
IPPC M&E – Phase 2 – report 2nd workshop

Report on the first workshop with the TFME, held at FAO, Rome, Italy on 3-4 July 2019

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This report is the result of the two-day workshop that was held at FAO, Rome, with key staff of the Task Force, Monitoring and Evaluation (TFME) of the IPPC Secretariat. The objective of the meeting was to finalize the Theory of Change (ToC) for IPPC and continue the work on the M&E matrix, as well as share progress on literature review, interviews with key stakeholders and have discussions on country based M&E cases.

Keywords: IPPC, ToC, M&E



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List of abbreviations and acronyms

IPPC	International Plant Protection Convention
M&E	Monitoring and Evaluation
OIE	World Organisation for Animal Health
SPG	Strategic Planning Group
TFME	Task Force Monitoring and Evaluation
ToC	Theory of Change
WCDI	Wageningen Centre for Development Innovation, Wageningen University & Research

1 Introduction to the workshop

1.1 Background to the workshop and summary of workshop activities

This was the second workshop that was held under the project IPPC M&E – phase 2, which aims to “develop M&E Frameworks for the IPPC Community and for the IPPC Secretariat (consisting of a Matrix, and a strategic Plan for M&E, based on Theories of Change) to guide strategic and operational decisions on the implementation of the International Plant Protection Convention (IPPC), ISPMs and CPM-Rs”. For more info please see section 1.2. The workshop was held at the FAO office in Rome, Italy, on 3 and 4 July 2019.

Information phase 1

Phase 2 builds on the work that was done in Phase 1 from November 2016 until October 2017. During that period the following key events took place:

- M&E Training workshop for IPPC Secretariat staff members (November 2016) to introduce staff to the Managing for Sustainable Development Impact (M4SDI) approach and make initial steps in the Theory of Change (ToC) and discuss some elements of the M&E framework
- Workshop with core team and small team of experts to further develop and agree upon the ToC and make a start with the M&E matrix (February 2017)
- Workshop with Leanne Stewart in the Netherlands to continue the work on the M&E matrix and prepare for the expert meeting in New Zealand (June 2016)
- Expert meeting in New Zealand to get feedback on the ToC and the M&E matrix and to share examples of M&E at NPPO level.

Purpose and outcomes phase 2

The overarching purpose of the Services by WCDI is “to develop M&E Frameworks for the IPPC Community and for the IPPC Secretariat (consisting of a Matrix, and a strategic Plan for M&E, based on Theories of Change) to guide strategic and operational decisions on the implementation of the International Plant Protection Convention (IPPC), ISPMs and CPM-Rs”.

The services will contribute to FAO’s Strategic Objective (SO) 4: Enable more inclusive and efficient agricultural and food systems, at local, national and international levels and SO2: Make agriculture and forestry more productive and sustainable.

The outcome of the work proposed is to have specific M&E frameworks, to monitor and evaluate the implementation of IPPC’s strategic frameworks, procedures and work plans to improve the IPPC Secretariat’s responsiveness and services and assistance provided to its contracting parties.

Outputs include:

- Output 1: An updated Theory of Change (ToC) on IPPC and related M&E matrix for the IPPC Community.
- Output 2: A literature review of M&E implementation is undertaken and results are used to develop an M&E Framework.
- Output 3: M&E Frameworks of CPs to the IPPC are reviewed and analysed and an M&E Guideline for NPPOs is developed.
- Output 4: A project proposal is developed for the implementation of M&E frameworks for the IPPC Community and IPPC Secretariat in Phase III.

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Summary of workshop activities

In the first workshop of this second phase, a review was made of the latest ToC, and some amendment of the M&E matrix was done. Most of the time was spent on reviewing the latest draft of the strategic framework for IPPC (2020-2030) and ensuring that key elements of this strategic framework were incorporated in the ToC and the M&E matrix. The 8 development agendas and the key result areas were extracted from the strategic framework to be incorporated in the M&E matrix, and relevant key evaluation questions and related indicators and data collection methods for these areas were identified for these development agendas and key result areas. Since the work could not be completed, it was agreed that the TFME would continue working on this after the workshop, especially at the level of activities that take place at IPPC Secretariat Level. Since the first workshop, Wageningen Centre for Development Innovation (WCIDI) worked on a draft version of the literature review, as well as held an interview with OIE (World Organisation for Animal Health), as they are doing similar work. More interviews are to be held with other organisations. The last version of the ToC was sent to the graphic designer, after which before and during the workshop final comments were given for the next version of the graphic ToC, to be developed in August/September. Comments were mainly in terms of content, less in terms of graphic design.

