Standards and Trade
Development Facility

SPS-Related Capacity Evaluation Tools
An Overview of Tools Developed by International Organizations




2nd Edition

WTO OMC

An Overview of Tools Developed by International Organizations to Evaluate Sanitary and Phytosanitary (SPS) Capacity

2nd Edition

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Abbreviations

CAC	Codex Alimentarius Commission
CBD	Convention on Biological Diversity
CPM	Commission on Phytosanitary Measures
DTIS	Diagnostic Trade Integration Study
EC	European Commission
EU	European Union
FAO	Food and Agriculture Organization of the United Nations
GEF	Global Environment Facility
IICA	Inter-American Institute for Cooperation on Agriculture
IPPC	International Plant Protection Convention
ISO	International Organization for Standardization
ISPM	International Standards for Phytosanitary Measures
ITC	International Trade Centre
NCSA	National Capacity Self Assessment
NPPO	National Plant Protection Organization
OIE	World Organisation for Animal Health
PCE	Phytosanitary Capacity Evaluation
SMTQ	Standards, Metrology, Testing and Quality
SPS	Sanitary and Phytosanitary
STDF	Standards and Trade Development Facility
SWOT	Strengths, Weaknesses, Opportunities and Threats
TBT	Technical Barriers to Trade
TRTA	Trade-Related Technical Assistance
UNDP	United Nations Development Programme
UNEP	United Nations Environmental Programme
UNIDO	United Nations Industrial Development Organization
WHO	World Health Organization
WIPO	World Intellectual Property Organization
WTO	World Trade Organization

Foreword

The Agreement on the Application of Sanitary and Phytosanitary Measures (SPS Agreement) of the World Trade Organization (WTO) sets out the basic rules for food safety and protecting animal and plant health in the context of international trade. It permits WTO Members to protect their human, animal and plant life and health but seeks to minimize any negative effects of SPS measures on trade. The SPS Agreement recognizes that technical capacity to implement the SPS Agreement will vary and commits Members to facilitate the provision of technical assistance to developing countries, either through the relevant international organizations or bilaterally.

Substantial resources have already been allocated to strengthen the capacity of developing countries to implement SPS measures as a means to improve food safety, enhance animal and plant health, and increase exports of food and agricultural products that comply with international requirements. Experience shows that these resources are most effective and sustainable when they support countries' own development efforts and goals, have the commitment of key stakeholders, and are based on a clear assessment and prioritization of needs. These experiences are reflected in the 2005 ***Paris Principles on Aid Effectiveness***, which provide a practical, action-oriented roadmap to improve the effectiveness of development assistance. In this context, and as a means to enhance ownership, the Paris Principles encourage countries to carry out diagnostic reviews that provide reliable assessments of their SPS systems and procedures. Similarly, the 2008 ***Accra Agenda for Action*** reaffirmed the commitments made in the Paris Declaration and further agreed on concrete and monitorable actions to accelerate and deepen implementation of the Paris Principles.

This document, first published in 2009, presents information on the scope and use of a number of SPS-related capacity evaluation tools developed by international organizations. It is based on information that was initially presented at a workshop organized by the Standards and Trade Development Facility (STDF) in Geneva on 31 March 2008. Some of the tools focus on particular components of SPS and have been developed by the international standard-setting bodies recognized in the SPS Agreement. Others address cross-cutting aspects of food safety, animal and plant health, or particular aspects of SPS capacity in a more general setting. Since the first publication of this document, various revisions have been made to a number of the capacity evaluation tools. This second edition reflects these modifications and the progress made in using the evaluation tools.

The purpose of this publication is to inform developing countries about the range of tools that could be used to evaluate their SPS-related capacity needs, and offer guidance on the selection of which tool for which purpose. An important additional objective is to enhance coordination among international organizations and others in the further development and use of such tools. The STDF has developed this document in accordance with its mandate to act as a vehicle for coordination among the providers and recipients of technical cooperation, and to share experience and good practice related to the provision and receipt of SPS-related technical cooperation. It is hoped that this publication will serve as a useful reference to facilitate the assessment of capacity needs in the SPS area, which will contribute towards improving the effectiveness of available assistance.

Finally, it is important to note that the preparation of this document was a collaborative undertaking. It could not have been produced without the close cooperation of all the organizations whose tools are presented here, and these contributions are gratefully acknowledged.

Clemens Boonekamp

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Agriculture and Commodities Division

Introduction

The Standards and Trade Development Facility (STDF) has prepared this publication in accordance with its mandate to act as a vehicle for coordination among technical cooperation providers. The purpose is to share information on sector-specific and cross-cutting tools to assess capacity in the sanitary and phytosanitary (SPS) area, that have been developed or are under development by international organizations, as well as related methodologies and approaches.

The publication is based on information that was initially presented to a workshop on SPS-related capacity evaluation tools, which was organized by the STDF on 31 March 2008[1], as well as additional contributions from the organizations concerned and first published in 2009. Numerous revisions and updates have been made to a number of the evaluation tools, and as such this second edition presents information on the modified tools and/or further progress made by the organizations in carrying out SPS-related capacity evaluations.

The STDF workshop held in 2008 highlighted the importance of identifying and prioritizing needs as an initial step in the process of SPS-related capacity building. Participants recognized that as the standards of the three international standard setting bodies – the Codex Alimentarius Commission (CAC), the International Plant Protection Convention (IPPC) and the World Organisation for Animal Health (OIE) – are recognized by the SPS Agreement, it is valuable for Members of the World Trade Organization (WTO) to apply the evaluation tools of these organizations as appropriate to the particular SPS mandate. Participants also noted that other organizations are involved in SPS capacity building and have developed accompanying assessment tools. This situation raises risks of differences or duplication in the assessment of SPS-related needs, as well as in the design and implementation of capacity building programmes and activities. For international trade, the standards of the three international standard setting bodies are of primary importance and the capacities of WTO Members should be assessed according to these standards.

Participants further acknowledged that a large amount of data is being generated through capacity evaluations focused on specific and/or cross-cutting aspects of SPS capacity at the country level. The workshop concluded that compilation and exchange of the findings has been limited and little attention has been given to monitoring the impact of assessments in generating results. The first publication and this second edition are steps aimed at addressing this concern. The workshop and this publication form part of a larger effort by the STDF to enhance access to information about SPS-related capacity assessment tools and promote coordination in the design and application of such tools. In parallel, the STDF aims to: (i) disseminate available information on planned and completed SPS-related capacity evaluations, including their findings and results; and (ii) facilitate discussion among concerned stakeholders to ensure greater synergies in the development and use of these tools in the future, and contribute towards the use of these tools as part of an overall strategy for SPS-related capacity building.

By providing an overview of existing SPS-related capacity assessment tools and their practical application at the country level, the first objective of the publication is to inform developing countries about the range of tools, which could be used to evaluate their SPS-related capacity needs, and offer guidance on the selection of which tool for which purpose. An important second objective is to enhance coordination among international organizations and others in the further development and use of such tools.

The capacity evaluation tools presented here are grouped into three broad categories, as presented at the 2008 workshop:

i. sector-specific tools that look exclusively at a particular thematic area within SPS;
ii. cross-cutting tools that look at the SPS system as a whole; and
iii. related methodologies and approaches that treat one aspect of SPS in a more general setting.

[1] Complete information about this workshop including the agenda, presentations, background papers, podcasts of some sessions, workshop report, etc. are available on the SPS gateway of the WTO website (available at: http://www.wto.org/english/tratop_e/sps_e/wkshop_march08_e/wkshop_march08_e.htm).

Some of these tools have been tried and tested for some time. For instance, the Phytosanitary Capacity Evaluation (PCE) tool of the IPPC was first produced in 1999 and has been applied in more than 80 countries. Similarly, the Tool for the Evaluation of Performance of Veterinary Services, developed by the OIE, has been used in more than 90 countries, with several other evaluations in the pipeline. Some tools, such as the Guide to Assess Biosecurity Capacity, developed by the Food and Agriculture Organization of the United Nations (FAO), are more recent. Finally, other tools presented here, such as the Diagnostic Tool for Analysis and Assessment of Trade and Health of the World Health Organization (WHO), are still under development.

TABLE 1. Overview of SPS-related Capacity Evaluation Tools

Tool	Developed by	Focus	Web link
Strengthening National Food Control Systems: Guidelines to Assess Capacity Building Needs	**FAO**	Food safety	English French Spanish
Strengthening National Food Control Systems: Quick Guide to Assess Capacity Building Needs	**FAO**	Food safety	English French Spanish
Performance, Vision and Strategy (PVS) for Food Safety	**IICA**	Food safety	English Spanish Portuguese
Performance of Veterinary Services (PVS) Pathway	**OIE**	Animal health	English French Spanish
Performance, Vision and Strategy (PVS) for National Veterinary Services	**IICA**	Animal health	English Spanish
Phytosanitary Capacity Evaluation (PCE) Tool[2]	**IPPC**	Plant health	English French Spanish
Performance, Vision and Strategy (PVS) for National Plant Protection Organizations	**IICA**	Plant health	English Spanish
Guide to Assess Biosecurity Capacity	**FAO**	Cross-cutting	English French Spanish
Performance, Vision and Strategy Tool for SPS	**IICA**	Cross-cutting	English Spanish
Food safety and agricultural health assessments and action plans	**World Bank**	Cross-cutting	English: Link to Country Assessments and Action Plans
Approach to Evaluate Conformity Assurance Infrastructure	**UNIDO**	Conformity assessment	English
National capacity self assessment tool for the Convention on Biological Diversity (CBD)	**CBD**	Global environmental commitments	English
Diagnostic tool for analysis and assessment of trade and health	**WHO**	Trade and health	English

[2] The new version of the PCE is currently being finalized. The weblinks included in Table 1 refer to the general IPPC website.

