

1.2.3. Procedure for a PCE Facilitator Certification¹

Introduction

In the past 20 years Phytosanitary Capacity Evaluations have been implemented in over 80 countries. The PCE has been a great way for NPPO Staff and Stakeholders to learn about various components of a phytosanitary system and to learn and understand the IPPC, ISPMs and the various technical resources available. In addition, this process has helped many countries strengthen their national phytosanitary law and systems.

In the last 3 years many requests have come from Contracting Parties for PCEs to be undertaken. The IPPC Implementation and Capacity Development Committee (IC) developed a strategy to rely on certified facilitators to accurately meet the increasing demand of countries to implement a PCE. A procedure for a PCE facilitator certification is therefore proposed in this document.

Purpose of the procedure for a PCE facilitator certification

A procedure for the certification of PCE Facilitators is established to ensure an accurate, repeatable and transparent process is followed.

1. **PCE Board.** A PCE Board² is established to oversee the PCE Facilitator certification process as per the procedure described in this document.
2. **PCE national coordinator.** Person assigned by the PCE manager to complete the modules.
3. **PCE Facilitator Trainee.** Individuals, with some phytosanitary background, would take PCE training courses offered by the IPPC Secretariat and be evaluated against predetermined criteria by the PCE Mentors. Once they pass this evaluation, they become a **PCE Facilitator Trainee**. Those who do not pass this evaluation will be informed and given an explanation in writing. In exceptional circumstances, as determined by the PCE Board, experts with over 10 years of experience in delivering phytosanitary programmes and/or in participating in the PCE process, may, without taking the above training, be evaluated against the same criteria and upon satisfactory evaluation become a PCE Facilitator Trainee.
4. **Certified PCE Facilitator.** PCE Facilitator Trainees must undergo a recognition process, by participating in and leading an overall PCE composed of three PCE missions, under the oversight of a **Certified PCE Facilitator**. The PCE Facilitator Trainee will undertake a PCE pro-actively with full responsibility for its good implementation and for the delivery of outputs. The Certified PCE Facilitator will guide the trainee, as necessary, at each step of the PCE process. A form encompassing all aspects to be evaluated is provided in Appendix 1, as an attempt to systematically assess all relevant skills of a PCE

¹ Approved by IC 2021-11

² The PCE Board would be formed of one IC, one SC and one Bureau member, the PCE mentor of the PCE facilitator trainee being assessed.

A pool of 3 IC regional representatives, 3 SC members from different regions and of 3 bureau members would be set, with an overall balance for geographical representation. The members of the pool would be solicited to form the board on an *ad hoc* basis for the review of one PCE facilitator trainee certification, according to their availability and willingness. The board formed should have members from at least two FAO regions. Decision will be reached by consensus. All members of the pool would sign the PCE confidentiality agreement.

Facilitator Trainee. An evaluation of the trainee through this form will take place at the end of each mission to be undertaken by the Certified PCE Facilitator and the country PCE national coordinator will also be asked to provide an evaluation report after each mission. A final evaluation will take place after this series of PCE missions have been completed. The Certified PCE Facilitator should possibly attend at least two of the three missions of the PCE for an informed assessment. An evaluation form should be filled in after each mission by the Certified PCE Facilitator and communicated to the PCE Facilitator trainee as a constructive way to provide feedback and improve performance. If satisfied with the work, the supervising Certified PCE Facilitator will recommend the PCE Facilitator Trainee to the IPPC Secretariat to be recognized. The submission will be reviewed by the **PCE Board** and if recommended, the PCE Facilitator Trainee will become a **Certified PCE Facilitator**.

5. **Terms of reference and key performance indicators of the PCE Facilitator Trainee.** Although the PCE Facilitator Trainee may not always be contracted by the IPPC Secretariat, a standard Terms of Reference and key performance indicators to be met when completing a PCE, are described in Appendix 2.
6. **Successful completion of a PCE.** A PCE will be deemed satisfactory complete upon receipt from the National IPPC Contact Point a National Phytosanitary Capacity Evaluation Strategy and Action Plan that has documented evidence of support by Stakeholders. This is to be forwarded to the Secretariat within 10 working days of completion of the PCE.
7. **PCE Mentor.** A Certified PCE Facilitators who independently complete at least one PCE, may submit their application to the PCE Board to become a PCE Mentor. The PCE Board reviews applications as needed on the basis of the filled evaluation forms and mission reports and National Phytosanitary Capacity Evaluation Strategy, Action Plan and list of participants to workshops including a wide representation from stakeholders, ensuring the applicant has both the phytosanitary knowledge and the teaching skills, and if they agree, the applicant will become a **PCE Mentor**.
8. **Lists of PCE Board members, PCE Facilitator Trainees, Certified PCE Facilitators and PCE Mentors** will be maintained on the IPPC^[2].
9. **Disputes.** In case of divergent views on the evaluation or the verified completion of a PCE, the PCE Board will be requested to arbitrate the case.