Workshop participants

The following people from the Task Force M&E (TFME) were present at the meeting: Brent Larson, Ketevan Lomsadze, Adriana Moreira, Tommaso Teti, and Quingpo Yang. This team represents the different units of the IPPC Secretariat. On 4 July, Mr Jingyuan Xia joined the meeting to review progress so far.

1.2 Objectives of the workshop

The objectives of the workshop included:

- To review a next draft version of the ToC based on comments from the TFME since the first workshop Phase 2 in Feb 2019.
- To continue the work on the M&E framework.
- To share progress in terms of:
 - Literature review (output 2, Phase 2)
 - Interviews with key stakeholders on similar processes to develop M&E
- To get some input for the development of NPPO cases as input for M&E guidelines for NPPOs.

1.3 Workshop program & approach

The workshop followed a flexible program, whilst keeping a focus on the above-mentioned objectives. Most of the time was spent on amending the M&E matrix, since this had to be aligned to the IPPC strategic framework. Time was also spent on the review of the ToC for the designer, and the last 1.5 hour was spent on updates on literature review, stakeholder interviews, getting input for the work on NPPO M&E cases and action planning.

2 Results of the workshop

The key results of the second workshop for phase 2 are described below. They include a description of how the theory of change has been amended, what progress has been made with the development of the monitoring and evaluation (M&E) matrix, and a few other topics that were discussed in this two-day workshop. Detailed results of the workshop are already shared with the IPPC Secretariat.

2.1 Amendment of the Theory of Change (ToC) for IPPC

After amending the ToC based on phase 1, during the first workshop of phase 2 in Feb 2019, the ToC was sent to the designer. The draft design was then reviewed by WCDI as well as the TFME and discussed in a skype meeting. It was agreed to finalize this discussion with the TFME during the second workshop and this final version was endorsed by Mr Xia during this meeting. It was agreed that the next version of the ToC graphic would be shared with the Strategic Planning Group (SPG) in preparation for their meeting in October.

A few key suggested changes are described below. The final ToC that resulted out of the workshop can be found in Appendix 1. The first page shows the overall ToC for the IPPC community. The next three pages show the ToC relevant for each of the outputs and related activities, which are specifically relevant for the IPPC Secretariat. This visual was shared with the graphic designer after the workshop, with the following key suggested changes:

- SDG 17 at the same level as the other SDGs.
- Mission of IPPC is now included (based on the advice by Mr Xia)
- All key elements of the IPPC Strategic Framework for 2020-2030 are now included in the ToC.
- Sub outputs, activities, and enabling factors have been included for each of the separate ToCs that are relevant at Secretariat level: standard setting, implementation & capacity development, and communication & international cooperation.

2.2 M&E matrix development

Most of the time during this two-day workshop was spent on reviewing and further developing the M&E matrix. This M&E matrix was cleaned up just before this second workshop, to include all relevant areas from the Strategic Framework. The IPPC Development Agendas from the Strategic Framework have been integrated at output level, and relevant evaluation questions and related indicators have been formulated during the workshop.

Ultimate impact level

At the level of ultimate impact and impact key evaluation questions and related indicators have been formulated for relevant result area C1 (that relates to *'facilitate safe trade, development and economic growth'*) and development agenda 6 (that relates to *'protect the environment from the impact of plant pests'*) in the strategic framework. There was no reference in the strategic framework that specifically related to *'enhance global food security and increase sustainable agricultural productivity'* but the result areas from the strategic framework, mainly relate to output level objectives in this theory of change. No further work was done on this level since assessing impact at this level would be complex, difficult and

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costly to assess. The literature review (see section 2.3.1) provides some guidance on making assumptions towards overarching objectives.

