005 requested an evaluation to be carried out as soon as possible which would provide:

- “an input on future policy, organizational structure, funding negotiations, strategy and management of the IPPC”; and
- “an analysis of the current administrative and working structures of the IPPC, their functioning and output in relation to existing goals and their suitability to implement the strategic plan of the IPPC”³⁵.

It was further stated that the “evaluation shall have considerations for the future on an examination of past performance, current and emerging challenges and innovative ideas. It shall also determine if IPPC activities and administration are satisfactory to meet the needs of surveyed members”.

At its meeting in May 2005, the FAO Programme Committee agreed that, as part of its regular programme of in-depth independent evaluations, the Evaluation Service carry out an evaluation of Corporate Strategy B, Strategic Objective B.1: *International instruments concerning food, agriculture, fisheries and forestry, and the production, safe use and fair exchange of agricultural, fishery and forestry goods*. This evaluation includes the International Plant Protection Convention and work related to the PAIAs on Biosecurity for Agriculture and Food Production and Climate Change.³⁶

The evaluation of the IPPC³⁷ will thus generate findings for consideration by contracting parties to the IPPC and will also provide one of the cases studied in detail for the overall evaluation of FAO’s work on international instruments.

II. Scope and Purpose of the Evaluation

The evaluation will provide recommendations and considerations for the future on the relevance, efficiency and effectiveness of all dimensions of the current IPPC framework, and if indicated by the evidence make suggestions for alternative approaches in meeting the future needs. The evaluation is thus formative, basing considerations for the future on an examination of past performance, current and emerging challenges and innovative ideas. It shall also determine if IPPC activities and administration are satisfactory to meet the needs of the parties and other FAO members.

- The evaluation will cover the relevance, effectiveness and the efficiency of the international activities that are pursued through the IPPC, including phytosanitary policy discussion, international standard setting, mandatory information exchange, dispute settlement and technical assistance.
- The evaluation is designed to provide an input into decision making on future policy, organizational structure, funding, strategy and management of these international activities at the level of the Commission on Phytosanitary Measures, FAO Governing Bodies and Senior Management, the IPPC secretariat and other FAO units that make technical inputs in these activities (Legal Office, Regional Offices).
- The evaluation will also provide one of the detailed cases studied for the overall evaluation of FAO’s work on international instruments (Strategy B1).

³⁵ ICPM-7 (2005)/REPORT APPENDIX XIV

³⁶ Report of the Ninety-third Session of the Programme Committee, Rome, 9-13 May 2005 (para. 56).

³⁷ Includes all the activities and structures associated with the implementation of the Convention

With respect to the international activities of the IPPC and support to developing country members, the evaluation will encompass all aspects of the objectives, priorities and strategic directions. The evaluation will address the global requirements for international phytosanitary standards to protect cultivated crops, forests and wild flora, habitats and ecosystems, while facilitating international trade. In doing so, the evaluation will examine the respective requirements of society as a whole and in particular crop protection practitioners, environmentalists, producers, industry, traders, and regulators.

The evaluation will also provide an analysis of the current administrative and working structures of the IPPC, their functioning and output in relation to existing goals and their suitability to implement the strategic plan of the IPPC.

The evaluation will also compare the framework of the IPPC with the infrastructures supporting other international agreements including those for standard setting and thus, provide lessons for FAO's overall work in this area, as part of the evaluation of Corporate Strategy B, Strategic Objective B.1: International instruments concerning food, agriculture, fisheries and forestry, and the production, safe use and fair exchange of agricultural, fishery and forestry goods.

III. Evaluation Coverage

The evaluation will examine issues including, but not restricted to those indicated below. The issues are quite comprehensive. The evaluation will address issues related to relevance, quality, efficiency and use made of IPPC outputs and their impact.

A. Relevance

The relevance and adequacy of the scope of the Convention and in particular the relevance of the international activities and outputs of the IPPC and its current strategic directions in the context of evolving challenges:

- a) the evolving plant health and biosecurity situations, and other environmental developments;
- b) globalisation and increase in international travel and trade, including the fresh produce markets and increased role of developing countries in supplying these;
- c) the relevance and adequacy of international standards as a basis of developing national and regional regulations in both developed and developing countries for the:
 - i) reduction of phytosanitary risks,
 - ii) facilitation of trade;
- d) capacity of countries, in particular developing countries, to participate in the standard setting process and the ability to understand and implement in full ISPMs;
- e) the relation between phytosanitary regulations and the increasing number of industry standards and commercial certification;
- f) role of third party organizations, including private sector companies in the implementation of phytosanitary certification processes under contract to national authorities;
- g) developments in other international agreements, including:
 - i) World Trade Organization (WTO)
 - ii) Convention on Biological Diversity and the Cartagena and Montreal Protocols (roles and coherence between the various multilateral protocols; inter-relationships between the protocols; and potential areas of overlap)
 - iii) regional trade agreements and agreements between trading blocks, and
 - iv) Codex;
- h) role of the regional plant protection organizations;
- i) the expectations and needs of countries in different regions and at different stages of development from the national plant protection organizations producers, traders and industry, particularly as regards:

- i) policy dialogue
- ii) standard-setting
- iii) information exchange (relevance and appropriateness of the IPPC role in the information exchange)
- iv) technical assistance (relevance and appropriateness of the IPPC Secretariat in mobilising and providing technical assistance)
- v) participation in IPPC activities; and
- j) the relevance and utility of the IPPC from the private sector perspective; and
- k) in view of the above, relative importance of the different outputs of international IPPC activities.

B. Quality and Adequacy of IPPC Work

- a) policy dialogue;
- b) standard-setting including:
 - i) scientific base; clarity; applicability; verifiability; and comprehensiveness;
 - ii) existing standards and significant lacuna in the architecture (coherence of IPPC priorities for standards with needs); and
 - iii) other technical guidelines, etc.
- c) information exchange including: meeting the obligations of the Convention; access; capacity; liability; utility; and user-friendliness;
- d) technical assistance; and
- e) support to regional plant protection organizations.

C. Efficiency and Effectiveness

Efficiency and effectiveness of IPPC institutional structures and processes, including comparison with other bodies fulfilling similar functions (bench-marking) and identification of bottlenecks:

- a) functionality for: policy and strategy development; prioritisation of work (including standards; balance between capacity building activities and other activities); standard setting; dispute settlement (market for this mechanism); information exchange; mobilisation and utilisation of resources and the establishment of priorities for capacity building (links with other programs and donors);
- b) advantages and disadvantages of the institutional and legal arrangements between the IPPC and FAO;
- c) integration and support from FAO units in addition to the Plant Protection Service;
- d) role of regional plant protection organizations; their role in the international standard setting process and their functionality;
- e) efficiency (costs);
- f) language policy;
- g) ownership of the IPPC and its processes by different groups of countries;
- h) involvement of non-governmental stakeholders in the processes (including the current and potential role of the private sector in standard setting);
- i) mechanisms for resourcing the international functions of the IPPC, and budget and financing arrangements;
- j) distribution of tasks between the Secretariat, voluntary input by members and consultants;
- k) the structure and management of the Secretariat;
- l) administration of the Commission and institutional structure of IPPC committees, working groups, etc;
- m) coherence of approaches and collaboration with other standard setting bodies including Codex and OIE;

- n) potential for partnership including with CGIAR and other research and training institutions and outsourcing work with institutions on a continuing (retainer) basis; and
- o) inclusiveness of IPPC processes for stakeholders other than national plant protection organizations.

D. Use Made of IPPC Outputs and Their Impact

Use made of:

- a) policy dialogue;
- b) standards;
- c) dispute settlement;
- d) information; and
- e) mobilization of support and technical assistance for developing country capacity building and participation in the standard setting processes.

IV. Arrangements for Conduct and Management of the Evaluation

A. Management of the Evaluation

To ensure its independence, the evaluation will be managed by the FAO Evaluation Service, which will appoint an independent, technically-balanced evaluation team following transparent and competitive selection practices on criteria of competence and to the extent possible regional and gender balance. The Evaluation Service will consult with the IPPC Secretariat, Bureau and the Informal Working Group on Strategic Planning and Technical Advice on the terms of reference and on the draft report, but not on the conduct of the evaluation which will be carried out in line with best practice as defined in the UN Norms and Standards for Evaluation.

B. Composition of the Evaluation Team

The team will carry out the core work of the evaluation in line with the terms of reference. The team will be responsible for the findings and recommendations in its report, and will be responsible to the Evaluation Service to ensure that the report meets terms of reference and the required quality standards. The evaluation team will consist of a core of five persons who can draw flexibly on technical resource persons (subject to budget):

- a) a senior team leader with wide experience of the overall IPPC context;
- b) two core team members with relevant technical experience of which one is from the southern hemisphere;
- c) two core team members from the FAO Evaluation Service including one senior evaluation manager (and economist) and one trade economist;
- d) regional resource consultants, particularly from developing countries, on such issues as private sector interests, information technology and environmental issues; and
- e) a research assistant will provide support to the evaluation.

V. Methodology

The evaluation will use traditional tools for evaluation, including structured interviews with stakeholders at Headquarters and at the country level, as well as reviews of reports and outputs produced by the IPPC, case studies, and any other relevant materials.