FAO Guidelines and Quick Guide to Assess Food Safety Capacity Building Needs

FAO has developed Guidelines and a complementary Quick Guide to assess capacity building needs in national food control systems. The two tools are targeted at officials in national authorities who are responsible for various aspects of food control systems at the policy and/or operational level, as well as external organizations and consultants involved in food safety capacity building activities.

The Guidelines and Quick Guide approach capacity building needs as gaps between "what is" (the present) and "what should be" (the desired future of the food control system). They build on the FAO/WHO Guidelines for strengthening national food control systems (Food and Nutrition Paper No. 76), which provide advice to develop a food control system based on a transparent, risk-based approach and the involvement of all concerned stakeholders from farm to table.

The Guidelines and Quick Guide are available in English, French and Spanish on the website of FAO's Food Quality and Standards Service (http://www.fao.org/ag/agn/agns/capacity_en.asp).

What is the scope of the Guidelines and Quick Guide?

The Guidelines include modules to guide officials through the assessment process for: (i) food control management; (ii) food legislation; (iii) food inspection; (iv) official food control laboratories; and (v) food safety and quality information, education and communication (International Electrotechnical Commission, IEC). Each module includes: descriptors for key dimensions of capacity; a matrix of detailed questions to help identify capacity needs (considered as gaps between the existing situation and the desired future situation); and a variety of resources and templates to assist information collection and analysis. The latter includes questions for key informant interviews and focus group discussions, templates for information collection and reporting, capacity checklists, illustrative scenarios for analysis of Strengths, Weaknesses, Opportunities and Threats (SWOT), and workshop agendas. Internationally accepted benchmarks and good practices, and suggestions for further reading, are also incorporated to assist those using the tool.

The Quick Guide is based on these Guidelines. It concentrates on the food control system as a whole and less on its individual components. The focus of the Quick Guide is on: (i) food safety outcomes and performance from the perspective of different stakeholders; (ii) the country context for food safety; and (iii) the overall capacity of the national food control system. It outlines a systematic five-step process to examine critically the capacity and performance of the entire food control system, envisage the improved future system, pinpoint areas for improvement and identify options to address the identified needs. Each step incorporates a number of key questions to guide the assessment, as well as practical tips and suggestions. Additional resources, including survey questionnaires, key questions for discussions, checklists of capacity and capacity building needs, are annexed as resource materials.

How are the Guidelines and Quick Guide applied?

The Quick Guide is targeted at countries that want to get an overall or more generic picture of what is needed to strengthen their food control system. In contrast, countries that want to focus on a particular component of their food control system (e.g. food inspection, food legislation) in greater detail, or go more in depth in the analysis, should apply the relevant module(s) of the longer Guidelines.

The Guidelines and Quick Guide can be applied as a self assessment tool and/or with the support of an external facilitator or consultant. A transparent and open approach to the assessment of needs is encouraged. Both tools recommend establishing a small team of individuals from concerned institutions to carry out the assessment, consulting and/or involving relevant stakeholders to enhance ownership and increase support for any follow-up activities, and documenting and sharing the process to carry out the assessment, as well as the findings that emerge.

What have been the experiences of using the Guidelines and Quick Guide?

Apart from independent use by individual countries, FAO staff and consultants are using the Guidelines and Quick Guide to help evaluate capacity building needs as part of project formulation activities. The tools have been applied in some 31 countries (see below). Use of the Guidelines and Quick Guide has contributed towards: (i) increasing awareness about the importance of food safety for public health, economic development and trade; (ii) enhancing decision and policy making through the development of food safety capacity building action plans; and (iii) attracting new sources of funding for unmet needs.

Countries in which the FAO Quick Guide and Guidelines have been applied (January 2011)

- Angola
- Argentina
- Benin
- Cambodia
- Cameroon
- Cape Verde
- Chile
- Congo PRC
- Costa Rica
- Côte d'Ivoire
- Cuba
- Djibouti
- Dominican Republic
- Ecuador
- El Salvador
- Georgia
- Guatemala
- Guinea
- Honduras
- Kenya
- Lao PDR
- Myanmar
- Nicaragua
- Panama
- Paraguay
- Peru
- Philippines
- Tanzania
- Uganda
- Uruguay
- Viet Nam

The Guidelines and Quick Guide are also used for training purposes. Sub-regional, regional and international workshops have been organized to train experts as resource persons and facilitators in the use of both tools. Training events have included: a sub-regional workshop for East Africa in cooperation with the Tanzania Bureau of Standards (Bagamoyo, Tanzania, December 2006); an international training workshop on assessing food safety capacity building needs (Rome, Italy, November 2006); a regional workshop (Beijing, China, November 2007) carried out in collaboration with Food Standards Australia New Zealand and with financial support from the STDF; workshops in Georgia (2009) and the Philippines (2010); and, workshops organized as part of a regional project in Argentina, Chile, Costa Rica, Cuba, Honduras, Nicaragua, Paraguay, Peru and Uruguay since 2009. One of the aims of these workshops has been to facilitate application of the tools by national stakeholders.

The Guidelines and Quick Guide have also been used in Guinea, Cote d'Ivoire, Congo PRC, Djibouti and Cape Verde as a framework for undertaking structured situation assessments. Follow-up activities to apply the Guidelines and/or Quick Guide and, develop food safety capacity building action plans are ongoing.

Contact

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IICA Performance, Vision, Strategy (PVS) Tool for Food Safety

The Performance, Vision and Strategy (PVS) Tool for Food Safety was developed by the Inter-American Institute for Cooperation on Agriculture (IICA) and the Pan American Health Organization (PAHO) using the conceptual approach of the IICA PVS tool for veterinary services.

The purpose of the food safety PVS tool is to assist national food safety services to establish their current level of performance, form a shared vision with the private sector, establish priorities, and facilitate strategic planning in order to achieve institutional objectives, take full advantage of the new opportunities and obligations of globalization, and establish the baseline for the subsequent preparation by IICA of a bankable national food safety service modernization project.

The PVS tool for food safety is available in English, Spanish and Portuguese on the IICA website.

What is the scope of the IICA PVS Tool for Food Safety?

The PVS Tool for Food Safety includes a series of six to eight critical competencies for four fundamental components of food safety: (i) technical capacity; (ii) human and financial capital; (iii) interaction with the private sector; and (iv) safeguarding public health and market access. Qualitative levels of advancement are described for each critical competency. A pie chart is shown next to the text explanation for each level to help visualize the potential or cumulative level of advancement within each critical competency and to provide a quantitative assessment of the overall performance of the service in that competency. Additional space is provided after each critical competency to expand upon or clarify responses if so desired.

How is the IICA PVS Tool for Food Safety applied?

The PVS Tool for Food Safety is intended to be more than a diagnostic tool. It is meant to be a process geared to the future that can be used in a passive or active mode, depending on the level of interest and commitment of the users and the official services to improve national services over time. Part of this process involves interviews and focus group discussions with public sector stakeholders including national authorities responsible for food safety as well as other relevant ministries and agencies, the private sector and consumers.

The PVS tool can be applied in a "passive" or "active" mode. In the "passive" mode, the PVS instrument raises awareness, improves understanding and provides training on the basic components and critical competencies that food safety authorities must have in order to function adequately. In this mode, the instrument can also be used to develop a shared vision of food safety capacity, foster dialogue and adopt a common language for discussion.

In the "active" mode, food safety performance is assessed, differences are explored and priorities are established in order to ensure follow-up actions and investments, and fulfil commitments. Leadership from the public sector is critical to success. Continuity of the PVS process is assured when a true partnership exists between the public and the private sectors involved in food safety. Officials in the national food safety services are trained in the use of the tool, so that it can be self-applied and thus become a mechanism for continuous improvement of the services.

The application of the PVS instrument must be accompanied by a broad, representative consultation process that allows the criteria and current situation of relevant public and private sector institutions to be included, so that each variable measured is not biased because the consultation was not sufficiently representative. A combination of strategic planning methodologies and individual interviews is used to apply the PVS instrument. This allows different criteria or perceptions concerning the level of performance for each variable to be captured, according to the perspective of each sector, institution or stakeholder.

What have been the experiences?

- The PVS is a tool for continuous improvement and not an evaluation of the service.
- The person responsible for applying the instrument must be familiar with the operation of the food safety system and SPS services in the country.
- He/she must foster dialogue and discussion among the participants and understand clearly that his/her primary role is that of facilitator.
- The person in charge of the service must assume overall leadership of the process.
- Participation of the private sector when using the PVS in the active mode is of great importance in achieving the proposed objectives.
- Financial resources for improving the performance of the service are important, but it must be understood that much of the work can be done with existing economic resources or with contributions and technical support from the private sector.

- The results of the process can be used to prepare an investment project to promote the continuous improvement of the service.

Countries in which the IICS PVS Tool for Food Safety has been applied (June 2010)

- Argentina
- Bolivia
- Colombia
- Ecuador
- Paraguay
- Peru
- Uruguay

Contact

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OIE Performance of Veterinary Services (OIE PVS) Pathway

The OIE PVS Pathway is a global programme for sustainable improvement of a country's Veterinary Services' compliance with OIE standards. This is an important foundation for improving animal health and public health and improving compliance with SPS standards, at the national, regional and international level. It should be remembered that the activities of the Veterinary Services are an international public good and are consequently eligible for appropriate national, regional or international funding support.

What is the scope of the OIE Performance of Veterinary Services Pathway?

To support these goals, there is a crucial need for appropriate legislation in the animal health field and its strict implementation through appropriate national animal health systems allowing, in principle, for: (i) early detection of disease incursions, transparency and notification; (ii) rapid response to animal disease outbreaks and implementation of biosecurity and bio-containment measures; (iii) compensation strategies to indemnify animal owners; and (iv) vaccination, as appropriate. Good governance of animal health systems based on a close public/private partnership is the responsibility of all Governments. If one country fails, it may endanger its neighbouring countries, the region, the continent and potentially the entire planet.

