Mid-Term Review

of Australia's regional

'Sanitary and Phytosanitary Capacity Building Program' (SPSCBP)

Final report of the Mid-Term Review team

May 26th 2008

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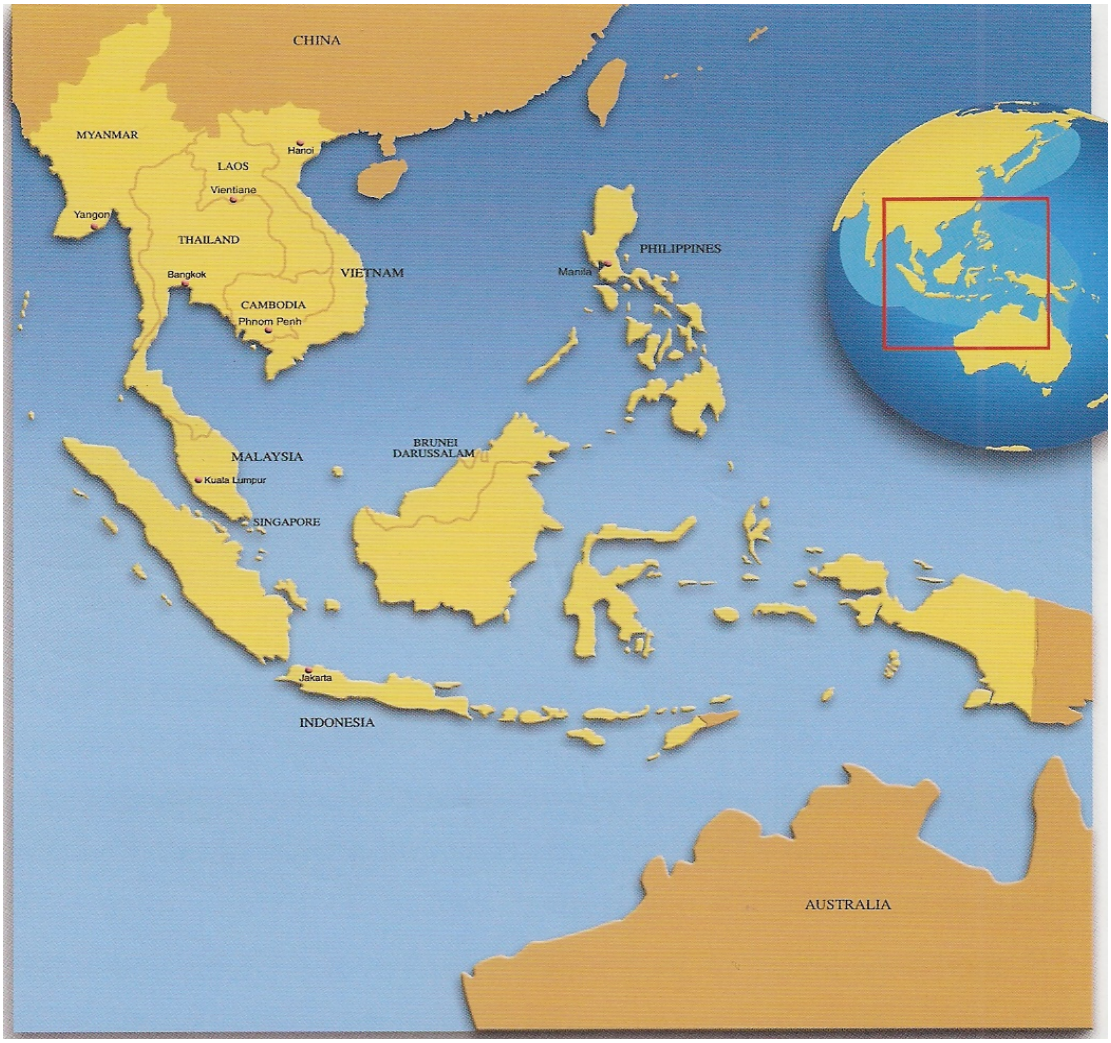
Abbreviations