The evaluation will be carried out in a consultative manner and will include, but not be restricted to, the following methodology. To begin the evaluation, papers were prepared including an approach paper and preparatory desk study. After this initial work was done, a stakeholder consultation was then convened in early March to better define issues and modalities for the evaluation.

The methodology to be used by the evaluation team may include information gained from:

- Documentation review;
- Stakeholder workshop(s): An initial and peer review stakeholder workshops are envisaged. The initial workshop was held in March (a peer review workshop will be held at a later date to discuss the draft report);
- Desk study(ies), including a desk review of projects carried out by FAO under the IPPC Secretariat;
- Questionnaire(s): It is envisaged that a questionnaire will be developed and sent to Contracting Parties. A Research Assistant will assist with the analysis;
- Issues and observations submitted by the Contracting Parties, stakeholder organisations and other interested parties;
- Office and field interviews;
- Country visits to a representative sample of countries and other stakeholders including regional plant protection organisations, non-governmental organisations, the private sector;
- Follow-up telephone conferences to questionnaire replies and country visits as necessary; and
- Final peer review workshop.

VI. Tentative Timetable

The evaluation was launched with a desk study, initial approach paper, and a stakeholder workshop in March 2006. The indicative timetable is as follows:

- Technical cooperation desk review (May-August 2006)
 - First core team meeting and initial country visits (May-June 2006)
- Deliverables include:
- a) country visit checklist and country *aide-mémoire* outline;
 - b) questionnaire survey(s); and
 - c) final terms of reference and evaluation implementation plan.
- Continue country visits (July 2006 – February 2007)
- Deliverables include:
- a) *aide-mémoires*; and
 - b) notes on each technical cooperation project (GCP, UNDP, UTF, and TCP) reviewed including relevance, design, implementation efficiency and quality, outcomes and impacts (building on outlines prepared for each project to be visited through a desk review).
- Analysis of questionnaire responses (July-September 2006)
 - Preliminary findings and issues paper (February 2007)
 - Stakeholder workshop(s)
 - Final evaluation report (June 2007)

VII. Reporting and Responsibilities

The evaluation report will be concise, but comprehensive and complete, covering the issues adequately. It will present the evidence and arguments for its findings. The evaluation team will present its vision for the future policy, organizational structure, funding strategy and management of the IPPC. Recommendations will be operational and prioritised to clearly identify those improvements that could be made without additional resources. Indicative costing and savings will be provided for the changes proposed (possibly on a scenario basis). The report will also include general lessons that the evaluation team considers it has identified for application in the development of other international agreements, conventions and standard setting arrangements.

The evaluation team will submit a preliminary findings and issues paper in time for CPM-2 in April 2007. The final report will be submitted in good time for CPM consideration at its April 2008 session, together with the FAO Director-General's response to the evaluation.

The evaluation core team is fully responsible for its independent report, which may not necessarily reflect the views of FAO. All team members are expected to contribute to the report which will be written in conformity with evaluation standards. The evaluation team leader bears responsibility for finalising and submitting the report.

The Mission will liaise closely with the IPPC Secretariat, IPPC contracting parties, FAO Representatives, the range of IPPC stakeholders. Although the evaluation team should feel free to discuss with the authorities concerned anything relevant to its assignment, it is not authorized to make any commitment on behalf of FAO or IPPC. Evaluation team members should be independent and thus have no previous direct involvement with the project either with regard to its formulation, implementation or backstopping.

Annex 2: Methodology

General Approach

The terms of reference for the evaluation provided guidance on the methodology to be used. The approach followed by the Evaluation Team consisted of the assessment of the relevance of the scope and mandate of the Convention against the requirements and demands in a context of increasing transboundary movements and globalisation, as well as against existing international agreements. Each of IPPC's core activities (Standard Setting, Information Exchange, Technical Assistance and Dispute Settlement Mechanism) was then assessed against evaluative criteria of relevance, effectiveness, efficiency and, when applicable, sustainability. Since the IPPC's dispute settlement mechanism has not yet been used there was limited scope for analysis.

In addition to efficiency criteria, the IPPC governance structure was analysed with a focus on two criteria at the heart of partnerships: equitable participation of Contracting Parties in the various processes and transparency.

The independent evaluation of the IPPC was carried out in a consultative manner, using a variety of tools that permitted triangulation.

Initial Desk Review and Working Papers

A desk review of available documentation was commissioned at the beginning of the evaluation to provide preliminary material for the conduct of the evaluation and to highlight issues to be covered in the evaluation, in addition to those included in the terms of reference. The desk review concentrates on three elements: the IPPC in an institutional framework; the standard-setting aspects of the IPPC; and dispute settlement. The review conducted a comparative analysis of the key aspects of the IPPC and the other standard-setting bodies, including World Organization for Animal Health (OIE) and the Codex Alimentarius.