Intermediate impact level

There is only one key objective at this level: "*Minimized spread of plant pests and their impact effectively managed*". This is the main objective of IPPC. In the strategic framework result area C2 relates to this objective and evaluation questions and related indicators have been formulated.

Outcome level

There are two key objectives at outcome level. For outcome "*Effective phytosanitary systems in place & functioning*" relevant evaluation questions and related indicators have been added for result areas A1, A3, A4, B1, B2, B3, C4 and C7 in the strategic framework. For outcome "*IPPC, Standards & CPM recommendations implemented*" there was no relevant development agenda or result area in the strategic framework. It was agreed that the TFME would discuss this further after this workshop.

Output level

This is where most of the revision took place. Key evaluation questions and related indicators have been formulated for the key outputs in the theory of change and related development agenda has and result areas from the strategic framework. For the output "*Standards & CPM recommendations developed & adopted*", relevant evaluation questions and related indicators have been added for development agenda's 2,3 and 4. For the output "*Capacity developed to implement standards & CPM recommendations*", relevant evaluation questions and related indicators have been added for development agenda's 5, 8 and result areas A2, A5, B5, C3, and C5. For the output "*Communication & international cooperation enhanced*" relevant evaluation questions and related indicators have been added for development agenda's 1 and 7 and result areas B4 and C6. For each of these outputs, also additional evaluation questions and related indicators have been added by the TFME.

Activities level

In this two-day workshop it was not possible to also review relevant evaluation questions and related indicators for activities under each of the outputs, which refer to activities for the IPPC Secretariat. It was agreed that the individual members of the TFME would discuss this with in their respective units after this workshop.

Details of the M&E matrix have been shared with the TFME.

2.3 Other topics

In the remaining part of the two-way workshop, three topics were discussed: the literature review, learning from other organisations, and preparation of NPPO cases as input for developing country level M&E guidelines.

2.3.1 Literature review

Highlights of the draft literature review were shared during the second workshop. It was agreed that the TFME would review this draft literature review after the workshop. The literature review was mainly focused on finding existing evidence on the relationship between a reduction of plant pests and diseases (and their related SPS measures; intermediate impact level in the ToC; vision in the Strategic Framework), and income, trade and food security (ultimate impact level in the ToC; IPPC Strategic Objectives). The idea was that this evidence could help to make assumptions about the contributions of the work of the IPPC towards the overarching objectives, since it is not possible, nor necessarily required by IPPC to generate that kind of evidence. It is more important to generate evidence about the work of

the IPPC and immediate results of this work. Key findings are described below. It was agreed that the TFME would provide feedback to the literature review after the workshop.

Strategic Objective A - Enhance global food security and increase sustainable agricultural productivity

There are roughly two pathways that link plant pests and diseases to food security. On the one hand, evidence shows that prevention of plant pests and diseases leads to a reduction of food loss which positively affects food security. On the other hand, prevention of plant pests and diseases increases food safety, which also positively influences food security. So basically the link to food security is quite strong.

Strategic Objective B - Protect the environment from the impacts of plant pests

With respect to Strategic Objective B, some effect of plant pests and diseases is found on by biodiversity and ecosystems, whilst at the same time climate change affects the spread of plant pests and diseases. So, there are interconnections with environmental issues like climate change and biodiversity, but the relationships are context specific and require careful monitoring and evaluation, so that early warning and eradication schemes can be improved.

Strategic Objective C - Facilitate safe trade, development and economic growth

With respect to Strategic Objective C, the pathways from the protection of plant pests and diseases that lead to safe trade, development and economic growth are supported by evidence. Plant pests and diseases are costly, so logically, prevention of spread and introduction of pests should reduce this economic loss and should be beneficial to economic growth. However, literature also points out that SPS measures are not equally burdensome to all countries. In low-income countries, plant pests and diseases are more prevalent, harder to track and there is less capacity to comply with SPS measures. Reducing unjustified phytosanitary measures should be beneficial, but more efforts may be necessary if lower income countries are not to be further disadvantaged. Murina and Nicita (2017) recommend, "Well-targeted technical assistance projects, both at the bilateral and multilateral levels, could generate considerable gains for lower income countries". Their study focused on the EU and found that the regulations to facilitate SPS compliance in developing countries did not suffice.