To help ensure the effective performance of the Veterinary Services of Member Countries and Territories, the OIE has dedicated two Chapters of the OIE Terrestrial Animal Health Code (the Terrestrial Code) to the Quality of Veterinary Services: i.e. Chapter 3.1: Veterinary Services,[3] and Chapter 3.2: Evaluation of Veterinary Services.[4]

The OIE international standards and guidelines that are the basis for country evaluations of the quality of the Veterinary Services and Animal Health Systems have been democratically adopted by all 177 OIE Members. With support from a STDF-funded project, a specific methodology has been developed and the OIE has published the "OIE Tool for the Evaluation of Performance of Veterinary Services" (OIE-PVS Tool) as the basis for evaluating performance against the international standards published in the Terrestrial Animal Health Code. A similar tool is available for the evaluation of Aquatic Animal Health Services and is available upon request from the OIE. A pilot evaluation of the Aquatic Animal Health Services has been undertaken and additional evaluations are underway.

OIE-PVS evaluations are performed as part of a broader legitimization process of national or international financing of improvements in the governance of veterinary services (e.g. change of legislation / reorganization / public-private partnership / investment programs).

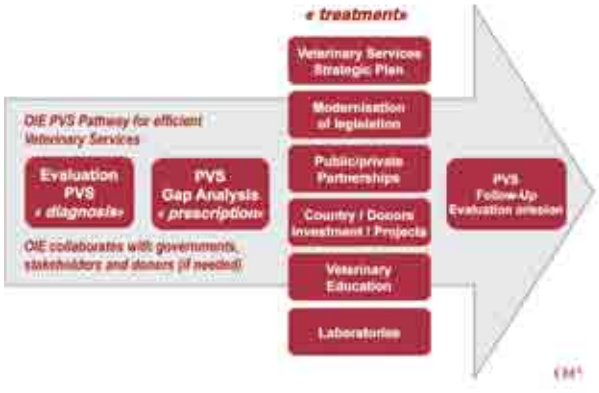
The OIE will share with Donors and Partners all OIE-PVS evaluation reports approved for such distribution by the country concerned. Most reports are made available to Donors and Partners and some are available on the OIE website at: http://www.oie.int/support-to-oie-members/pvs-evaluations/oie-pvs-evaluation-reports/

The OIE has expressed its commitment to work with the World Bank, with the FAO and other partners on the preparation of animal health investment programmes in countries. Final PVS Reports available for distribution to Donors and Partners are currently being distributed in particular to the World Bank, United Nations System Influenza Coordination (UNSIC), FAO, United States Department of Agriculture (USDA), Canada (Canadian International Development Agency, CIDA), Australia, the European Commission and AU-IBAR (African Union/Inter-African Bureau for Animal Resources).

With the development of the OIE PVS Tool, the OIE enables any country that so wishes to determine its level of advancement in terms of 46 different critical competencies (5th Edition of the OIE-PVS Tool, 2010) grouped in four fundamental components. Periodic use of the PVS Tool thus provides a way of measuring in absolute terms the progress that countries have made in sustainably improving their compliance with the OIE quality standards set out in the OIE Terrestrial Code.

How is the OIE Performance of Veterinary Services Pathway applied?

The following schema illustrates the OIE PVS Pathway:



The first step - the initial PVS evaluation -: is a qualitative assessment of the performance and the compliance of Veterinary Services (VS) in accordance with the OIE international standards on quality and evaluation of Veterinary Services.

[3] Chapter 3.1: http://www.oie.int/index.php?id=169&L=0&htmfile=chapitre_1.3.1.htm
[4] Chapter 3.2: http://www.oie.int/index.php?id=169&L=0&htmfile=chapitre_1.3.2.htm

At the request of a beneficiary country, the OIE proposes a team of at least two OIE certified PVS experts duly trained to conduct such evaluations. Once the country accepts, the Team Leader prepares the mission in close collaboration with the relevant national authorities. This involves the collection of documents and the establishment of a provisional program. The mission generally lasts about 15 days but may be longer. At the end of the mission, the main findings are presented to the authorities. A comprehensive report is prepared by the team of experts within one month.

The draft report is peer-reviewed by an independent and experienced OIE certified PVS expert (who was not involved with the mission in the country concerned). The finalised report is then sent to the evaluated country for approval. The final report will remain confidential until the country accepts its publication.

The second step proposed - the PVS Gap Analysis -: is a quantification of needs and the corresponding indicative budget to address compliance with critical competencies considered to be of priority, based on discussion between the OIE and the country concerned and the report of the initial PVS evaluation of the country.

Once a country PVS evaluation report is accepted, a PVS Gap Analysis mission may be proposed. A PVS Gap Analysis may be carried out in each country having benefited from a PVS evaluation after endorsement by the national authorities of the PVS evaluation report. The objective of the PVS Gap Analysis is to confirm with the country's Veterinary Services the short and the medium to long term priorities and proposed level of advancement for each PVS critical competency, in order to comply with OIE international standards.

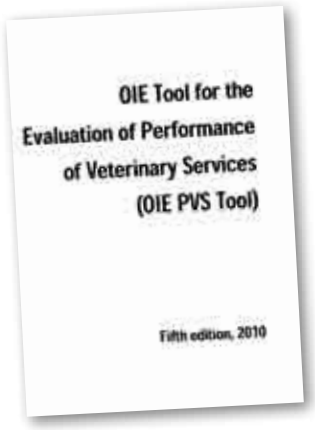
For developed countries, the sustainable strengthening of Veterinary Services' compliance may well be obvious in the framework of existing procedures and mechanisms and in light of the findings and general recommendations of a PVS evaluation. However, for many in-transition or developing countries, which face budgetary constraints and have many different major national priorities, the procedures for sustainably strengthening compliance require specific expert assistance, based on the methodological framework developed by the OIE. This is the aim of the PVS Gap Analysis.

Follow-up activities are implemented by the OIE and by OIE Partners and Donors, in accordance with country priorities.

Continuous monitoring and improvement may be achieved through regular country PVS follow-up evaluation missions. These missions ensure the progressive evolution of the steps taken by the country in improving compliance with international standards. In some cases this may necessitate additional field missions (other than PVS evaluation missions) in the countries concerned. This may include, for example, follow-up activities to PVS Gap analysis, missions to identify needs for strengthening veterinary legislation and support to the preparation of investment programmes in the countries. PVS Follow-up evaluation missions monitor qualitative changes in the country concerned, on the basis of PVS fundamental components, critical competencies and levels of advancement.

In order to reinforce the public and private components of veterinary services and to strengthen regional harmonization, the steps along the PVS Pathway must be paralleled by continuous training of Chief Veterinary Officers (CVOs) and designated OIE National Focal Points.

Veterinary legislation is a crucial infrastructure component for all countries. The OIE has developed a global programme for modernisation of veterinary legislation, based on a first 'identification' mission followed by the option, if the country wishes, to make a medium term collaboration with the OIE under a Memorandum of Understanding. As with other elements of the OIE PVS Pathway, the OIE trains and certifies experts to undertake legislation missions and reports are confidential unless/until the country authorises release to Donors or other OIE partners.



What have been the experiences?

As of 4 March 2011: (i) 113 countries had requested a PVS evaluation and 101 missions had been conducted; (ii) 65 countries had requested an independent PVS Gap Analysis and 34 missions had been conducted; and, (iii) 31 countries had requested assistance with veterinary legislation and 19 missions had been conducted.

Countries in which the OIE PVS Evaluation has been applied (March 2011)

- Afghanistan
- Albania
- Algeria
- Armenia
- Azerbaijan
- Bahrain
- *Bangladesh*
- Barbados
- Belize
- Benin
- Bhutan
- Bolivia
- *Bosnia and Herzegovina*
- Botswana
- Brazil
- Brunei
- Bulgaria

OIE Performance of Veterinary Services (OIE PVS) Pathway

- Burkina Faso
- Burundi
- Cambodia
- Cameroon
- Central African Republic
- Chad
- Chile
- Colombia
- *Comoros*
- *Congo*
- Costa Rica
- Côte d'Ivoire
- Dem. People's Rep. of Korea
- Dem. Rep. of the Congo
- Djibouti
- Dominican Republic
- *Ecuador*
- Egypt
- El Salvador
- Equatorial Guinea
- Eritrea
- *Ethiopia*
- Fiji
- Gabon
- Gambia
- Georgia
- Ghana
- Guinea
- Guinea-Bissau
- Guyana
- Haiti
- Honduras
- Indonesia
- Iran
- *Israel*
- Jamaica
- Jordan
- Kazakhstan
- Kenya
- Kuwait
- Kyrgyzstan
- Lao PDR
- Lebanon
- Lesotho
- *Liberia (not an OIE Member)*
- Libya
- Madagascar
- Malawi
- *Maldives*
- Mali
- Mauritania
- Mauritius
- Mongolia
- Morocco
- Mozambique
- Myanmar
- Namibia
- Nepal
- Niger
- Nigeria
- Philippines
- Mexico
- Nicaragua
- Oman
- Palestinian National Authority (not an OIE Member)
- Panama
- Paraguay
- Peru
- Qatar
- Romania
- Rwanda
- *Saudi Arabia*
- Senegal
- Seychelles
- Sierra Leone
- *Somalia*
- Sri Lanka
- Sudan
- Swaziland
- Syria
- Tajikistan
- Tanzania
- *Timor Leste*
- Togo
- *Trinidad and Tobago*
- Tunisia
- Turkey
- Uganda
- Ukraine
- United Arab Emirates
- Uruguay
- Uzbekistan
- Vietnam
- Yemen
- Zambia
- Zimbabwe

In italics: missions not completed to date.