Additionally, two working papers were prepared on the following topics: (i) Globalization: Increases in International Trade and Travel and (ii) Developments in Select International Agreements Relevant to the IPPC.

Stakeholder Consultation

After this initial work was done, a stakeholder consultation was convened to better define issues and modalities for the evaluation. The stakeholders comprised representatives of IPPC Contracting Parties and other interest groups from industry and academia. After the consultation, a five-member team³⁸ was established to carry out the evaluation. The Team Leader oversaw the finalization of the terms of reference which meet evaluation standards, are technically sound, and satisfy the needs of interest groups. The evaluation team then planned its work in consultation with the IPPC Bureau and Secretariat.

³⁸ Core Team Members included: Lukas Brader (Team Leader), John Mumford (Technical Specialist, Team Member), Kevin Nalder (Technical Specialist, Team Member), Erin Holleran (FAO Evaluation Service), Rachel Sauvinet-Bedouin (FAO Evaluation Service).

In addition, two regional experts accompanied the team in country visits in their region: Peter Ooi (Asia) and Marco Bertussi (Latin America).

Country Visits

The evaluation team visited a sample of countries and other stakeholders to discuss the issues with those involved in activities of relevance to the IPPC and to review technical assistance and capacity building activities. The team drew a sample of 19 countries, which represented each of the FAO regions.

Table 1: Countries visited for the Evaluation

FAO Region	Countries Visited
Africa	Kenya, South Africa, Tanzania,
Asia	China, India, Japan, Thailand, Vietnam
Europe	Netherlands
Latin America and Caribbean	Brazil, Chile, Costa Rica
Near East	Morocco, Tunisia
North America	Canada, United States
Pacific	Australia, Cook Islands, Fiji

During the country visits, the evaluation team met with representatives of the Government, including National Plant Protection Organizations (NPPOs), as well as of Industry. It also visited four Regional Plant Protection Organizations (RPPOs) and a number of international organizations: World Trade Organization (WTO), Convention on Biological Diversity (CBD), World Organization for Animal Health (OIE) and Codex Alimentarius. The evaluation team conducted structured interviews with the various stakeholders based on an indicative list of questions covering the various aspects of the IPPC.

Questionnaire to Contracting Parties

Based on the preliminary desk review, the stakeholder consultation, and experience of the initial country visits, the evaluation team designed an extensive questionnaire covering key aspects of the IPPC which it sent to 192 countries, including all Contracting Parties and non Contracting Parties in English, French and Spanish. The questionnaire response rate was 48% (92 received out of 192 sent out). The team conducted a detailed analysis of the 92 responses.

Structured Interviews with Key Stakeholders

In addition to the country visits, the evaluation team held a number of teleconferences with key informants that could not be visited. The team also held extensive consultations with different IPPC structures (e.g. Bureau, Secretariat and Informal Working Group on Strategic Planning and Technical Assistance (SPTA)) and with other stakeholders in FAO.

Desk Studies

The evaluation team conducted detailed desk studies on standard-setting and technical assistance.

- Desk Review on the Standard-Setting Process

The standard-setting desk study included a particular focus on duration, participation and transparency issues, as well as an in-depth review of ten standards (ISPMs 2, 7, 15, 21-27). To complement that work, an attempt was made to estimate the costs and benefits of three standards: ISPMs 2, 7 and 15. The desk review analyzed the various stages of the standard-setting process, duration of the process, transparency and participation.

The methodology followed consisted of: (i) collecting information about the process from different sources (IPPC Website, meeting reports, IPPC archives in electronic and paper format, and IPPC Secretariat Staff); (ii) sorting and classifying data by different criteria (chronology, topic); and (iii) reorganizing and analyzing information in order to assess indicators of participation, transparency and efficiency.

- Desk Review on Technical Assistance

The technical assistance desk study consisted of a systematic review of a sample of 25 projects³⁹ carried out over the last five years, with a more in-depth analysis of the projects in the countries that the team visited. The review analysed projects based on available documentations and against the following criteria: project design, relevance, partnership, quality and efficiency of technical assistance, sustainability. For each of the criteria, a five-point scale-scoring system was used.

Benchmarking

To analyze many of the key elements of the IPPC (e.g. funding, standard-setting), the evaluation team conducted benchmarking analysis of relevant institutions (e.g. OIE and Codex Alimentarius).