AADCP	ASEAN-Australia Development Cooperation Program
ABARE	Australian Bureau of Agriculture Resource Economics
ACIAR	Australian Centre for International Agricultural Research
ADB	Asian Development Bank
AEC	ASEAN Economic Community
AFTA	ASEAN Free Trade Agreement
APEC	Asia Pacific Economic Cooperation
ASEC	ASEAN Secretariat
ASEAN	Association of South East Asian Nations
AusAID	Australian Agency for International Development
CER-CEP	Closer Economic Relationship – Closer Economic Partnership
CLMV	Cambodia Laos Myanmar Vietnam
CODEX	The 'food code' commission, a joint body of FAO and WHO
CSF	Classical Swine Fever
DAFF	Department of Agriculture, Fisheries and Forestry
DTIS	Diagnostic Trade Integration Studies
FAO	Food and Agriculture Organisation
FMD	Foot and Mouth Disease
FTA	Free Trade Agreement
GDP	Gross Domestic Product
GMS	Greater Mekong Sub-Region, (*consisting of Cambodia, China (Yunnan Province and Guangxi Zhuang Autonomous Region), Lao PDR, Myanmar, Thailand and Vietnam*)
GoA	Government of Australia
IAI	Initiative for ASEAN Integration
IF	Integrated Framework for Trade-Related Technical Assistance to least developed countries
IPPC	International Plant Protection Convention
M&E	Monitoring and Evaluation
MEF	Monitoring and Evaluation Framework
MIS	Management Information System
MTM	Malaysia-Thailand-Myanmar
MTR	Mid-Term Review
NZAID	New Zealand Agency for International Development
OECD	Organisation for Economic Cooperation and Development
OIE	World Organisation for Animal Health
PDD	Program/Project Design Document
PRA	Pest Risk Assessment
PSLP	Public Sector Linkages Program
SEAFMD	South East Asia Foot and Mouth Disease (program)
SPS	Sanitary and Phytosanitary
SPSCBP	Sanitary and Phytosanitary Capacity Building Program
ST	Short-Term
TOR	Terms of Reference
UNDP	United Nations Development Programme
WB	World Bank
WHO	World Health Organization
WofG	Whole of (Australian) Government
WTO	World Trade Organisation

ASEAN map and selected statistics



10 Member Countries:	**+ 3**	**+ 6**
• Brunei Darussalam • Cambodia • Indonesia • Lao PDR • Malaysia • Myanmar • Philippines • Singapore • Thailand • Vietnam	China Japan Korea	China Japan Korea India Australia New Zealand

ASEAN Statistics

Selected basic ASEAN indicators

as of 12 June 2007

Country	Total land area	Total population[2/]	Population density[2/]	Annual population growth[2/]	Gross domestic product[3/] at current prices	Gross domestic product per capita at current prices		Merchandise trade[5/]			Foreign direct investments inflow[6/]
								Exports	Imports	Total trade	
	thousand km^2	thousand	persons per km^2	percent	US$ million	US$	US$ PPP [4/]	US$ million	US$ million	US$ million	US$ million
	2006	2006	2006	2006	2006	2006	2006	2006	2006	2006	2005
Brunei Darussalam	5,765	383	66	3.5	11,845.7	30,928.8	25,940.1	5,768.7	1,028.7	6,797.4	288.5
Cambodia	181,035	13,996	77	2.5	6,105.2	436.2	2,406.4	2,602.4	2,147.0	4,749.4	381.2
Indonesia	1,890,754	222,051	117	1.3	364,258.8	1,640.4	4,930.1	103,964.0	78,392.7	182,356.8	6,107.3
Lao PDR	236,800	6,135	26	2.5	3,527.4	574.9	2,280.4	254.7	423.6	678.3	27.7
Malaysia	330,257	26,686	81	2.1	156,924.2	5,880.4	12,568.5	161,248.7	131,720.1	292,968.8	3,964.8
Myanmar[1/]	676,577	57,289	85	2.3	11,951.0	208.6	1,589.1	3,514.8	2,115.5	5,630.2	71.8
The Philippines	300,001	86,910	290	2.0	117,457.1	1,351.5	5,116.4	47,037.0	51,523.0	98,560.0	1,132.5
Singapore	699	4,484	6,433	3.3	132,273.4	29,499.6	29,065.6	271,601.0	238,503.0	510,104.0	20,080.5
Thailand	513,254	65,233	127	0.7	206,645.1	3,167.8	9,492.4	129,948.5	126,848.5	256,797.0	4,007.8
Viet Nam	330,363	84,222	255	1.3	60,965.2	723.9	3,600.1	39,605.0	44,410.0	84,015.0	2,020.8
ASEAN	**4,465,505**	**567,390**	**127**	**1.5**	**1,071,953.2**	**1,889.3**	**5,421.7**	**765,544.8**	**677,112.1**	**1,442,656.9**	**38,082.9**