Countries in which the OIE PVS Gap Analysis has been applied (March 2011)

- Armenia
- Azerbaijan
- Barbados
- Belize
- Benin
- Bhutan
- *Bolivia*
- *Botswana*
- *Brunei*
- Burkina Faso
- Cambodia
- Cameroon
- Costa Rica
- Dem. People's Rep. of Korea
- *Dem. Rep. of the Congo*
- *Côte d'Ivoire*
- Djibouti
- *El Salvador*
- Egypt
- *Eritrea*
- *Gabon*
- *Ghana*
- Guinea
- Guinea-Bissau
- *Honduras*
- Indonesia
- *Jamaica*
- *Kazakhstan*
- *Kenya*
- Kuwait
- Kyrgyzstan
- *Lao PDR*
- Lebanon
- *Lesotho*
- Madagascar
- Mali
- Mauritania
- *Mauritius*
- Mongolia
- Mozambique
- Myanmar
- Namibia
- *Nepal*
- *Nicaragua*
- *Niger*
- Nigeria
- *Oman*
- *Palestinian N.A.* (not an OIE Member)
- Panama
- Philippines
- Rwanda
- Senegal
- *Sierra Leone*
- *Sri Lanka*
- *Sudan*
- *Syria*
- *Tajikistan*
- Tanzania
- Togo
- Turkey

In italics: missions not completed to date.

- *Uganda*
- *United Arab Emirates*
- Vietnam
- *Yemen*
- Zambia

Countries in which OIE Legislation Missions have been undertaken (March 2011)

- Afghanistan
- *Armenia*
- Benin
- Bhutan
- Bolivia
- Burkina Faso
- Cambodia
- *Dem. Rep. of the Congo*
- Djibouti
- *Dominican Rep.*
- *Ethiopia*
- Gabon
- Guinea-Bissau
- Honduras
- *Kazakhstan*
- Kuwait
- Kyrgyzstan
- *Lao PDR*
- Lebanon
- Madagascar
- *Malawi*
- *Mali*
- Mauritania
- *Mauritius*
- Nigeria
- *Sudan*
- Togo
- Uganda
- *United Arab Emirates*
- Vietnam
- *Zambia*

In italics: missions not completed to date.

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IICA Performance, Vision, Strategy (PVS) Tool for National Veterinary Services

Sector-specific Tools

The Performance, Vision and Strategy (PVS) Tool for National Veterinary Services was developed by IICA in 2002 and pilot-tested in Mexico in 2004. In 2005, IICA offered to share the PVS tool with the OIE and this joint effort gave origin to the OIE's current PVS evaluation tool, which should not be confused with the IICA PVS (Performance, Vision and Strategy) tool for national veterinary services still being used by IICA.

The purpose of the IICA PVS tool is to assist national veterinary services to establish their current level of performance, form a shared vision with the private sector, establish priorities, facilitate strategic planning in order to achieve institutional objectives, take full advantage of the new opportunities and obligations of globalization, and establish the baseline for the subsequent preparation by IICA of a bankable national veterinary service modernization project.

The IICA PVS Tool for National Veterinary Services is available in English and Spanish on the IICA website.

What is the scope of the IICA PVS Tool for National Veterinary Services?

The PVS Tool for National Veterinary Services includes a series of six to eight critical competencies for each of the following four fundamental components: (i) technical capacity; (ii) human and financial capital; (iii) interaction with the private sector; and (iv) market access.

Qualitative levels of advancement are described for each critical competency. A pie chart is shown next to the text explanation for each level to help visualize the potential or cumulative level of advancement within each critical competency, and to provide a quantitative assessment of the overall performance of the service in that competency. The quantitative nature of the IICA PVS tool is a distinctive feature. Additional space is provided after each critical competency to expand upon or clarify responses if so desired.

How is the IICA PVS Tool for National Veterinary Services applied?

The IICA PVS Tool for National Veterinary Services is not an evaluation tool but an instrument meant to be a process geared to the future. The application of the tool involves interviews and focus group discussions with public sector stakeholders including national authorities responsible for animal health and food safety, as well as other relevant ministries and agencies, the private sector and consumers with an interest in animal health.

The PVS tool can be applied in a "passive" or "active" mode, depending on the level of interest and commitment of the users and the official service itself, to improve the national veterinary service over time. In the "passive" mode, the PVS instrument raises awareness, improves understanding and teaches the different participating sectors the basic components and critical competencies needed for national veterinary services to function adequately. In this mode, the instrument can also be used to develop a shared vision, foster dialogue and adopt a common language for discussion.

In the "active" mode, performance is assessed, differences are explored and priorities are established in order to ensure that actions happen, investments are made and commitments are fulfilled. Leadership from the public sector is critical to success. Continuity of the PVS process is assured when a true partnership exists between public and the private sector institutions involved in animal health. Officials in the national veterinary service are trained in the use of the tool, so that it can be self-applied and thus become a mechanism for continuous improvement of the service. The application of the PVS instrument must be accompanied by a broad, representative consultation process that allows the criteria and current situation of relevant public and private sector institutions to be included, so that each variable measured is not biased because the consultation was not sufficiently representative. A combination of strategic planning methodologies and individual interviews is used to apply the PVS instrument. This allows different criteria or perceptions concerning the level of performance for each variable to be captured, according to the perspective of each sector, institution or stakeholder.

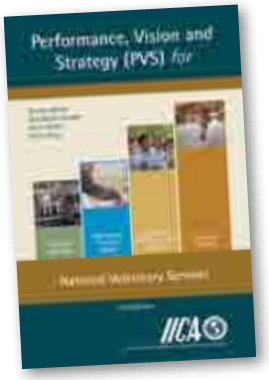
What have been the experiences?

- The PVS is a tool for continuous improvement and not an evaluation of the service.
- The person responsible for applying the instrument must be familiar with the operation of the national veterinary service and other SPS services in the country.
- He/she must foster dialogue and discussion among the participants and understand clearly that his/her primary role is that of facilitator.
- The person in charge of the service must assume overall leadership of the process.
- Participation of the private sector when using the PVS in the active mode is of great importance in achieving the proposed objectives.

- Financial resources for improving the performance of the service are important, but it must be understood that much of the work can be done with existing economic resources or with contributions and technical support from the private sector.
- The results of the process can be used to prepare an investment project to promote the continuous improvement of the service

Countries in which the IICA PVS Tool for National Veterinary Services has been applied (June 2010)

- Argentina
- Brazil
- Belize
- Colombia
- Costa Rica
- Ecuador
- El Salvador
- Guatemala
- Nicaragua
- Panama
- Paraguay
- Peru



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The IPPC has developed, and refined over several years of implementation, a management tool (The PCE, or Phytosanitary Capacity Evaluation), which is designed to help a country to identify both strengths and gaps in its existing and planned phytosanitary systems.

The PCE was one of the first SPS-related situation analysis methods developed. Initially, it consisted of a paper based set of questionnaires concerning technical aspects of the plant health system of a country. At the request of the IPPC, the New Zealand Government, under its Overseas Development Assistance programme, funded the initial development of the PCE as a web version in 1999 to assess national phytosanitary capacity needs and priorities. Following pilot testing in six countries (Cook Islands, Fiji, Solomon Islands, Indonesia, Bangladesh and Viet Nam), the tool was revised, updated and expanded. It subsequently became known as the PCE Tool and in 2001 the Interim Commission on Phytosanitary Measures (ICPM) agreed that the IPPC Secretariat should be responsible for its updating and maintenance.

A major revision of the PCE Tool was released in November 2004 as a multilingual CD-ROM version which included French, Arabic and Spanish language versions.

In 2006, a comprehensive review of the PCE process was carried out by the Centre for Agricultural Bioscience International (CABI) Africa and presented to the Commission on Phytosanitary Measures (CPM-2) in 2007[5]. This review noted the positive impacts of the PCE at the national level, specifically its role in supporting the identification of capacity building needs and strategic planning, identifying areas for increased budgetary allocations, emphasizing the importance of appropriate legislation, increasing awareness about the IPPC and enabling National Plant Protection Organizations (NPPOs) to present their needs more effectively to government.

The main recommendations of this external review, which were discussed and endorsed by the CPM from 7 to 11 April 2008, were as follows:

- *An overall technical assistance (TA) strategy:* A phytosanitary capacity building strategy is required and, following CPM-3, an Open Ended Working Group should be established to develop a draft strategy and appropriate definition for capacity building to be considered by the CPM Informal Working Group on Strategic Planning and Technical Assistance (SPTA) for presentation to the CPM-4.
- *Future development of the PCE:* The PCE should be arranged into a stratified framework so that a user may follow the tool on a modular basis, going into more detail when more assistance is needed, with provision of links to additional information and guidance. The PCE should not be linked to IICA's Performance, Vision and Strategy (PVS) tool, recognizing that both were useful based on the intended objectives for which they were developed.
- *Development of other tools:* Simple tools, based on spreadsheets for example, should be developed to address very specific evaluation objectives (such as modelling risks, assessing efficiency of services, cost recovery calculations, investment decision making, etc.) with due regard for cost implications.
- *Long-term considerations:* An initiative on the quality of phytosanitary data (including the costs of surveys, inspection, quarantine, staff, etc.) should be launched as targeted assistance to NPPOs.

All of the above systems and tools should be reviewed in order to ensure the inclusion of environmental concerns (i.e. protection of domestic plant resources) rather than strictly trade related concerns. It was noted that the process of incorporating environmental and other concerns was already in place and would be reflected more prominently in a future improved version of the PCE.

In 2010, the IPPC Secretariat further revised the PCE based on the recommendations of the informal PCE Working Group and the external review by CABI Africa. As a consequence, the tool has been migrated into a "web only" version. The purpose of the migration is to provide countries with a stable platform accessible through the internet and a secure area to store PCE sessions over a number of years with the ability to compare recent sessions with those done in the past. The revised PCE version sought to address the concerns identified by the external review as well as by contracting parties.

What is the scope of the PCE?