Overall, one can say that there is evidence that the prevention of pests and diseases contributes to enhancing global food security and sustainable agriculture productivity; to protecting the environment; and to facilitating safe trade, development and economic growth. However, the context is very important and requires context specific interventions. In particular are low-income countries struggle to reduce plant pests and diseases and need support in this to help them to also contribute to these overarching objectives.

2.3.2 Learning from other organisations

In order to learn from other organisations what they are doing in terms of monitoring and evaluation at global level, it was agreed to do interviews with similar organisations. One interview was held with OIE, The World Organisation for Animal Health. This was very useful and they are in a similar process to develop M&E for their global efforts. They are supported by OECD for this purpose. Interviews with other organisations like Codex, WTO and STDF are yet to be scheduled.

2.3.3 Preparation analytical study as input for development of NPPO M&E guidelines

Another output of the work to be done by the consultant is Output 3: *M&E Frameworks of contracting parties to the IPPC are reviewed and analysed to gather good/best practices of M&E in the context of*

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IPPC related work. Based on lessons learned, a M&E Guideline for NPPOs is developed, highlighting good/best practices and case studies, and related principles for M&E for NPPOs.

This output has the following key activities:

- An analytical study will be scoped on national M&E Frameworks
- Carry out the analytical study and prepare a draft report to present the outcomes
- Third mission by WCDI to Rome to work with the IPPC Secretariat's TFME
- Develop draft M&E Guidelines for use by CPs for M&E practices
- Engage IPPC Community and stakeholders to provide comments on draft M&E Guidelines
- Revise the draft M&E Guidelines for use by contracting parties and incorporate it into M&E Framework
- Prepare a communication product to promote good M&E practices

The idea was that, in consultation with the TFME, an analytical study would be scoped on national M&E Frameworks used in the phytosanitary context and best practices, including identification of possible case studies. If appropriate, country visit(s) may be made, depending on resources. The IPPC Secretariat will facilitate contact with the NPPOs who are willing to share their M&E practices. Possibly an initial online survey can be done to create an overview of M&E practices at NPPO level, after which more detailed information can be gathered from NPPOs that have more advanced or functional M&E in place.

During the workshop, the idea of using cases was discussed and some ideas were shared, but it was agreed to that the TFME would develop the draft Terms of Reference for this work. The main outputs should be short stories on how M&E takes place on phytosanitary work.

3 Key action points

Please find below the list of action points.

Lead	Task	Due
	Workshop & progress reports	
Cecile	1 st workshop report: do some cleaning up as it will be posted on the web	August
Cecile	(Progress) Report of July 2019 TFME workshop: 20 August. -Revised ToC as of 4 July -M&E matrix -Brief description of other activities (literature review etc).	2019-08-20
Tommaso	Check what report is due for next payment	
	ToC & M&E matrix	
Cecile	Ensure consistency: implement IPPC, standards and CPM recommendations – check ToC and M&E matrix. August.	August
Cecile	Graphic design ToC:	2019-09-07
TFME	Review ToC (all 4), after design	Sept
Cecile	Clean up word version of M&E matrix (hide unnecessary levels) and share with TFME	2019-07-05
TFME	Feedback to Cecile on M&E matrix by 10 August: -Yellow boxes (outcome level) : review comments in red text -Activities: please review what was developed earlier – what to keep, drop or amend	2019-08-10
Cecile	Share with Bureau / SPG (Strategic planning group) meeting 8-10 Oct -ToC (all 4), after design -M&E matrix – for SPG only relevant up to activity level – format for presentation: word & delete last columns. Include indicators & methods.	2019-09-15
	Missions	
Brent	To discuss when Cecile should come to Rome next (to present to SPG and or have next meeting of TFME). Decide in August when Cecile will come for 3 rd visit – can it link up with SPG meeting. Then also the matrix will need to be finished.	2019-08-30
	Literature review	
Cecile	To share draft Literature review with TFME	2019-07-05
TFME	Provide comments to Cecile on draft Literature review	2019-09-10
	Interviews with other organisations	
Cecile	Interview other organisations	
Brent	To connect Cecile with other organisations – share the introductory emails	
Cecile	Share notes of OIE skype meeting & PVS tool	2019-07-05
	Analytical studies / case studies to identify best practices for M&E	
Brent	Ask Bureau to help identify 3-4 countries. Possibly New Zealand, Kenya, Asia-Pacific Asia Plant Protection Commission (APPPC) for collecting case studies to identify best practices for M&E	