Sources: ASEAN Finance and Macro-economic Surveillance Unit Database and ASEAN Statistical Yearbook 2006 (compiled/computed from data submission and/or websites of ASEAN Member Countries' national statistical offices, central banks, and other relevant government agencies)
IMF World Economic Outlook Database as of September 2006
Trade data for Brunei Darussalam, Cambodia, Lao PDR and Myanmar are from country submission thru National ASEAN Free Trade Area (NAFTA) Unit; for Indonesia from Bank Indonesia (www.bi.go.id); for Malaysia from the Malaysia Trade Development Corporation (www.matrade.gov.my/foreignbuyer/Msiatradestats.htm); for the Philippines from the National Statistics Office (www.census.gov.ph); for Singapore from the Department of Statistics (www.singstat.gov.sg); for Thailand from the Bank of Thailand (www.bot.or.th); and for Viet Nam from the General Statistical Office (www.gso.gov.vn).

Symbols used
- \- not available as of publication time
- x not available/not compiled

Notes
- 1/ Myanmar GDP is based on fiscal year from April to March of the following year, and computed using derived foreign exchange rate based on IMF WEO data
- 2/ Refers to/based on mid-year total population as published in the ASEAN Statistical Yearbook 2006
- 3/ GDP figures for Cambodia, Lao PDR, & Myanmar are derived using growth estimates from the IMF WEO database September 2006; Brunei data is estimated using foreign exchange rate for Q1-Q3 only.
- 4/ Recomputed based on IMF WEO estimates and actual country data
- 5/ All figures are preliminary as of 12 April 2007; figures for Brunei Darussalam, Cambodia and Lao PDR are Q1-Q3 data only.
- 6/ Refers to net inflow of foreign direct investments as measured in the balance of payments; also includes reinvested earnings

Executive summary

1. Background

Australia's regional 'Sanitary and Phytosanitary Capacity Building Program' (SPSCBP) aims to enhance the capacity of ASEAN focal countries to meet international SPS standards. The objective structure of the program, and other basic program data, are shown in Attachment (i).

AusAID mobilised a Mid-Term Review (MTR) mission for the SPSCBP in March 2008. The main objectives of the MTR are to review the program's efficiency and effectiveness to date, and to make recommendations for the future.

The main body of review work took place over a 3 week period, starting with consultations in Canberra on 17th March and concluding in Thailand on 3rd April 2008. Countries visited (in addition to Australia) were Indonesia, Laos, Cambodia and Thailand.

The MTR team comprised Mr. Jonathan Hampshire (Team Leader, Consultant); Dr. Cornelis Van der Meer (SPS Specialist, Consultant); and Mr. Michael Cole (Aid Effectiveness Adviser, AusAID Regional Office, Bangkok). The team wishes to warmly thank all those who provided input to the review process – for their time, support, courtesy and valuable insights.

While hopefully capturing the views of key stakeholders, the findings and recommendations presented in this report are those of the Mid-Term Review team alone and should not be considered to represent the views of the Government of Australia or partner Governments.

2. Main findings

2.1 Program design

The Program Design Document (of October 2003) is well written and presented, and is considered by the DAFF management team to have provided a clear and robust framework for guiding program implementation.

The review team's main findings with respect to program design are that it:

- Provided a reasonably effective framework for mobilising and supplying Australian Technical Assistance (primarily trainers and researchers).
- Did not adequately assess or account for the significant differences in SPS capacity building needs between the more and less developed ASEAN countries.
- Overly relied on short-term technical training as a capacity building strategy (particularly in the area of plant health), without adequate consideration of other institutional capacity constraints; and
- Had an overly ambitious initial implementation plan, in light of the management resources applied and the complexity of organising a large number of small scale activities involving multiple stakeholders covering all 10 ASEAN countries.

The program's goal and purpose remain broadly relevant in terms of the importance of improving SPS capacity in the region. However, the design strategy does not fit well with the principles of the Paris Declaration on Aid Effectiveness (e.g. country ownership, harmonisation and a results focus) or AusAID's increased emphasis on working with and through regional organisations and other cooperative arrangements, such as ASEAN, APEC and the Greater Mekong Sub-region (GMS) program.[1]

[1] For example, as emphasised in AusAID's concept note for a new East Asia Regional Strategy 2008-13

2.2 Implementation of activities and output delivery

Key findings include:

- The overall implementation of activities has been much slower than originally anticipated. As of February 2008, the program had spent A$1.99m out of a budget of A$3.7m (46% of budget). As a result of delayed implementation, the program completion date has been pushed back one year to June 2009 ('no-cost' contract extension).
- The SPS Awareness component has been largely completed, involving a study tour to Australia, the production of a booklet on the WTO SPS Agreement, and the conduct of awareness workshops for middle-level managers. The study tour helped to garner support for and interest in the SPSCBP, but did not involve representatives from agencies concerned with trade or national policy making/planning. The SPS booklet has been generally well-received, but the number of copies produced and dissemination strategy require further attention.
- The Plant Health component has been the focus of most program activities to date (primarily the design and delivery of short-term technical training activities). A total of 16 workshop/training events have been delivered, which have been generally well received by participants. Nevertheless, some concerns have been raised about the generic nature of training that aims to meet the diverse needs of a regional audience, the short duration of training, and the difficulty faced in resource poor countries (such as Laos and Cambodia) of applying the skills learned back in the workplace.
- Animal Health component activities are generally well behind original schedule. The ABARE study of ASEAN meat exports was delivered to DAFF in August 2007 and published in November 2007, roughly a year behind schedule. Training in 'Integrated approaches to Disease Zoning' commenced in November 2007 and is ongoing (delivered by AusVet). The development of an Epidemiological Network (EpiNET) for Foot and Mouth Disease (FMD) and associated studies is underway, and work on Classical Swine Fever in the Lower Mekong is just starting. The MTR team's main observations include: (i) the well designed structure of the AusVet training; (ii) sound prospects for some practical outcomes from the support to EpiNET and the Malaysia-Thailand-Myanmar Tristate Commission, given that there appears to be strong governmental and private sector interest and support; and (iii) concerns about the 'accessibility' and practical value of the ABARE study's findings, particularly for the least developed countries.
- Training design and delivery. In line with the design strategy, the program has successfully delivered a significant number of good quality short-term technical training and workshop events using experienced trainers/specialists. Attachment (ii) provides a summary of training/workshops delivered to date.

2.3 Program management

The main findings of the review team include:

- The program management team have clearly put great effort into managing what is a challenging and complex program of activities.
- Good efforts have been made to coordinate with other related projects and programs (particularly those funded by AusAID and NZAID), and to keep other stakeholders informed of SPSCBP activities.
- The management team have not been able to implement activities and expend resources in line with initial expectations. Reasons include: (i) the large number of individual

activities to be organised and delivered; (ii) the complexity of planning and consultation processes with representatives of 10 participating countries, (iii) the part-time input of the Program Director and the many other non SPSCBP projects/activities he has been involved in; and (iv) bureaucratic delays caused by having to work through both DAFF and AusAID management and financial approval systems.

- Timely and effective monitoring and reporting on program outputs and outcomes has been somewhat problematic, particularly in relation to the results of training.
- The management team could have benefited from some additional support from a project/program monitoring specialist earlier on in the implementation of the program; and
- AusAID could have been more pro-active in providing clearer advice to DAFF on their program planning, monitoring and reporting expectations.

2.4 Outcomes to date or likely to be achieved

Each of the main anticipated outcomes of the SPSCBP, as reflected in the program purpose and component objectives, is briefly assessed below:

- ***Identified improvement in SPS quarantine capacity.*** There is evidence from the numbers of staff trained and interviews with trainees that some individual capacities to perform technical tasks relevant to improving plant health systems have increased. However, the program has not played any substantive role in supporting implementation back in the workplace, and has not addressed other key elements of quarantine 'systems' (such as legislation, management systems, budget allocation or equipment needs).[2] Also, given that the program has not as yet monitored the application of skills back in the workplace, it is not possible to demonstrate any clear direct link between the program's activities and 'identified improvement in SPS quarantine capacity'.[3]
- ***Regional capacity to continue to deliver training.*** The SPSCBP has delivered one Training of Trainers course on Pest Risk Analysis for 11 individuals. The project has also effectively used a number of ASEAN scientists/trainers to support the delivery of other entomology and plant pathology workshops, and the forthcoming PRA training in Brunei is expected to be delivered entirely by a cadre of ASEAN trainers. Some participants in other SPSCBP training events are also reported to have passed on their learning through work as lecturers at their own national training institutions. The capacities of some individuals to deliver training has therefore been enhanced. However, there is no clear evidence that the program has systematically enhanced 'regional capacity to continue to deliver training' after the end of SPSCBP support (at least in terms of regional institutional capacity).

[2] It is nevertheless important to note that the program was never really resourced to do this.

[3] It is nevertheless noted that the SPSCBP's February 2008 Progress Report does list a number of institutional changes in partner government agencies. For example: (a) The decision by the Director General of the Malaysian Department of Agriculture to restructure bio-security agencies in that country and the establishment of a task force to implement this; (b) Refurbishment of the SPS-related laboratories in Myanmar; and (c) Comprehensive revision of quarantine conditions by Thailand and subsequent robust negotiations with Australia. However, such decisions are not easily attributed directly to the work of the SPSCBP.