Peer Review Panel

As part of the methodology, the Evaluation Service organized an external Peer Review Panel of experts to assist with the finalization of the report. Panel members were invited to Rome and asked to conduct a critical review of the draft full evaluation report. Panel members will discuss their views on the draft evaluation report, and also discuss them with the evaluation team. The panel comprises six people, who are knowledgeable on the subject-matter and who can provide various perspectives.

Final Steps

As one of the final steps in the evaluation process, the evaluation team prepared a report on emerging findings and recommendations and circulated this draft report to the CPM Bureau and the Secretariat for comment. It was then finalized and sent to the CPM for discussion and feedback at CPM-2.

Once the evaluation team gets feedback from the Commission for Phytosanitary Measures and the Peer Review Panel, the team will finalize the evaluation report and present it to the FAO Programme Committee for consideration at its ninety-eighth session in September 2007.

³⁹ The projects were selected to include a sample of activity-type, good regional distribution, and availability of information.

Annex 3: Status of ISPMs

Adopted ISPMs	Adoption and revision dates
ISPM No. 01 (2006): Phytosanitary principles for the protection of plants and the application of phytosanitary measures in international trade - ISPM No. 01 (1993): Principles of plant quarantine as related to international trade	2006, CPM-1 (revision) 1993, FAO Conference (original)
ISPM No. 02 (2007): Framework for pest risk analysis - ISPM No. 02 (1995): Guidelines for pest risk analysis	2007, CPM-2 (revision) 1995, FAO Conference (original)
ISPM No. 03 (2005): Guidelines for the export, shipment, import and release of biological control agents and other beneficial organisms - ISPM No. 03 (1995): Code of conduct for the import and release of exotic biological control agents	2005, ICPM-7 (revision) 1995, FAO Conference (original)
ISPM No. 04 (1995): Requirements for the establishment of pest free areas	1995, FAO Conference
ISPM No. 05 (2007): Glossary of phytosanitary terms - Supplement No. 1 (2001): Guidelines on the interpretation and application of the concept of official control for regulated pests - Supplement No. 2 (2003): Guidelines on the understanding of potential economic importance and related terms including reference to environmental considerations	2007, CPM-2 (updated regularly) 2001, ICPM-3 2003, ICPM-5
ISPM No. 06: Guidelines for surveillance	1997, FAO Conference
ISPM No. 07: Export certification system	1997, FAO Conference
ISPM No. 08: Determination of pest status in an area	1998, ICPM-1
ISPM No. 09: Guidelines for pest eradication programmes	1998, ICPM-1
ISPM No. 10 : Requirements for the establishment of pest free places of production and pest free production sites	1999, ICPM-2
ISPM No. 11 (2004): Pest risk analysis for quarantine pests including analysis of environmental risks and living modified organisms (Supplement on living modified organisms adopted by ICPM-6 and integrated in 2004) - ISPM No. 11 Rev. 1 (2003): Pest risk analysis for quarantine pests including analysis of environmental risks (Supplement on environmental risks adopted by ICPM-5 and integrated in 2003) - ISPM No. 11: Pest risk analysis for quarantine pests	2004, ICPM-6 (revision) 2003, ICPM-5 (revision) 2001, ICPM-3 (original)
ISPM No. 12: Guidelines for phytosanitary certificates	2001, ICPM-3
ISPM No. 13: Guidelines for the notification of non-compliance and emergency action	2001, ICPM-3

ISPM No. 14: The use of integrated measures in a systems approach for pest risk management	2002, ICPM-4
ISPM No. 15: Guidelines for regulating wood packaging material in international trade	2002, ICPM-4
ISPM No. 16: Regulated non-quarantine pests: concept and application	2002, ICPM-4
ISPM No. 17: Pest reporting	2002, ICPM-4
ISPM No. 18: Guidelines for the use of irradiation as a phytosanitary measure	2003, ICPM-5
ISPM No. 19: Guidelines on lists of regulated pests	2003, ICPM-5
ISPM No. 20: Guidelines for a phytosanitary import regulatory system	2004, ICPM-6
ISPM No. 21: Pest risk analysis for regulated non-quarantine pests	2004, ICPM-6
ISPM No. 22: Requirements for the establishment of areas of low pest prevalence	2005, ICPM-7
ISPM No. 23: Guidelines for inspection	2005, ICPM-7
ISPM No. 24: Guidelines for the determination and recognition of equivalence of phytosanitary measures	2005, ICPM-7
ISPM No. 25: Consignments in transit	2006, CPM-1
ISPM No. 26: Establishment of pest free areas for fruit flies (Tephritidae)	2006, CPM-1
ISPM No. 27: Diagnostic protocols for regulated pests	2006, CPM-1
ISPM No. 28: Phytosanitary treatments for regulated pests	2007, CPM-2
ISPM No. 29: Recognition of pest free areas and areas of low pest prevalence	2007, CPM-2

Annex 4: Opinions of the Peer Review Panel on the Draft Final Report

In its review of the Draft Final Report of the Evaluation, the Peer Review Panel paid particular attention to determining justification in the evaluation data for the findings and suggestions of the Report. It reviewed the report for completeness and ensuring that there were no gaps in the information. It also made some alternative suggestions that could be derived from the available data and from discussions with the evaluation team and members of the IPPC Secretariat. It came to the following conclusions.