The PCE generates a snapshot of a country's phytosanitary capacity at a particular time, as the basis for planning phytosanitary capacity building. The primary focus is to examine the capacity of NPPOs in relation to implementation of International Standards for Phytosanitary Measures (ISPMs) and the rights, obligations and responsibilities described in the IPPC. The PCE can provide the framework for national strategic planning to prioritise activities/resources to fill gaps and enhance the effectiveness of the overall phytosanitary system. Importantly, it can also provide the framework for dialogue with donors of development aid, and thus improve the likelihood of access to further funding.

[5] This report is available on the IPPC website at: https://www.ippc.int/file_uploaded/1227266857475_PCE_CABI_Assessment.pdf

The PCE comprises: (i) thirteen modules containing a total of 614 questions; (ii) a set of templates, priority actions and logical framework matrices for analysis of strengths, weaknesses, opportunities and threats; and (iii) background documents (e.g. ISPMs, IPPC New Revised Text 1997, WTO SPS Agreement, Convention on Biological Diversity, Cartagena Protocol, etc.). Some modules are standard-specific (e.g. pest free areas and export certification), while others are cross-cutting (e.g. inspection).

The PCE enables a NPPO to assess its existing systems in a systematic and cost-effective manner. The entire process is under the control of the country – it is not something that is done to a country, it is a framework that the country adopts for its own purposes and benefits.

How is the PCE applied?

The PCE was designed as a "self-assessment" exercise, however, in practice, an external consultant usually facilitates the application of the PCE. It is recommended that six to eight staff from the NPPO and, as far as possible, two to three non-NPPO representatives (from appropriate research institutes, agricultural universities, agro-industries or import/export associations, etc.) are involved in the application of the tool.

The PCE process is usually initiated by a formal letter of request to the IPPC (FAO) from the relevant Minister, but in some cases the request has come from a higher Executive level. The process is modular – with up to 13 modules (encompassing the entire phytosanitary system) being assessed. Modules can be selected and applied in total or in clusters according to the preferences of the NPPO or its "strategic owners". This flexibility offers the scope for an initial evaluation and for follow-up assessments of selected modules over time.

For each module a wide variety of representative stakeholders (from both public and private sectors) are identified and approached using a focused semi-structured questionnaire model. A workshop is then held (often run by an experienced facilitator) in order to obtain consensus among the stakeholders and to facilitate the completion of the questionnaires by the PCE coordinators. Following on stakeholder consensus, a problem analysis and SWOT analysis are undertaken which provides the necessary inputs for a logical framework, from which a national phytosanitary framework can be completed by the PCE project manager and coordinators.

The results generated through use of the PCE are intended to be used by NPPOs and more broadly by the national authorities and government agencies, as a basis on which to identify capacity building needs and actions to address them. As such, the PCE report has the potential to be a powerful persuasive factor in the success of submissions for focused technical cooperation projects.

The PCE facilitates the identification of gaps in the phytosanitary system of a country through a consensual and confidential process of consultation amongst stakeholders of a phytosanitary system (public and private). The result of the PCE process is a confidential (to the country) output that consists of a situation analysis and a strategic plan in the form of logical frameworks. The findings are not publicly released unless a country wishes to use or present their PCE results externally.

What have been the experiences of using the PCE?

The PCE has been applied in over 80 countries as of January 2011, with re-applications in some countries. It has been effectively used to focus attention on gaps in phytosanitary capacity, to communicate findings domestically and to focus project inputs from FAO and donor agencies. It has been used extensively within the FAO Technical Cooperation Programme (TCP) Trust Fund and Government Cooperation Projects (GCPs). It has also been used as a prerequisite for countries seeking funding support from STDF for phytosanitary related work.

The PCE is designed by the IPPC to be implemented at a pace defined by the country. Many countries have used the PCE to support strategic planning at the national level, these plans are generally the same inputs that are introduced into national development plans. In the case of Africa, the inputs have been incorporated into the Comprehensive Africa Agriculture Development Programme (CAADP) process lead by the New Partnership for Africa's Development (NEPAD) initiative in each of the countries.

The IPPC has identified that an important key to the success of the PCE is the acceptance and adoption of the resulting recommendations, precisely because they are the product of the collection and debate of responses from the stakeholders who have driven the process.

The IPPC recognizes that the best practice arising from a PCE is that it is most effective when the evaluation is commissioned under the authority of a Minister, whose conferred strategic leadership can be adopted by the PCE project manager and coordinators. The IPPC also recognizes that working to a plan with milestones and deadlines under the overall commitment at Ministerial level can help provide the momentum for success.

The IPPC guidance suggests that the optimal resourcing, for the application of the PCE, involves the allocation of an SPS (Phytosanitary)-experienced knowledgeable facilitator and up to eight (8) module coordinators deployed for a finite number of weeks. However, IPPC experience also shows that the PCE can be delivered effectively in smaller resource-constrained countries with fewer personnel. It is likely that some external project management could help with the initial planning, stakeholder identification and resource allocation.

Countries and territories* in which the PCE has been applied (January 2011)

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

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The Performance, Vision and Strategy (PVS) Tool for National Plant Protection Organizations (NPPOs) was developed by IICA based on the conceptual approach of the initial PVS instrument for veterinary services. The purpose of the PVS tool for NPPOs is to assist countries to identify strengths and weaknesses, and develop strategies for improvement, establish their current level of performance, form a shared vision with the private sector, establish priorities, facilitate strategic planning in order to achieve institutional objectives, take full advantage of the new opportunities and obligations of globalization, and establish the baseline for the subsequent preparation by IICA of a bankable national phytosanitary service modernization project.

The PVS tool for NPPOs is available in English and Spanish on the IICA website.

What is the scope of the PVS Tool for National Plant Protection Organizations?

The PVS tool for NPPOs was designed to be complementary to the IPPC's PCE tool. The IICA instrument has been considered a very effective, rapid diagnostic tool for application prior to the more extensive PCE tool. It seeks to put in motion a process based on a common vision and strategy.

The PVS tool for NPPOs includes a series of five to eight critical competencies for each of the four fundamental components of plant protection services: (i) technical capacity; (ii) human and financial capital; (iii) interaction with the private sector; and (iv) market access. Qualitative levels of advancement are described for each critical competency. A pie chart is shown next to the text explanation for each level to help visualize the potential or cumulative level of advancement within each critical competency and to provide a quantitative assessment of the overall performance of the service in that competency. Additional space is provided after each critical competency to expand upon or clarify responses, if so desired.

How is the PVS Tool for National Plant Protection Organizations applied?

More than a diagnostic tool, the PVS instrument is meant to be a process geared to the future that can be used in a passive or active mode, depending on the level of interest and commitment of the users and the official services to improve national services over time. Part of this process involves interviews and focus group discussions with public sector stakeholders, including national authorities responsible for plant protection as well as other relevant ministries and agencies, the private sector and consumers.

The PVS tool can be applied in a "passive" or "active" mode. In the "passive" mode, the PVS instrument can be used to raise awareness, improve understanding and provide training on the basic components and critical competencies that NPPOs should encompass to function adequately. In this mode, the tool can also be used to develop a shared vision, foster dialogue and adopt a common language for discussion.

In the "active" mode, performance is assessed, differences are explored and priorities are established in order to bring about action, investments and fulfil commitments. Leadership from the public sector is critical to success. Continuity of the PVS process is assured when a true partnership exists between the public and the private sectors. Officials in the NPPO are trained in the use of the tool so that it can be self-applied and thus become a mechanism for continuous improvement of the service.

The application of the PVS instrument must be accompanied by a broad, representative consultation process that allows the criteria and current situation of relevant public and private sector institutions to be included, so that each variable measured is not biased because the consultation was not sufficiently representative. A combination of strategic planning methodologies and individual interviews is used to apply the PVS instrument. This allows different criteria or perceptions concerning the level of performance for each variable to be captured, according to the perspective of each sector, institution or stakeholder.

What have been the experiences?

- The PVS is a tool for continuous improvement and not an evaluation of the service.
- The person responsible for applying the instrument must be familiar with the operation of the animal health, food safety and SPS services in the country.
- He/she must foster dialogue and discussion among the participants and understand clearly that his/her primary role is that of facilitator.
- The person in charge of the service must assume overall leadership of the process.
- The participation of the private sector when using the PVS in the active mode is of great importance in achieving the proposed objectives.
- Financial resources for improving the performance of the service are important, but it must be understood that much of the work can be done with existing economic resources

or with contributions and technical support from the private sector.

- The results of the process can be used to prepare an investment project to promote the continuous improvement of the service.

Countries in which the IICA PVS Tool for NPPOs has been applied (June 2010)

- Bahamas
- Belize
- Colombia
- Costa Rica
- Ecuador
- El Salvador
- Paraguay
- Peru
- Uruguay

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The FAO Guide to Assess Biosecurity Capacity offers a process for assessing dimensions of biosecurity capacity across food safety, animal and plant health, and related aspects of the environment. It is built on the recognition of the critical linkages between sectors and the potential for hazards to move across sectors, potentially with far-reaching cross-sectoral consequences.

The Guide to Assess Biosecurity Capacity is the second part of the FAO Biosecurity Toolkit. The Toolkit aims to support countries in developing and implementing national biosecurity frameworks in accordance with their international obligations and particular needs. Biosecurity is defined as a strategic and integrated approach to analyzing and managing relevant risks to human, animal and plant life and health and associated risks to the environment. The first part of the Toolkit (Biosecurity Principles and Components) is an introductory text providing a contemporary context for the development and implementation of a harmonized and integrated biosecurity approach across all sectors. The third part of the Toolkit (An Overview and Framework Manual for Biosecurity Risk Analysis) presents a generic framework to structure and guide the application of risk analysis principles in biosecurity.

The FAO Biosecurity Toolkit, and Guide to Assess Biosecurity Capacity, are available on the FAO website in English (2007), and French and Spanish (2008).