- ***Evidence of national pest lists being compiled and PRAs undertaken.*** Work on the collection of pest lists is on-going in several countries in the region and a few countries have started to apply PRA. Support for these activities has been received from various donors and international agencies, including through the SPSCBP. Attribution is difficult, but it appears that SPSCBP has provided a useful contribution to the compilation of national pest lists and the conduct of PRAs in some countries.
- ***Evidence in the control of trans-boundary animal diseases.*** The SPSCBP's support for EpiNET has the potential to contribute to the control of transboundary diseases, at least in the Malaysia-Thailand-Myanmar (MTM) sub-region. The AusVet training on disease zoning may also lead to some practical initiatives being taken on the ground, if training participants can follow up on their case study projects after the completion of training.
- ***Evidence of Regional Networking of SPS organisations.*** Many agencies (and different projects) are contributing to regional networking through supporting workshops and planning meetings, including the SPSCBP. One specific initiative supported by the program has been the establishment of a Disease Diagnostic Network based in Malaysia. This has been endorsed in principle by the ASEAN Sectoral Working Group on Crops, and is to be followed-up by the SPSCBP as part of the current Operational Plan.

In summary, the SPSCBP is likely to make a modest contribution to expected outcomes. Benefits have primarily accrued to individuals attending workshop/training events, and of those, participants from the more developed countries in the region are likely to have benefited most.

With respect to SPSCBP 'impact', the MTR believes it would be futile to attempt to empirically demonstrate a link between the implementation of the SPSCBP and increased trade. Even at a 'lower' level of impact, such as the 'formulation of SPS measures' and 'compliance with these measures' (included as indicators in the revised program Logframe), there is little prospect that any changes in individual countries could be empirically attributed to the work of the SPSCBP.

2.5 Sustainability of benefits

On balance, there appears to be relatively limited prospect for the program's Plant Health activities (largely short-term training) to deliver sustainable capacity building outcomes, other than the increase in the knowledge and skills of individual training/workshop participants.

Continued application of knowledge and skills acquired through training, and some transfer of these skills to others, is much more likely to happen in the more developed ASEAN focal countries (such as Thailand) than in the least developed countries (such as Laos and Cambodia).

On the animal health side, there do appear to be prospects for sustainable benefits arising from the program's support to the OIE's South-East Asia Foot and Mouth Disease (SEAFMD) strategy of establishing disease control zones in the MTM sub-region. The export of cattle from Myanmar to Malaysia is being driven by commercial interests (who have invested in a quarantine station) and has been given active governmental support. The establishment of EpiNET also appears to have high-level government support from participating countries, including the allocation of budgetary resources.

3. Recommendations

3.1 Recommendations for the remaining term of the SPSCBP

The MTR recommends the following with respect to the final year of SPSCBP implementation:

1. Review and update the final year's workplan and budget in consultation with partners, to establish clear expectations for the remaining life of the project. Ideally this would include holding a program workshop involving country focal points.
2. In order to enhance the effectiveness and sustainability of the training provided to date (or in process), it is recommended that:
    - No 'new' training activities/topics are added to the program, but rather focus should be given to providing follow-up on the training delivered to date (or in process). This could involve some tailored training for specific countries (namely Cambodia, Laos, Myanmar and Vietnam), combined with on-the-job mentoring support. The option of using consultants/specialists from ASEAN countries (including individuals who have already participated in SPSCBP training events) should be given particular consideration in this regard.
    - Basic equipment/material needs be identified and provided, that would allow training participants to apply specific skills back in the workplace (particularly for CLMV). This should only be done through identifying 'savings' in other areas of the program budget.
3. Clarify and implement a practical and cost-effective SPSCBP evaluation plan (as a primary input to the preparation of the Project Completion Report), building on the findings of this review. This evaluation plan should not be over-ambitious. DAFF should seek some assistance from a development practitioner with extensive practical M&E experience. Effort should not be wasted on trying to demonstrate the impossible (e.g. links to trade, poverty, environment, etc).
4. Given the findings of this review, lessons learned from implementing other similar initiatives, and Australia's commitment to implementing the principles of the Paris Declaration on aid effectiveness (e.g. country ownership, harmonisation and a results focus), DAFF should consider preparing a position paper (as a focus for discussion with AusAID) on their interests and potential role in future Australian support for SPS capacity building in the region.