General

The draft report, its conclusions and suggestions were supported with the clarifications and modifications noted below.

Overall Clarity of the Report

There needed to be a clear distinction between the IPPC as a treaty document and the IPPC as an organization. In some parts of the reports these terms are used indiscriminately. It is suggested that the report be reviewed carefully for the correct use of terms relating to:

- IPPC meaning the treaty document
- CPM (and its subsidiaries)
- The Secretariat including the part of the current Secretariat responsible for capacity-building.

Plant Protection and Food Security

The PRP noted that much of the discussion surrounding the IPPC, CPM, ISPMs, etc., revolves around trade issues and, to a lesser extent at least in the past, environmental issues. It felt that the food security aspects of plant protection are frequently overlooked, and that this was also the case in the draft Evaluation Report.

General Matters

It was noted that the Draft Report did not consider the possibility of holding **biennial** sessions of the CPM. Benefits from holding biennial sessions might include:

- A more deliberative and inclusive standard-setting process with higher quality draft standards being presented to the CPM.
- Reduction of the time spent in the CPM on the details of standards, thus releasing time for more complete discussions on policy and the implementation of the IPPC.
- Cost savings, especially in translation of documents.

It was noted that this would require an amendment to the IPPC itself, with consequential changes to the internal procedures of the CPM.

Secretariat and Staffing

The PRP found that the enhanced staffing levels proposed in the report were justified. It noted that the level of support staff (GS staff) was not discussed in the report and was concerned that the usual ratio of P/GS staff was not sufficient for adequate support for a programme with a high component of meeting arrangements (cf. Codex). It felt that adequate funding for the permanent Secretariat should be ensured by FAO, including sufficient resources to carry out the core activities. This should not be affected by external voluntary funding, trust funds or the use of in-kind contributions.

The PRP agreed with the proposal that the Secretary be appointed jointly by the Director-General of FAO and the Bureau of the CPM. It was of the opinion that the selection procedure of staff for appointment to senior technical posts (P5 and perhaps P4) would benefit from the input of a member of the Bureau on the Selection Panel.

Biodiversity and Relationship with the CBD

The PRP agreed on the strong emphasis on Biodiversity matters that were likely to be the focus of future work and agreed with the proposal to establish a Technical Panel on Biodiversity to increase the liaison between the CPM and the CBD. The Technical Panel would be in a position to decide on the nature of standards requiring a biodiversity component and therefore, the specific suggestion that one standard per year be on environmental/biodiversity matters was not necessary.

Technical Assistance

The PRP noted the major change proposed in the report to shift the responsibility for technical assistance (other than technical assistance on “core matters”) to FAO’s Plant Production and Protection Division. It was of the opinion that any such change should not result in a “disconnect” between the work of the IPPC/CPM and the nature of technical assistance and capacity-building in matters relevant to the IPPC.

The PRP welcomed the idea to establish an International Consultative Group on Technical Assistance/Capacity-Building on Phytosanitary Matters and suggested that the title of the group should reflect the connection and be identified with the IPPC and the CPM.

The role and function of the Consultative Group should be explained somewhat more extensively in the Report.

The PRP was not fully convinced about the separation of the “core functions” from other capacity building and technical assistance activities and felt that further explanation was needed: for example, would this exclude capacity-building related to the implementation of specific ISPMs?

The PRP noted that the text of the IPPC did not make such a separation (Article XX).

It was suggested that OIE’s ‘Performance, Vision and Strategy (PVS)’ tool could be used as a model to help in the preparation of national investment programmes and capacity-building programmes for national plant protection (phytosanitary) services. It was also suggested that use could be made of the resources of regional centres of excellence in phytosanitary capacity-building. This did not seem to have been discussed in the Draft Report.

The PRP supported the role of the RPPOs in technical assistance as reflected in para. 194 of the Draft Report and suggested that this should also be highlighted in the Section dealing with Technical Assistance.

Information Exchange

The PRP concentrated its discussions on information exchange in relation to the reporting obligations in the IPPC. It also discussed, briefly, the use of the International Phytosanitary Portal (IPP) and the medium for the exchange of information (draft standards and comments) during the standards development process.