What is the scope of the Guide to Assess Biosecurity Capacity?

The Guide to Assess Biosecurity Capacity examines biosecurity capacity needs at the various interfaces between human, animal and plant health and life, and associated aspects of environmental protection. Attention therefore focuses on dimensions of capacity that cut across the sectors of biosecurity. While the Guide addresses related elements of capacity within the competent authorities responsible for core biosecurity functions, it recommends the use of existing sector-specific tools to obtain a more detailed assessment of capacity needs within the individual sectors as required.

The Guide includes a number of broad questions to support information collection and analysis, and help create understanding about the issues among the stakeholders involved. Tips and practical guidance to facilitate the planning and delivery of the capacity needs assessment process are also presented.

The Guide acknowledges that different countries and sectors are at varying stages in their ability to address biosecurity issues, and is sensitive to the need to proceed accordingly. Various options to improve biosecurity capacity are introduced, as well as country examples. Nevertheless, the Guide recognizes that a harmonized approach to biosecurity is a flexible undertaking and an off-the-shelf strategy that can be applied universally does not exist. As such, it need not entail extensive institutional restructuring or the merging of sector competent authorities or other agencies.

How is the Guide to Assess Biosecurity Capacity applied?

The Guide to Assess Biosecurity presents an interdisciplinary and participatory methodology for assessing cross-cutting biosecurity needs. It offers a framework and process for different groups and individuals involved in various aspects of biosecurity to work together. It may be used as a self-assessment tool by a small team of stakeholders within the country, or led by an external consultant. The Guide acknowledges that the way in which it is applied will vary according to the characteristics of the country, the resources available internally and access to external assistance.

A participatory and consultative process is encouraged to build consensus and foster ownership of the identified capacity needs, which should increase acceptance of any proposed changes and contribute to sustainability. The Guide recognizes that financial resources will be required for information collection and analysis, including the organization of meetings and workshops, and that support from external and impartial facilitators may be necessary, especially when the process encounters complex decisions.

What have been the experiences?

The Guide is being used to support project formulation activities and for training. Capacity building needs assessments have been carried out in an initial set of countries.

Countries in which the FAO Guide to Assess Biosecurity Capacity has been applied or is planned (January 2011)

Applied

- Bhutan
- El Salvador
- Gambia
- Ghana
- Guinea Bissau
- Haiti
- Kenya
- Malawi
- Nepal
- Panama
- Vietnam

Planned

- Cameroon
- Ethiopia

The Guide is also being used to train sector officials on an integrated biosecurity approach and the options to enhance capacity. Regional workshops took place in Asia (Bangkok, Thailand), South America (Santiago, Chile) and Africa (Accra, Ghana) in 2007 and an international training of trainers' course was held in Rome in January 2008. More recently, the Guide was used in workshops in Guinea Bissau, Kenya and Vietnam in 2010.

Experiences of using the Guide to Assess Biosecurity Capacity are still at an early stage. However, it is expected that application of the Guide will enable countries to generate an assessment of their existing biosecurity capacity, develop consensus on a medium-term vision of biosecurity and a capacity building action plan to close the gaps identified. Use of the Guide should further increase awareness about the importance of biosecurity, the interdependencies and synergies of biosecurity, and the benefits to be achieved through a more harmonized approach.

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IICA Performance, Vision, Strategy (PVS) Tool for Sanitary and Phytosanitary Measures (SPS)

The Performance, Vision and Strategy (PVS) Tool for SPS was developed by IICA using the conceptual approach of the IICA PVS Tool for National Veterinary Services. The purpose of the PVS Tool for SPS is to help characterize a country's institutional level of performance and capacity to implement SPS regulations and to take advantage of the international forums where such regulations are discussed. Therefore, the PVS also covers factors linked to transparency and the country´s official representation in international organizations, as well as technical topics that originate from the WTO SPS Committee discussions.

What is the scope of the IICA PVS Tool for SPS?

Three components form the basis for this instrument: (i) interaction among public sector institutions and between the public and private sectors (i.e. capacity to collaborate and achieve active and committed participation of the private sector in the design and application of public policies, programmes and activities); (ii) capacity to promote access to international markets, which consists of the necessary skills, credibility and authority to penetrate international markets and retain them, based on compliance with international standards; and (iii) human and financial capital (i.e. necessary human talent and financial backing) to ensure that programmes are institutionally and financially sustainable. Each component comprises a series of variables regarding functions, responsibilities and processes that a country should have in place in order to benefit most from the international organizations that regulate animal and plant health and food safety.

How is the IICA PVS Tool for SPS applied?

To apply the instrument, a series of variables (15 in total) have been identified for the three fundamental components described above. Qualitative levels of advancement are described for each critical competency. Each variable has cumulative levels of progress and is represented graphically by a pie chart, next to the written explanation of each level, to help visualize the potential or cumulative level of advancement within each critical competency and to provide a quantitative assessment of the overall performance of the service in that competency. A higher level of progress indicates that the national SPS system complies with the current level and with the preceding ones. The tool is, therefore, quantitative as well as qualitative. Additional space is provided after each critical competency to expand upon or clarify responses if so desired.

The application of the PVS instrument must be accompanied by a broad, representative consultation process that allows the criteria and current situation of the relevant public and private sector institutions to be included, so that each variable measured is not biased because the consultation was not sufficiently representative. A combination of strategic planning methodologies and individual interviews is used to apply this instrument. This allows different criteria or perceptions concerning the level of performance for each variable to be captured, according to the perspective of each sector, institution or stakeholder.

What have been the experiences?

The PVS Tool for SPS was successfully applied in 24 countries in Latin America and the Caribbean in 2008 as part of a STDF-funded project "Development of sustainable institutional capabilities in the countries of the Americas to consolidate their active participation in the Committee on Sanitary and Phytosanitary Measures".

Countries in which the IICA PVS Tool for SPS has been applied (December 2010)

- Antigua and Barbuda
- Bahamas
- Barbados
- Bolivia
- Colombia
- Costa Rica
- Dominica
- Dominican Republic
- Ecuador
- El Salvador
- Grenada
- Guatemala
- Guyana
- Haiti
- Jamaica
- Panama
- Paraguay
- Peru
- Saint Kitts and Nevis
- Saint Lucia
- Saint Vincent and The Grenadines
- Suriname
- Trinidad and Tobago
- Uruguay

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Website: http://www.iica.int/Eng/Pages/default.aspx

World Bank Food Safety and Agricultural Health Assessments and Action Plans

The World Bank is involved in the preparation of national and regional strategies to build SPS capacity, and national and regional SPS action plans have been developed for a number of countries. Country-level SPS assessments have also been carried out in some countries (Zambia, Kenya, Niger, Uganda and Pakistan). The country-based reports and action plans are available on the World Bank's website.

In 2005, the World Bank published a report on "Food Safety and Agricultural Health Standards, Challenges and Opportunities for Developing Country Exports". This study noted that capacity to comply with SPS requirements is a key component of overall competitiveness in agricultural trade for the country as a whole, for sensitive industries and especially for individual enterprises that aspire to compete in major markets. However, investments and costs required to achieve assured compliance remain serious challenges at all levels, for both the public and private sector, but are highly variable and difficult to pinpoint. In line with this conclusion, the World Bank has sought to integrate SPS issues into its operational work. Studies on agricultural competitiveness for Bangladesh, India and Pakistan looked at SPS issues affecting horticulture, fish, meat and livestock products. This trend was reflected in Diagnostic Trade Integration Studies (DTIS) conducted as part of the Enhanced Integrated Framework[6] process in Lao PDR, Niger, Tanzania, Uganda and Zambia, with the inclusion of SPS capacity identified as among the factors affecting a country's performance in agricultural trade.

What is the scope of the World Bank Food Safety and Agricultural Health Action Plans?

Country-level SPS assessments identify gaps and weaknesses in the context of estimated investment costs, existing and emerging hazards, domestic issues and trade performance. They address the cross-cutting nature and different institutions involved in managing SPS risks and aim to provide a comprehensive approach that considers capacity in both the public and private sectors for food safety, animal and plant health. Typically, the country assessments present the recommendations as an action plan summarizing goals, strategic priorities and performance indicators, as well as recommended actions including information on responsibilities, timeframes and current and expected donor support.

How are the World Bank Food Safety and Agricultural Health Action Plans applied?

Country-level SPS assessments and Action Plans are developed by a team of World Bank staff and consultants in collaboration with national counterparts. These plans do not follow a standardized methodology given differences in the scope of each plan in terms of the relative importance given to any or all of the three main SPS areas, the sectoral and commodity coverage, the degree of emphasis on trade versus domestic issues, and the intended use which varies from country to country and situation to situation. However, each report/plan includes: (i) consideration of the structure of agriculture and composition of trade; (ii) identification of perceived and objectively verifiable problems that have arisen; (iii) policy and regulatory as well as technical and resource challenges; (iv) recommendations as to priority actions and allocation of responsibilities; and (v) references to past, ongoing, or planned capacity building, export promotion and competitiveness projects. In all cases, consultative workshops are held to ensure the accuracy and appropriateness of findings and recommendations, and to achieve buy-in by all development partners and major stakeholder groups.

In some instances, the SPS Action Plans and related assessments feed directly into an ongoing or planned project supported by the World Bank. In other cases, the plans and assessments are intended mainly as analytical and advisory assistance that will guide national strategy and programming. In the latter case, every effort is made to involve other prospective donors, either on a bilateral basis or through multi-donor trust funds to be executed by either the Bank or the recipient country.

Countries which have developed Food Safety and Agricultural Health Action Plans and related assessments (August 2008)

Single country Plans

- Armenia
- Ghana
- Lao PDR
- Moldova
- Tanzania
- Viet Nam
- Zambia

Regional Plans

- Commonwealth of Independent States

SPS-related Assessments

- India
- Kenya
- Niger
- Pakistan
- Uganda

[6] More information about the Enhanced Integrated Framework is available at: http://www.enhancedif.org/

What have been the experiences?