3.2 Recommendations for future GoA support to SPS capacity building

More of the same is not recommended.

The following considerations and recommendations may help inform the decision making process about future strategic directions for GoA support to SPS capacity building in the region:

1. There will be continued demand for support for regional SPS capacity building projects through ASEAN, APEC and GMS. It is recommended that support for regional projects should be given only if there is sufficient evidence of value added for a regional approach. Typical regional functions that deserve consideration for support (apart from general political considerations) are:
    - promoting regional networking among SPS professionals and managers;
    - promoting harmonisation of standards as part of regional economic integration; and

- control of, and information sharing on, trans-boundary animal diseases, plant pests and food safety hazards.

In most cases SPS capacity building support is likely to be most effective if targeted to meet specific needs at national or sub-regional levels, particularly in the area of technical skills training.

2. Although there will be a continued need for raising awareness of SPS issues and for technical training, the relative benefits of such efforts will be low if they are not integrated into broader efforts that address institutional constraints to SPS capacity building (including in relation to policy, regulatory, institutional, budgetary and infrastructure issues). This requires that in depth and substantive needs assessments be undertaken during program/project design.
3. Since there are many ongoing and planned donor activities in the area of SPS capacity building, donor coordination and country ownership deserve to be given higher priority. Greater levels of support for such mechanisms as Multi-donor Trust Funds (such as in Laos), the GMS program, and for funding through established initiatives such as Australia's AADCP (with the ASEAN Secretariat) should be prioritised.
4. A smaller number of longer-term and higher value initiatives would help increase the prospect of achieving demonstrable capacity building results. Whole of (Australian) Government approaches require continued attention, so that the initiatives of agencies such as AusAID, DAFF and ACIAR are appropriately coordinated.
5. The Greater Mekong Sub-Region deserves special attention because it includes the four less developed countries in the region, while also taking into account the significant interests and influence of China. Three specific factors should be considered with respect to planning any future SPS capacity building support to this sub-region:

   - the countries have porous land-borders, which means that effective management of plant health, animal health and food safety has to be based on effective monitoring, surveillance and risk-based inspections of domestic markets.;
   - the GMS 'Cross-Border Trade Agreement', in which China participates, is a dynamic force for improving border controls (including their cost effectiveness); and
   - the larger GMS countries of China, Thailand and Vietnam are increasingly providing technical support to their smaller and less developed neighbours. This is in part based on increased understanding of the mutual benefit of controlling risks of pests, diseases and food safety hazards. Australia should therefore investigate opportunities for supporting this kind of bilateral and sub-regional cooperation given advantages of country ownership and cost-effectiveness.

6. Indonesia also merits specific attention, given its close proximity to Australia as well as its significant developmental needs. Bilateral support is likely to be the most effective approach to supporting its SPS capacity building needs.
7. Emphasis should be given to the practical implementation of SPS measures. SPS capacity building should focus less on the formal rules and all related guidelines, and rather be first of all based on well understood national interests and urgent international obligations. Capacity building strategies must be selective, affordable and appropriately sequenced if they are to yield sustainable results. No country in the world has fully implemented WTO requirements and the standards of Codex, IPPC and OIE.