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Lead	Task	Due
TFME	Make a draft of a TofR with main output: short story on how M&E takes place on phytosanitary work.	2019-09-10

Appendix 1 Revised Theory of Change – 4 July 2019

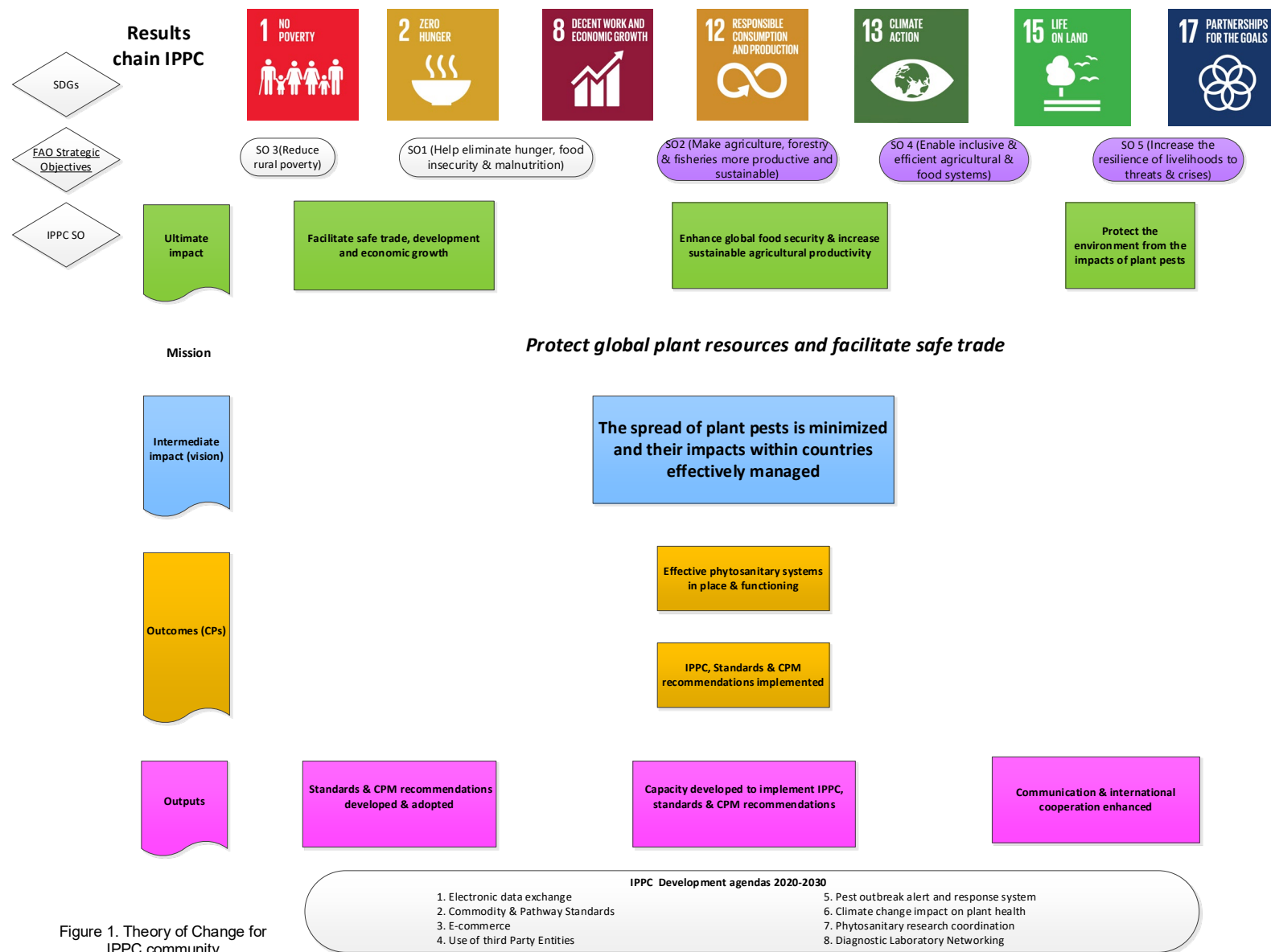


Figure 1. Theory of Change for IPPC community (20190704)