The PRP strongly supported efforts to ensure that all Contracting Parties met their IPPC obligations for reporting, noting that many important trading countries had not yet done so (albeit for various reasons). It suggested that the issue of reporting be a frequent matter for discussion by the CPM based on monitoring of the obligatory reporting data to be provided by the Secretariat.

It noted that some countries send information to the relevant RPPO but not to the IPPC. It welcomed the proposal that mechanisms be put in place to access this information through the IPP – for example by the harvesting of data deposited with RPPOs. It was of the opinion that this in itself did not fulfil the reporting obligations, but felt that the reporting obligations of a Contracting Party would be met if the Party would be able to validate the data harvested from these sources.

The PRP was of the opinion that the collection and presentation of so-called “unofficial” data was of a low priority at best, and could indeed create problems for the IPPC information exchange mechanism.

Finally, it was noted that the Convention did not require NPPOs to use the IPP as the only mechanism for the reporting of obligatory information. On the other hand, it was accepted that

the IPP was the mechanism of choice for the transmission of this information to other Contracting Parties. It was therefore of the opinion that the IPPC Secretariat should ensure (subject to appropriate validation procedures) that such information would be available to all Contracting Parties through the IPP.

Standard-Setting

As noted above, the PRP felt that the current standard-setting process was too compressed and did not allow adequate time for consultations within country and within regions between the different steps of the process. It felt that the process could be extended (with the exception of standards in the 'fast-track' system and emergency standards) to more than two years when required in order to ensure quality, transparency and universal participation. The CPM should be requested to revise the process accordingly.

It also noted the importance of external inputs into the standard-setting process from both the private sector and (especially in the case of biodiversity and environmental standards) the NGO community. Mechanisms exist within FAO for the participation of these groups in the overall work of FAO and the PRP did not see why these mechanisms were not being used in the case of ISPMs. The benefit of such external contributions to the process would be a greater acceptability of ISPMs. It suggested that the CPM examine modalities for this participation based on models used in Codex and other FAO bodies.

It noted the proposal that explanatory documents should be prepared for each standard, but suggested that such documents may not always be necessary.

In regard to the proposal to monitor the implementation of adopted ISPMs, the PRP noted the formal responsibilities under the SPS Agreement.

Dispute Settlement

After discussions and an examination of the reports of country visits, the PRP was of the opinion that this Section of the Draft Report required further development to be complete.

Governance

The PRP supported the idea of an enlarged Bureau of seven members as suggested in the draft report and the consequential elimination of the SPTA. It was proposed by one member of the Panel that meetings of the extended Bureau should be open-ended; other members of the Panel felt that this would tend to re-establish a SPTA-type body and proposed that the meeting of the Bureau should remain closed. The Panel agreed, however, that there was a strong need for transparency. In particular, the minutes of meetings should be made quickly available and consideration should be given to making audio recordings of the meetings available over the internet, as is the case with the Executive Committee of the Codex Alimentarius Commission. Nevertheless, for some matters (for example in discussion the selection of secretariat staff, experts, etc.), such recordings would be inappropriate. It was felt that the extended Bureau should have the opportunity to co-opt or invite experts for particular discussions as required.

The PRP supported the suggestion to reduce the total membership of the Standards Committee to 14 Members using the procedures proposed in the Draft Report, and to eliminate the SC-7. It was of the opinion that this represented a good compromise between the need for efficiency and productivity with the need for equitable representation. Nevertheless, it was felt that established procedures should be followed and that the transparency of the work of the Standards Committee needed to be addressed. In particular, its reports should be made quickly available and these reports should indicate the reasons for the decisions taken.

RPPOs and Other International Organizations

The PRP felt that relationships with the RPPOs should be maintained or strengthened and therefore was in general agreement with this section of the Draft Report. It was of the opinion that discussion of the relationship with the RPPOs should be separate from discussion of the

relationship with other organizations, given the special nature of the cooperation with the RPPOs and their status within the Convention.

Matters not covered in the Draft Report

The PRP was of the opinion that the question of public information about the work of the IPPC, RPPOs, NPPOs and indeed of plant protection in general, was insufficiently addressed in the Draft Report. As noted above, plant protection is a vital part of food security and environmental programmes in addition to its relevance to international trade.

The Peer Review Panel

FAO, Rome
12-16 March 2007

Peer Review Panel Members:

Alan Randell (Australia), former WHO/FAO Codex Secretary, Chair of the PRP

Asna Booty Othman (Indonesia), Regional Director, Regional Centre of the International Centre for Management of Pest Fruit Flies

Sarah Olembo (Kenya), former Executive Secretary of the Inter-African Phytosanitary Council, Plant Quarantine Adviser (African Union)

Orlando Morales Valencia (Chile), Plant Protection Consultant, Interamerican Institute for Cooperation on Agriculture

John Stevens (USA), Phytosanitary Issues Manager, Pioneer Hi-Bred International, Inc.