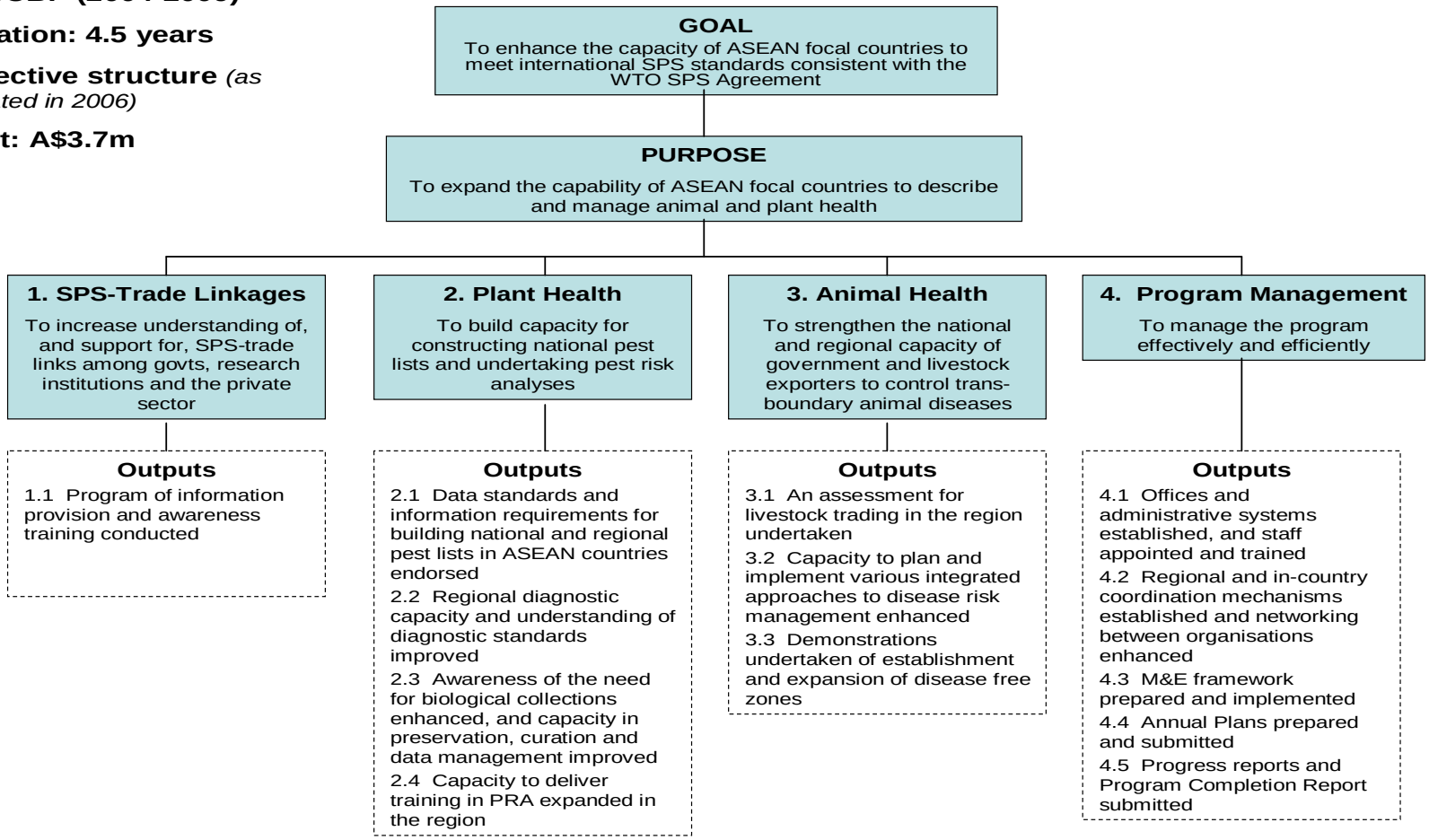
Attachment (i)

SPSCBP (2004-2009)

Duration: 4.5 years

Objective structure *(as updated in 2006)*

Cost: A$3.7m



Attachment (ii) – Summary of Training/workshops delivered to date

Wkshop #	Day and Month	Year	Workshop Name	Location	# Participants	Training days
1	22-23 August	2005	Pest Lists Workshop	Kuala Lumpur Malaysia	19	2
2	24-25 September	2005	Workshop on SPS Awareness	Bogor, Indonesia	19	2
3	26-30 September	2005	Training Course on Arthropod Preservation, Curation and Data Management	Bogor, Indonesia	19	5
4	8-15 October	2005	SPS Study Tour to Australia	Australia	14	7
5	14-18 November	2005	Pest Risk Analysis - Train the Trainer	Hanoi Vietnam	11	5
6	21-25 November	2005	Diagnostics of Plant Sucking Bugs Hemiptera Diagnostics Workshop	Kuala Lumpur Malaysia	10	5
7	13-17 February	2006	Citrus Greening Disease (HLB) Diagnostics Workshop	Kuching, Sarawak, Malaysia	17	5
8	13-17 March	2006	Standard Pest Risk Analysis	Phnom Pehn Cambodia	21	5
9	20-24 March	2006	Diagnostics of Citrus Greening Disease (HLB)	Sarawak Malaysia	15	5
10	24-25 March	2006	SPS Awareness Workshop	Yangon, Myanmar	27	2
11	26-31 March	2006	Training On Plant Disease Specimen Preservation, Curation And Data Management"	Yangon, Myanmar	27	5
12	23-25 June	2006	SPS Awareness in Plant Health: middle managers and the private sector	Vientiane, Lao PDR	31	2
13	15-17 September	2006	SPS Awareness/ Arthropod Collections	Kota Kinabalu, Malaysia	18	2
14	18-22 September	2006	Training Course On Arthropod Specimen Preservation, Curation And Data Management	Kota Kinabalu, Malaysia	18	5
15	19-21 January	2007	SPS Awareness	Bangkok, Thailand	23	3
16	22-26 January	2007	Plant Disease Specimen Preservation, Curation and Data Management	Bangkok, Thailand	23	5
17	29 Jan to 2 Feb	2007	Diagnostics of Key Plant Pathogenic Fungi	Bangkok, Thailand	16	5
18	19-24 March	2007	Standard Pest Risk Analysis	Singapore	20	5
19	17-25 May	2007	Diagnostics of Key Pest Lepidoptera	Bangkok, Thailand	16	9
20	9-16 November	2007	SPS Awareness and TC in Arthropod Preservation	Myanmar	25	8
21	12-16 November	2007	Integrated Risk Management for Livestock Diseases Workshop 1 (Surveillance)	Hanoi Vietnam	21	5
22	19-20 November	2007	Animal Health Awareness Workshop for Middle Managers	Manila, Philippines	17	2
23	24-28 March	2008	Integrated Risk Management for Livestock Diseases Workshop 2 (Risk Management)	Cebu City, Philippines	21	5
					448	**104**