Appendix 1: PCE Facilitator Trainee Evaluation Form

To be completed by the supervising Certified PCE Facilitator.

This evaluation form should be completed within 20 working days after each mission when the mission report would have been provided. The filled evaluation form will be shared with the PCE Facilitator Trainee.

Key outputs as detailed in Appendix 1, should be provided by the PCE Facilitator Trainee as indicators of the completion of activities.

The following are Key performance indicators that will be used to assess the successful completion of a PCE, to be assessed as soon as possible after the third mission is completed:

- A draft Phytosanitary law or regulation has been developed or updated and validated by all relevant stakeholders during the consensus building workshops.
- A revised Phytosanitary law or regulation is passed.
- A National Phytosanitary Capacity Development Strategy and Action Plan has been developed and validated by all relevant stakeholders during the consensus building workshops.

Name of PCE Facilitator Trainee:

Mission (date and place):

Name of Certified PCE Facilitator (evaluator):

Name of National PCE Coordinator (evaluator):

	Behaviour during the workshops	Planning, preparation and organization of the work	Report
General Phytosanitary knowledge		n/a	n/a
IPPC / ISPMs			n/a
Practical implementation knowledge			
Strategic planning	n/a	n/a	
PCE modules knowledge			n/a
Facilitation and presentation skills		n/a	n/a
Personal skill			
Communication oral (make aim and objectives clear)		n/a	n/a
Communication written	n/a		
Organized and time management (guide to keep content relevant)			
Analysing/critical thinking/problem solving			n/a
Diplomacy/cultural sensitivity (guide to keep content relevant)			n/a
Discrete/responsible			n/a

	Behaviour during the workshops	Planning, preparation and organization of the work	Report
Autonomous/neutral			n/a
Cultural fit			
Integrity/ethic		n/a	n/a
Serving humanity		n/a	n/a
Genuine/inspire trust		n/a	n/a
Other comments: Overall assessment: Area for improvement:			

Fill in the boxes with a rating: 1 (unsatisfactory), 2 (needs improvement), 3 (satisfactory), 4 (fully satisfactory) to 5 (exceptional) where appropriate.

To be adapted for country

Appendix 2: Terms of Reference for an International Phytosanitary Consultant to act as a PCE

Facilitator Trainee with key performance indicators

Under the technical supervision of an Certified PCE Facilitator, in close collaboration with the National IPPC Contact point, the NPPO and often the Ministry of Agriculture of the country where the PCE will be conducted, the national counterparts, the national PCE Manager (a national of the country that will be responsible to ensure the PCE is applied and completed in the allotted timeframe) and National Consultants, the PCE Facilitator Trainee (hereafter Consultant) will undertake the following activities during the various PCE missions, as necessary:

First PCE mission (11 working days)

1. Prior and during the mission, and under the supervision of the Certified PCE Facilitator, the Consultant will coordinate with the National PCE Manager and with the Ministry responsible for the National Plant Protection Organization to:
 1. Help identify all the relevant stakeholders from the plant protection/quarantine department, other relevant ministries and departments, external institutions and the private sector to participate in the PCE process. This may include Ministry of trade, Customs Departments, Ministry of Agriculture, Ministry of Justice, Ministry of Environment, relevant research agencies, relevant diagnostics laboratories (if any), representatives of the private sector such as associations of producers, importers or exporters.
 2. Agree on the number of PCE modules to be completed (at least 4 out of the 13).

3. Identify and make available copies of national information sources including pertinent legislation, policy documents and technical information including national strategies, operational materials for management of pests, organizational information and project information where relevant.
1. Coordinate with the PCE team (National PCE Coordinator, Certified PCE Facilitator, if relevant International Lawyer, National Lawyer and FAO lawyer) and relevant stakeholders (as detailed above) to produce an agenda, on the basis of the model agenda provided by the IPPC Secretariat and seek the Certified PCE Facilitator's review and clearance of the agenda.
2. Prepare presentations for the mission which will include a situation analysis workshop or series of virtual workshops as necessary on the basis of the model presentation provided by the IPPC Secretariat, including updating and translating materials (eg. on the IPPC, ISPMs, the PCE process, etc.) and seek the Certified PCE Facilitator's review and clearance of the presentations.
3. Deliver prepared presentations during the workshop or series of virtual workshops.
4. Conduct a gap analysis (identify five weaknesses per PCE module selected)
4. At least two PCE modules completed during the first mission or series of virtual workshops.
5. At least two PCE modules should be assigned to national staff to have them completed before the second mission or next series of virtual workshops.
5. Conduct individual interviews with key stakeholders (as defined above).
6. Provide technical advice to the national and international legal consultants on national legislation under review, if relevant.
7. Prepare a report of the mission, to be reviewed and cleared by the Certified PCE Facilitator, as per the model provided by the IPPC Secretariat.
8. Prepare a news item on the main achievements of the mission.
9. Follow up with the PCE national coordinator to help ensure the assigned modules are completed on time.