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Figure 2. ToC for standard-setting

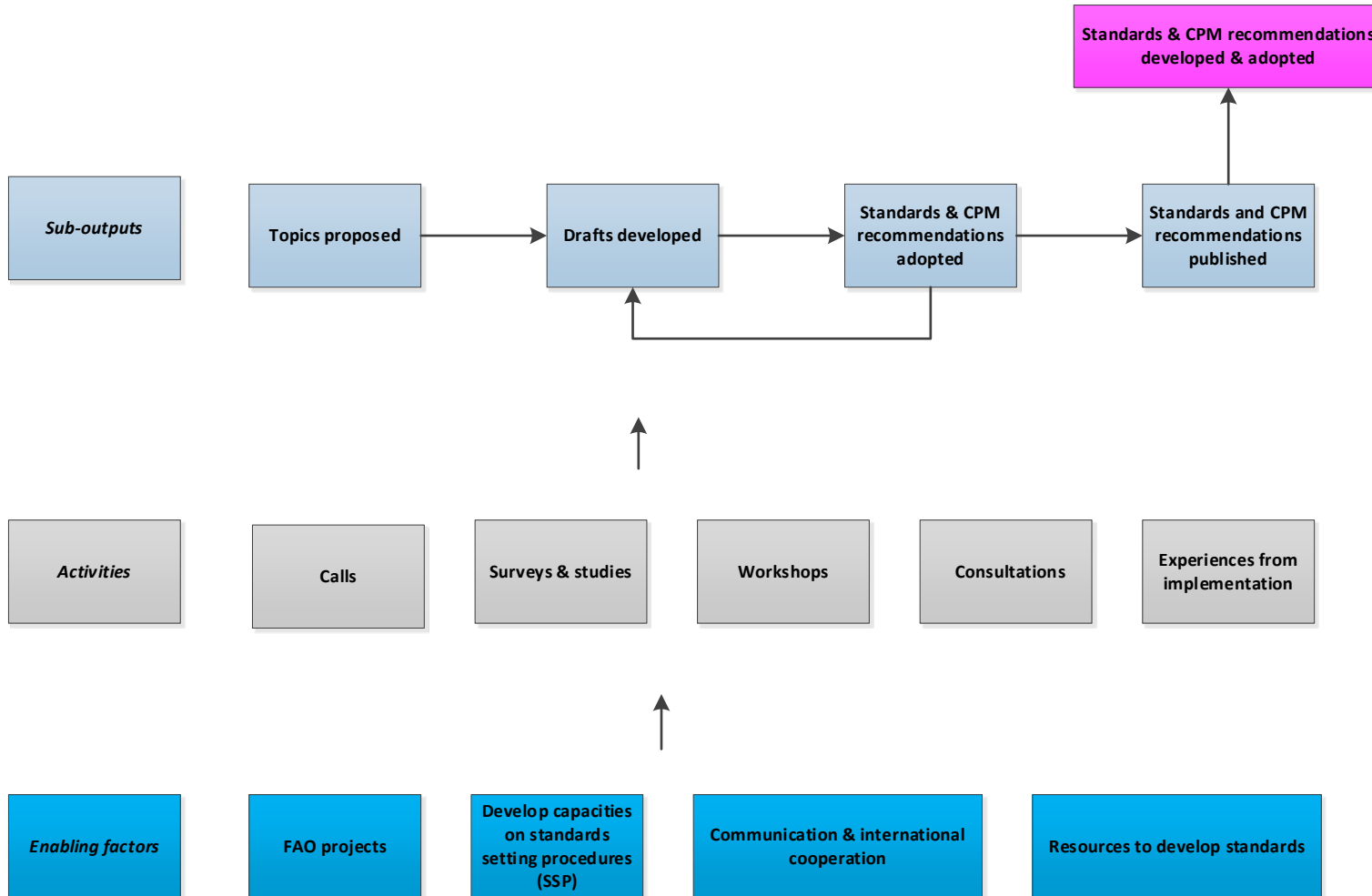