Annex 5: IPPC Evaluation Core Team

Team Leader

Dr. Lukas Brader (The Netherlands) has wide expertise in pest management, and in international agricultural research and development. He is currently retired. His former positions include Director General of the International Institute of Tropical Agriculture, Ibadan, Nigeria; Chief of the FAO Plant Protection Service; Head, Environmental Affairs Division, Shell Internationale Petroleum Maatschappij, The Hague; Director, Plant Production and Protection Division of FAO; and Professor, Plant Protection in the Tropics at the Agricultural University, Wageningen. In recent years, he has been leading the evaluation of the FAO Plant Production Programme, as well as the evaluation of the last Desert Locust Control Campaign. He also served as a consultant for the Independent External Evaluation of FAO.

Core Team Members

Dr. John Mumford (United Kingdom) is an authority on economic, decision, and policy analyses for pest and resource management risks. Currently, he is a Professor of Natural Resource Management at Imperial College London in the United Kingdom. He works at the interface of applied ecological management and socio-economic management of environmental research and development projects for tropical and temperate agricultural pests, and in the development of environmental management systems. He has been responsible for implementation and evaluation of integrated pest management programmes, in cocoa, coffee, rice, cotton, fruit and other crops and for migratory and other public sector pest control programmes such as eradication, suppression and quarantine. Dr. Mumford's teaching covers the interactions of economics and ecology in many aspects of applied resource management, environmental risk and pest management.

Mr. Kevin Nalder (New Zealand) has specialised in plants biosecurity, international phytosanitary affairs and market access negotiations. Currently, he is Chief Executive Officer for the New Zealand Fresh Produce Importers Association. Previously, he worked for 16 years in New Zealand's Ministry of Agriculture and Forestry, which included experience in some of the following: international agreements, obligations and standards including the IPPC; development and implementation of Import Health Standards (i.e. import regulations) and associated technical and operational standards for imports of fresh produce and cut flowers into New Zealand; audit and approval of export certification systems; practical application of domestic biosecurity legislation and application of broader trade and biosecurity policies; and negotiating and implementing quarantine arrangements with 20 trading partners.

Ms. Rachel Sauvinet-Bedouin (France) has extensive experience in evaluations with FAO. As Senior Evaluation Officer at FAO, she has major responsibilities for strategic, thematic and programme evaluations of FAO's Global, Regional and related Field Programme activities. She has managed and/or contributed to several key FAO evaluations, including the FAO/WHO Evaluation of Codex and Food Standards Work, FAO Cross-sectoral Strategy: "Promoting Partnerships and Alliances"; FAO Decentralization; and FAO Strategic Objective A3: "Preparedness for, and Effective and Sustainable Response to Food and Agricultural Emergencies". Ms. Sauvinet-Bedouin has worked for FAO for 13 years. She is an economist with significant expertise in food security.

Dr. Erin Holleran (United States of America) is an Evaluation Officer with FAO. She is an agricultural economist with a specialty in international trade and development. She has served as a U.S. Foreign Service Officer with the U.S. Agency for International Development in Africa and Latin America focusing on strategy development, policy formulation and project management. Dr. Holleran has worked as an agricultural economist with the U.S. Department of Agriculture.

Regional Specialists

The work of the core team was supplemented by two regional specialists from developing countries.

Dr. Peter Aun-Chuan Ooi (Malaysia) is the Regional Director of the Asian Regional Center (ARC) of AVRDC-The World Vegetable Center, based in Bangkok. He joined ARC in January 2006 and brings with him 30 years of research and development work in Asia, with particular reference to ASEAN countries, Bangladesh, China, India, Maldives, Nepal, Pakistan and Sri Lanka. Dr. Ooi is a plant protection specialist in the field of IPM and Biological Control and has an extensive network of contacts in the above countries where he partnered with national programmes in developing successful participatory and sustainable integrated pest management.

Mr. Marco Antonio Bertussi (Brazil) is an Agriculture Engineer, specialist on Plant Protection, Pest Control and Quarantine and Phytosanitary Treatments. Currently, he is President of the Association of Brazilian Companies of Phytosanitary Treatments (ABRAFIT), and also Chief Executive Officer of a Company in the Pest Control and Phytosanitary Treatment Business (CCPU Ltd.). He has been invited speaker in several international events organized by COSAVE (Comité de Sanidad Vegetal del Cono Sur) and NAPPO (North American Plant Protection Organization). He has been also a consultant for several Brazilian Companies and Brazilian Industry Confederation regarding Phytosanitary Affairs.