Second PCE mission (11 working days)

1. Coordinate, under the supervision of the Certified PCE Facilitator, with the PCE team to:
6. Ensure that all the relevant stakeholders have had sufficient input in the PCE process.
7. Review the responses to the PCE modules that have been completed with relevant stakeholders.
8. Review information sources including pertinent legislation and policy documents and technical information including national strategies, operational materials for management of pests, organizational information and project information where relevant.

10. Coordinate with the PCE team and relevant stakeholders to produce an agenda, on the basis of the model agendas provided by the IPPC Secretariat and seek the Certified PCE Facilitator's review and clearance of the agenda.
11. Prepare presentations for the mission which will include a PCE strategic planning workshop or series of virtual workshops as necessary on the basis of the model presentations provided by the IPPC Secretariat, including updating and translating materials (eg. on the IPPC, ISPMs, the PCE process, etc.) and seek the Certified PCE Facilitator's review and clearance of the presentations.
12. Deliver prepared presentations during the mission or series of virtual workshops.
13. Using one of the PCE modules as an example and selected in agreement with the PCE team:
9. Conduct of a three day strategic planning exercise including the following methodological tools:
 - i. Problem analysis
 - ii. SWOT analysis.
 - iii. Logical framework development.
 - iv. Indicative work planning.
14. Conduct individual interviews with key stakeholders as relevant.
15. Travel as needed to verify the findings of the PCE, when relevant.
16. Establish a plan for national staff to complete strategic plans before the third PCE mission or series of workshops take place, to validate the findings with all stakeholders.
17. Provide technical advice to the national and international legal consultants on national legislation under review (based on results of PCE module 2), when relevant.
18. Prepare a mission report to be reviewed and cleared by the Certified PCE Facilitator, as per the model provided by the IPPC Secretariat.
19. Prepare a news on the main achievements of the mission.
20. Follow up with the PCE team and relevant stakeholders for the good completion of methodological tools as detailed above for selected modules.

Third PCE mission (validation mission) (11 working days)

1. Under the supervision of the Certified PCE facilitator, communicate in advance with the National Counterparts on the requirements for the mission or series of virtual workshops.
21. Coordinate with the PCE team and relevant stakeholders to produce an agenda, on the basis of the model agendas provided by the IPPC Secretariat and seek the Certified PCE Facilitator's review and clearance of the agenda.
22. Prepare presentations for the mission which will include a PCE strategic planning workshop or series of virtual workshops as necessary on the basis of the model presentations provided by the IPPC Secretariat, including updating and translating

materials (eg. on the IPPC, ISPMs, the PCE process, etc.) and seek the Certified PCE Facilitator's review and clearance of the presentations.

23. Deliver prepared presentations during the mission or series of virtual workshops.
24. Review and analyze the present institutional and legal framework governing plant health legislation based on the phytosanitary capacity evaluation (PCE) assessment.
25. Review and analyze the draft national strategy and action plan prepared by the national counterparts.
26. Discuss with the PCE team and relevant stakeholders the comments received on the draft strategy and action plans.
27. Finalize the national strategy and action plan with the full support of the PCE team and relevant stakeholders.
28. Assist the PCE team to prepare a presentation on the strategy.
29. Submit a mission report which also contains a summary of the previous missions and contains recommendations and conclusions from the set of PCE missions and has relevant information attached (e.g. agenda of the mission, list of stakeholders, work plan and responsibilities in preparation for the next mission).
30. Prepare a news on the main achievements of the mission and a case study in collaboration with the NPPO Head and staff for promotion.

Key performance indicators for each mission are the following and should be delivered no more than 10 days after the field mission or series of virtual meetings are completed and all outputs should be reviewed and cleared by the Certified PCE Facilitator:

First and Second PCE Missions

1. Provide a copy of national information sources collected and consulted to the Certified PCE Facilitator and IPPC Secretariat for reference.
31. Provide written comments on any national legislation submitted for technical review.
32. Submit a mission report. The report should identify the gaps of the national phytosanitary system identified for the modules completed; information on discussions held with stakeholders interviewed including contact information; a (revised) work plan; a list of tasks assigned to the national stakeholders for completion before the next mission.

Third PCE Mission

33. Validated Final Draft National Capacity Development Strategy and action plan.
34. Detailed mission report with recommendations.