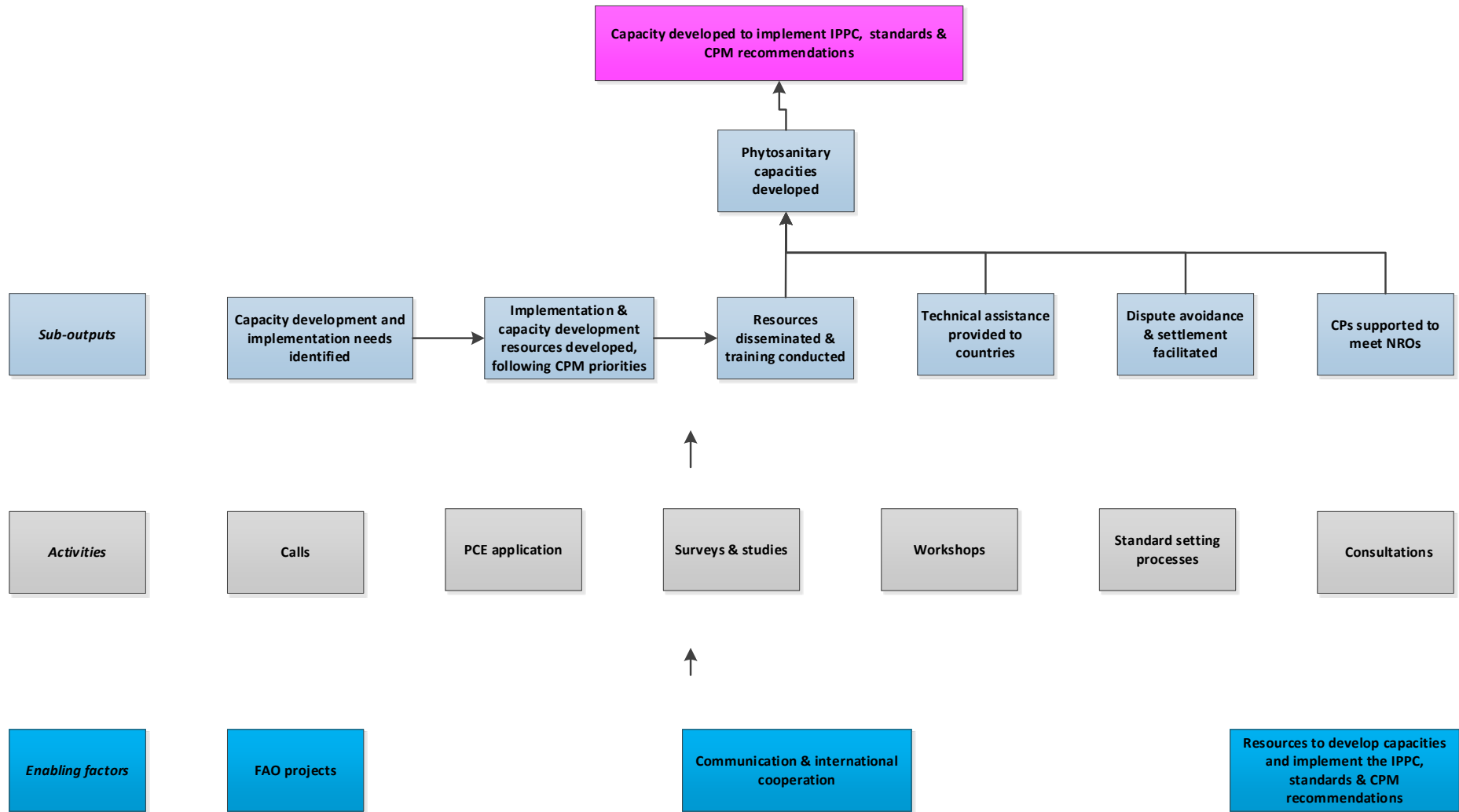
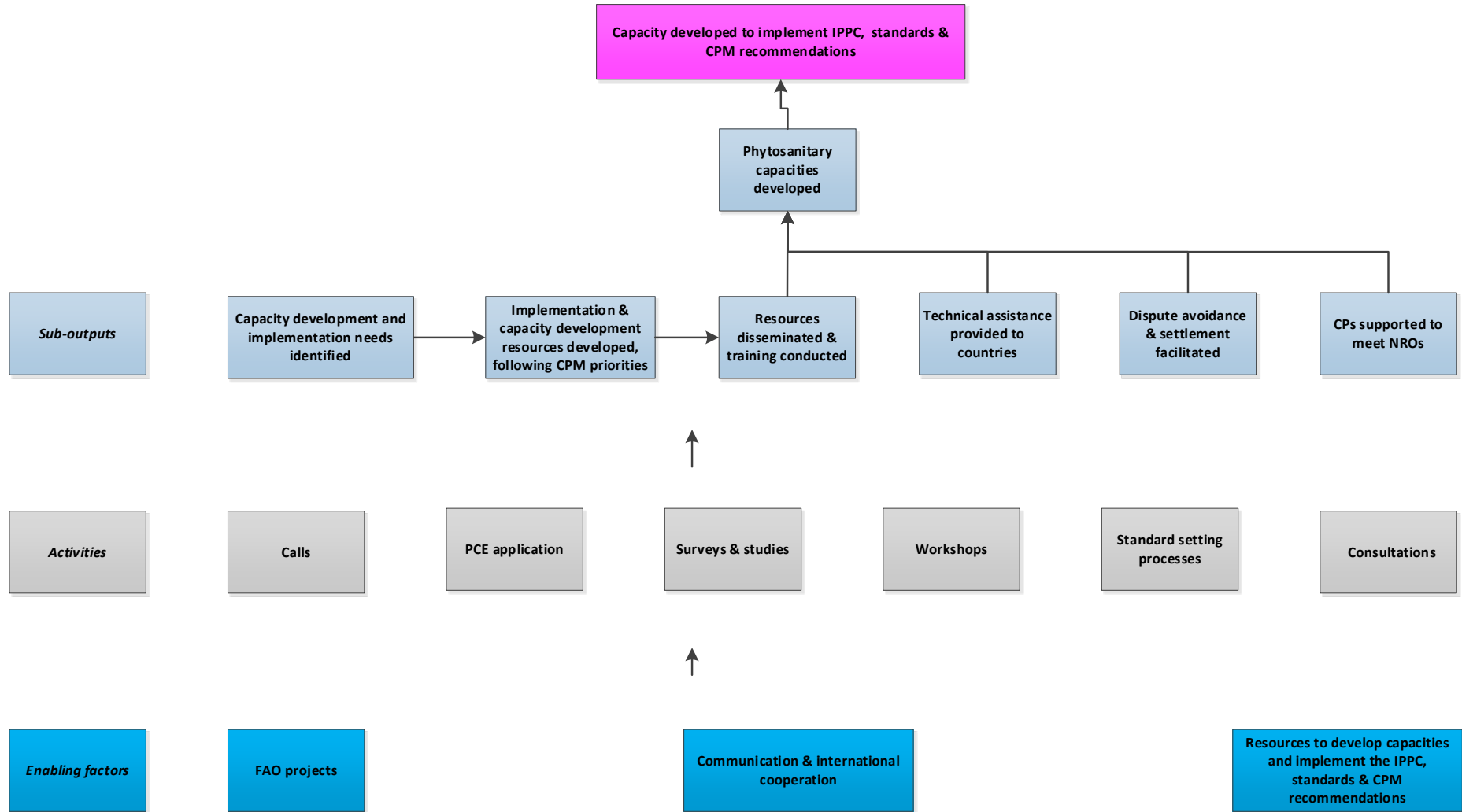


Figure 3. ToC for Implementation and capacity development



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Figure 3. ToC for Implementation and capacity development



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