Experience in the development of food safety and agricultural health action plans has demonstrated that countries have unique SPS risk profiles and different risk preferences, and that one size does not therefore fit all. Other lessons learned include the following: (i) the history of the SPS infrastructure matters; (ii) resource endowments and political leverage among and within ministries vary greatly; (iii) donor preferences can distort; (iv) buy-in for the analytics, the recommendations and follow-through is very important; and (v) market-orientation, business-like operations and a plan for sustainability are also critical.

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UNIDO Approach to Evaluate Conformity Assurance Infrastructure

The United Nations Industrial Development Organization (UNIDO) uses a multifaceted approach to make SPS and TBT compliance measures effective in developing countries. SPS-related technical assistance activities involve support for enterprises in the agro-business value chains, assistance to governments and trade, business and industrial associations, as well as actions for strengthening standards and conformity assessment infrastructure. With respect to standards and conformity assessment infrastructure, which UNIDO has contributed to setting up and upgrading in numerous developing countries in the last 45 years, the Organization has established strategic partnerships with international standards, measurement and accreditation organizations. These include the International Organization for Standardization (ISO), the International Laboratory Accreditation Cooperation (ILAC), the International Accreditation Forum (IAF), the International Bureau of Weights and Measures (BIPM) and the International Organization of Legal Metrology (OIML).

What is the scope of UNIDO's work on conformity assurance infrastructure?

UNIDO considers conformity assurance infrastructure to comprise the following components:

- National Standards Institute to formulate, harmonize and disseminate standards including international ISO/IEC standards and for market surveillance for consumer protection;
- National microbiology and chemical testing laboratories providing credible testing services;
- National Metrology Institute to establish measurement units and provide measurement traceability and testing for enterprises to assure precision manufacture and quality;
- National certification capacity to certify enterprises for ISO 9001, ISO 14001 and ISO 22000, as well as for private standards, including to train internal auditors to carry out audits and ensure international acceptance of its certification; and
- National Accreditation Bodies that are accepted internationally to accredit testing laboratories (against ISO 17025), certification bodies and inspection bodies.

How does UNIDO evaluate conformity assurance infrastructure?

Based on the request for the formulation of a project, UNIDO undertakes context-specific desk research as well as preparatory/needs assessment missions to clearly identify the challenges at the level of: (i) government policy and regulatory framework; (ii) institutional capacity, specifically in the quality-related institutions dealing with Standards, Metrology, Testing and Quality (SMTQ); (iii) sector(s)/value chains; and (iv) enterprises.

The desk research involves the review of available diagnostic studies such as the Integrated Framework's Diagnostic Trade Integration Studies (DTIS), national strategies such as the Poverty Reduction Strategy Papers (PRSPs) or Export Development Strategies, as well as any specific needs evaluations and technical assessments done previously by UNIDO or other institutions.

The preparatory assistance often involves capacity evaluation of the SMTQ institutions in the country or region, collection of baseline data on the quality of targeted products, as well as the quality and quantity of services provided by the relevant testing laboratories and other service providers, value-chain analysis of the sectors identified as strategic or requiring support, as well as the relevant legal framework. To respond to growing demand for greater coherence and to the *Paris Declaration on Aid Effectiveness*, UNIDO is increasingly cooperating with other bilateral and multilateral organizations – such as the WTO, the International Trade Centre (ITC), the United Nations Conference on Trade and Development (UNCTAD) and the STDF – in needs assessments, project development and implementation.

UNIDO has currently developed a tool to help developing countries detect non-compliance with international standards and market requirements. The Standards Compliance Capacity Index (SCCI) is based on a quality infrastructure survey that UNIDO conducted in 28 developing countries. This survey analyzed the adequacy of quality infrastructure and related services for potential export products and market requirements. The SCCI thus serves as a benchmarking tool, allowing developing countries to compare their performance, in areas related to quality infrastructure, to countries at a similar or higher stage of development.

Countries which have participated in the quality infrastructure survey developed by UNIDO

- Benin
- Burkina Faso
- Cambodia
- Cape Verde
- Côte d'Ivoire
- Egypt
- The Gambia
- Guinea
- Guinea Bissau
- Indonesia
- Kenya
- Lao PDR
- Liberia
- Malaysia
- Mali
- Mauritania

- Nepal
- Niger
- Nigeria
- Pakistan
- Philippines
- Senegal
- Sierra Leone
- Sri Lanka
- Thailand
- Togo
- Tunisia
- Vietnam

The following UNIDO tools are also used to assist countries in developing their standards and conformity assurance infrastructure:

- ***Fast Forward – national standards bodies in developing countries***

  Fast Forward is a joint publication by the ISO and UNIDO on the establishment and management of national standards bodies. It covers the main principles of standardization at national, regional and international levels, illustrating the building blocks essential for the development of a national quality infrastructure that enables sustainable development and fulfills the technical requirements of the multilateral trading system.

- ***Building Trust – the conformity assessment toolbox***

  Building Trust is another joint publication by the ISO and UNIDO on the role of conformity assessment in the quality infrastructure and its importance to trade capacity building and economic development. It is intended to help developing countries to understand conformity assessment and to create an effective infrastructure within their economies. It provides information on setting up and running the conformity assessment arrangements which are appropriate for their needs.

- ***Labnetwork Portal***

  Labnetwork is a joint effort by UNIDO and the World Association of Industrial and Technological Research Organizations, in partnership with the International Laboratory Accreditation Cooperation, ISO, BIPM (International weights and measures office) and Vimta Labs Ltd (India), to create a global laboratory network in the field of testing and calibration. It draws together members from developed and developing countries and provides a forum for the pooling and sharing of knowledge, experiences and information on laboratory development.

What have been the experiences?

Standards, certification and accreditation infrastructure in West Africa

Under a € 14 million programme in West Africa funded by the European Commission (EC), UNIDO is providing assistance to all 15 member states of the Economic Community of West African States (ECOWAS), as well as Mauritania, for the establishment or strengthening of their trade-related institutional infrastructure. The project seeks to promote regional integration and greater participation in international and regional trade. Focused on overcoming the technical barriers to trade, and not limited to any one sector, it aims to: (i) establish a regional system for accreditation and certification; (ii) harmonize standards and strengthen standards bodies; and (iii) promote quality and consumer protection.

Results of this programme to date have included the following:

- The development of the fishing industry and the increase in exports of fish products to the European Union (EU) (involving more than 100,000 fishermen and their families);
- Greater participation in international trade in general, through the establishment of accreditation systems and the effective coordination of standardization and quality promotion activities;
- Increased consumer awareness and introduction of consumer protection programmes based on the regional legislative framework, as well as the introduction of a quality award scheme at the national and regional levels.

This programme is running until December 2011. It was preceded by an earlier, EC funded, €14 million programme covering the eight West African Economic and Monetary Union (UEMOA) countries and focusing on development of quality infrastructure.

Trade-Related Technical Assistance (TRTA) in Pakistan

The Trade Related Technical Assistance (TRTA 2) Programme (total value of €10,045,000), was established as a successor of the previous TRTA (2004-2007). This programme is funded by the European Union (EU) and aims at strengthening the capacity of Pakistan to participate in international trade. The programme started with a six-month Inception Period, on 1 January 2010, and will be implemented until June 2014.

The overall objective of the programme is to contribute to poverty reduction and sustainable development in Pakistan. The specific purpose is to support economic integration of Pakistan into the global and regional economy and to stimulate decent work and employment creation by increasing exports and enhancing the enabling climate for international trade. The programme activities are to be implemented through three components under the overall guidance of UNIDO. The first component aims to enhance trade policy capacity building (implementing agency: ITC), the second aims to facilitate export development through improvement of quality infrastructure (implementing agency: UNIDO) and the last one aims to strengthen the intellectual property rights system (implementing agency: WIPO).

The principal stakeholders of the programme include the Ministry of Commerce, Ministry of Science and Technology, Ministry of Food and Agriculture, Ministry of Livestock and Dairy Development, Ministry of Industries and Production, and the Intellectual Property Organization of Pakistan, as well as technological institutions and Competent Authorities operating

under the aforementioned Ministries. Private sector associations concerned with fisheries, horticulture produce and industrial clusters will also be involved and are expected to benefit from implementation activities.

TRTA 1 – Experiences on SPS related evaluation/analysis/ technical assistance:

- Study on SPS compliance
- Action matrix for SPS management capacity
- Awareness creation on SPS management capacity

TRTA 2 – Activities planned:

Under Component 2, the Result Area 2.1 will specifically focus on SPS management capacity covering the following activities:

- SPS policy development
- Development of new food safety and phytosanitary laws
- Development of model technical regulations
- Strengthening SPS Management Capacities
- SPS systems planning studies
- Development of inspection guidelines, manuals and checklists
- Provision of inspection equipment
- Building technical capacity of food safety inspection staff.

Implementation of the above activities is expected to strengthen the SPS management system and enhance the application of food safety controls in Pakistan.

Building on the experiences of TRTA 1, TRTA 2 includes attention to the following:

- A move beyond survey and awareness creation to focus on SPS compliance issues
- Increased focus on more upstream SPS management at the system level
- Inclusion of more policy related initiatives
- Legal framework for Federal and Provincial SPS management capacity
- Broader SPS management institutional set-up (Food safety authorities, national and sub-regional)
- More inspection development and official controls
- Greater emphasis on food safety

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A National Capacity Self Assessment (NCSA) Tool and Guide to Developing a Biodiversity Strategy from a Sustainable Development Perspective have been developed under the Convention on Biological Diversity (CBD) and its Cartagena Protocol on Biosafety.

The first NCSA Tool was developed in 1991 under the Capacity Development Initiative (CDI), a strategic partnership between the UNDP and the Global Environment Facility (GEF) Secretariat, to provide countries with the opportunity to identify priority capacity needs in order to effectively address cross-cutting global environmental issues. The NCSA Operational Guidelines (in English, French and Spanish) and a national capacity self assessment resource kit are available on the UNDP website (http://ncsa.undp.org/index.cfm) and other background information is available on the CBD website.

The CBD requires contracting parties to integrate consideration of the conservation and sustainable use of biological resources into national decision making, and mainstream issues across all sectors of the national economy and policy making framework. Specifically, Article 6 of the Convention requires signatories to prepare and implement National Biodiversity Strategies and Action Plans (NBSAPs). To assist parties in this undertaking, the United Nations Development Programme (UNDP) and the United Nations Environmental Programme (UNEP) established a Biodiversity Planning Support Programme (BPSP) in 1999 with financial support from the GEF. A Guide to Developing a Biodiversity Strategy from a Sustainable Development Perspective was published in 2000.

What is the scope of the NCSA tool?

A NCSA is a flexible and powerful tool to help developing countries examine their global environmental commitments in a holistic and integrated fashion. Its primary objective is to identify country level priorities and needs for capacity building to address global environmental issues, in particular biological diversity, climate change and land degradation, with the aim of catalyzing domestic and/or externally assisted action to meet those needs in a coordinated and planned manner. Countries are encouraged to develop a plan of action to achieve global environmental management objectives in the context of the three Conventions relevant for NCSAs: (i) the CBD; (ii) the United Nations Framework Convention on Climate Change; and (iii) the United Nations Convention to Combat Desertification.

How is the NCSA Tool applied?

The NCSA process involves the following four basic steps which can be adapted to each country's needs and circumstances: (i) the inception phase; (ii) stocktaking; (iii) needs assessment; and (iv) prioritization and action plan preparation.

The inception phase involves planning and organization of the NCSA work programme, including consultation of the key stakeholders and establishment of a suitable team, structure and institutional arrangements. The stocktaking exercise includes a review of the country's current and past policies, programmes, projects and existing capacities to establish a baseline. The needs assessment phase involves: (i) consultative review of prior assessments, plans (e.g. national environment management strategies or action plans) and project reports; and (ii) analysis of the capacity development requirements and underlying capacity needs, including an assessment of the strengths and weaknesses and a review of the factors contributing to the capacity weaknesses (e.g. using root-cause analysis technique). The key end-product of the NCSA process is the action plan, a document that presents the proposed follow-up strategy and schedule for capacity development interventions.

What have been the experiences?

Since 2002, a total of 153 countries have engaged in the NCSA process and at least 119 countries have completed the assessment of their needs and priorities using the NCSA Tool. The remaining countries are expected to complete the NCSA process soon.

Countries which have completed their NCSAs using the NCSA Tool (December 2010)

Africa

- Benin
- Burkina Faso
- Burundi
- Cameroon
- Cape Verde
- Central African Republic
- Chad
- Congo (Republic of)
- Congo (DR)
- Eritrea
- Ethiopia
- Gabon
- Gambia
- Ghana
- Guinea
- Kenya
- Lesotho
- Liberia
- Malawi
- Mali
- Mauritania
- Mauritius
- Namibia
- Niger
- Sao Tome and Principe
- Seychelles
- Sierra Leone
- Swaziland
- Tanzania
- Togo
- Uganda
- Zambia
- Zimbabwe

Middle East & North Africa

- Algeria
- Djibouti
- Egypt
- Jordan
- Lebanon
- Morocco
- Sudan
- Syria
- Tunisia
- Yemen

Asia & the Pacific

- Afghanistan
- Bangladesh
- Bhutan
- Cambodia
- China

- Cook Island
- Fiji
- India
- Indonesia
- Iran
- Korea DPR
- Lao PDR
- Malaysia
- Maldives
- Mongolia
- Nepal
- Niue
- Pakistan
- Palau
- Philippines
- Samoa
- Solomon Island
- Sri Lanka
- Timor Leste
- Vietnam

Europe & the Commonwealth of Independent States

- Albania
- Armenia
- Azerbaijan
- Belarus
- Bulgaria
- Croatia
- Czech Republic
- Georgia
- Hungary
- Kazakhstan
- Kyrgyzstan
- Latvia
- Lithuania
- Macedonia
- Poland
- Romania
- Slovenia
- Tajikistan
- Turkmenistan
- Ukraine
- Uzbekistan

Latin America & Caribbean

- Antigua and Barbuda
- Bahamas
- Belize
- Bolivia
- Chile
- Colombia
- Costa Rica
- Dominica
- Dominican Republic
- Ecuador
- El Salvador
- Guatemala
- Guyana
- Honduras
- Jamaica
- Mexico
- Nicaragua
- Peru
- Saint Kitts and Nevis
- Saint Lucia
- Saint Vincent & the Grenadines
- Suriname
- Uruguay
- Venezuela

An independent review of the NCSA programme, carried out in 2007, noted that many countries found the NCSA Tool effective in assessing their national capacity needs. Some reported that the NCSA process itself had been an important opportunity to strengthen capacities in the country's institutions and the overall system. Extensive consultation was a feature of many of the completed NCSAs and the broad participatory process helped to foster ownership of the NCSA process and its recommendations. Some countries reported that it is useful to compile the extensive information collected through the NCSA process into a country profile and maintain it in a national database. The review concluded that the more successful NCSAs followed a systematic multiple-step process. It also noted that to be successful, the NCSA should be well-planned and organized around a clear strategic purpose that is understood and agreed by national stakeholders. In August 2010, a report entitled "National Capacity Self-Assessments: Results and Lessons Learned for Global Environmental Sustainability" was published based on a survey of the 119 NCSA Final Reports and Action Plans.

A series of regional and sub-regional capacity building workshops were organized during 2008 to strengthen national capacity for the development, implementation, review and update of national biodiversity strategies and action plans, and the integration of biodiversity concerns into relevant sectors and cross-sectoral strategies (including poverty reduction strategies). Information on these workshops and other related activities is available on the CBD website.

National Capacity Self-Assessment and Evaluation under the Cartagena Protocol on Biosafety

Under the Cartagena Protocol on Biosafety, Parties and other Governments are invited to submit their needs and priorities through the online Biosafety Clearing House using a common format (questionnaire) and to periodically update their records in the database. The questionnaire is structured along the elements of the Action Plan for Building Capacities for Effective Implementation of the Protocol and contains a list of predetermined needs (controlled vocabulary) and free text entry fields. Based on the information submitted, the CBD Secretariat prepares synthesis reports of capacity needs for consideration by the meeting of the Parties to the Protocol (COP-MOP)[7] and the donors.

In 2004, the first meeting of the Parties to the Protocol adopted a preliminary set of indicators for monitoring the Action Plan for Building Capacities for the Effective Implementation of the Protocol. Governments and relevant organizations were invited to use the indicators to monitor and evaluate their biosafety capacity building initiatives and share their experiences and lessons learned. However, there has been limited experience to date in the use of these indicators for monitoring purposes. The fourth meeting of the Parties to the Protocol, held in May 2008, adopted a revised set of indicators and agreed to review them at the sixth meeting in 2012, taking into account the countries' experiences and lessons learned in their use. Governments were invited to use the indicators in carrying out stocktaking assessments to establish their capacity building baselines and benchmarks, and communicate this information to the CBD Secretariat.

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http://bch.cbd.int/

[7] The Conference of the Parties to the Convention on Biological Diversity serving as the meeting of the Parties to the Protocol (COP-MOP) is the governing body of the Cartagena Protocol on Biosafety

WHO is developing a trade and health diagnostic tool. This project stems from a resolution adopted at the 59th WHO Health Assembly (WHA Resolution 59.26) in 2006 to assist WHO members to understand the implications of international trade agreements for health. The tool will seek to: (i) help health and trade ministries to assess trade and health issues more systematically; (ii) empower health ministries to give better advice to their trade counterparts; and (iii) enhance health policy input into the trade community particularly in areas such as the Enhanced Integrated Framework, trade policy reviews and aid initiatives to bolster trade capacities in developing countries.

The WHO Tool for Analysis and Assessment of Trade and Health will be published in two separate parts. Firstly, an overview of the key issues will be published as a book by the end of 2011 and, secondly, a companion tool which sets out how to assess trade and health issues in a systematic and user friendly way will be issued in 2012.

What is the scope of the WHO Tool for Analysis and Assessment of Trade and Health?

The tool will focus on five components which highlight the relationship between trade and health: (i) the impact of trade policies and trade liberalization on health; (ii) trade in health-related products including medicines and related intellectual property related issues; (iii) trade in products hazardous to health; (iv) trade in health services (e-commerce, health tourism, foreign direct investment in health, cross border movement of health professionals); and (v) trade in foodstuffs.

How will the WHO Tool for Analysis and Assessment of Trade and Health be applied?

It is expected that the tool will be applied by an in-country working group that comprises representatives from the health ministry, the trade ministry, public and private health providers, medical licensing bodies, NGOs active in the health field and other interested parties. This working group will guide the administration and implementation of the tool. National assessments on trade and health that are adapted to country specific contexts and the needs of the different actors would be developed by this working group in cooperation with WHO.

What have been the experiences in developing and testing the WHO Tool for Analysis and Assessment of Trade and Health?

During the development phase, pilot studies were undertaken in China, Costa Rica, Brazil, India, Malaysia, Thailand, South Africa and Viet Nam to help develop a set of questions that could be used as a tool to identify capacity constraints, as well as a "how to" handbook on addressing these problems.

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The Standards and Trade Development Facility (STDF) is a global programme in capacity building and technical co-operation established by the Food and Agriculture Organization of the United Nations (FAO), the World Organization for Animal Health (OIE), the World Bank, the World Health Organization (WHO) and the World Trade Organization (WTO).
More information is available at: www.standardsfacility.org

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