Breakdown of data	
Total workshops	23
Total participants	263
Female participants	127
Male participants	130
Govt. participants	237
Private sector participants	11
University participants	13
Other participants	1

By Country	
Brunei	9
Cambodia	25
Indonesia	28
Lao PDR	34
Malaysia	32
Myanmar	28
Philipppines	29
Singapore	13
Thailand	39
Vietnam	26
	263

Note: It should be noted that the total number of participants listed in the main table above (448) is different from the total participants listed in the 'breakdown of data' and the data 'by country' (263). This is because the total participants listed in the two 'sub-tables' does not count individuals who have attended more than one training/workshop event. Also, there are small inconsistencies in the total number of participants (263), total male/female participants (157), and total participants from different institutions (262).

1 Introduction

1.1 Background

Developing countries recognise the benefits of trade liberalisation, as promoted by the WTO Doha agenda (2001). However, they also have concerns about the potential costs of adapting to global competition and the complexity of the WTO and its associated rules.[4] The efforts of developing countries in Southeast Asia to expand their exports of agricultural commodities are constrained by significant limitations on regional Sanitary and Phytosanitary (SPS) capacities. Improvements in regional SPS capacities are a foundation to describe and manage plant and animal pest and disease status, promote regional trade, enhance economic growth, and facilitate a reduction in poverty. ASEAN countries have highlighted the issue of building regional SPS capacities, particularly in the context of the ASEAN Free Trade Agreement - Closer Economic Relationship (AFTA-CER).

Australia has agreed to provide technical assistance to developing country members in relation to SPS measures under the WTO SPS Agreement.[5] In September 2001, the Australian Minister for Trade, Mr Vaile, announced Australia's intention to support a regional SPS Capacity Building Program (SPSCBP).

The SPSCBP was included in the work program for the AFTA-CER CEP,[6] and is intended to build regional cooperation in SPS matters, strengthen quarantine capacities, and build the technical, scientific and managerial capacities of regional and national organisations responsible for managing SPS matters within the ASEAN region.

After consulting with Australia's quarantine agencies, AusAID engaged a consultant in March 2002 to summarise the overall SPS situation in South East Asia, and consider the relevance of SPS matters in regional economic and social development.

In mid 2002, an SPS Pre-feasibility Study was undertaken in Thailand, Malaysia, Philippines, Indonesia, Myanmar, Lao PDR, Cambodia and Vietnam. The Pre-Feasibility Report was finalised in December 2002. A Peer Review of the Report was conducted in March 2003 that concluded the final design should have a strong trade focus, incorporate upstream level activities rather than local and farm level activities, and have a strong regional flavour.

In July 2003, AusAID engaged a team to assess the feasibility of a regional SPS capacity building program (SPSCBP) and to prepare a detailed and fully-costed program design. Following preparation and briefing in Canberra the team completed a 3.5 week mission to Malaysia, the Philippines and Thailand meeting with representatives from a number of government agricultural, livestock, trade, planning and quarantine agencies, along with academic and research organisations, various donors and AusAID country offices. The team facilitated a program design workshop in Bangkok with participants from eight ASEAN countries.

Two important outcomes of the design workshops were the need for promoting the SPS-trade linkages within agricultural and trade ministries, planning agencies and the private sector and the appreciation that the SPSCBP would have to establish linkages with various ASEAN bodies and donors, to avoid duplication and ensure complementarity.

On 3 September 2003 the design team submitted a draft Program Design Document (PDD) and presented the design to AusAID in Canberra. A final PDD (20 October 2003) was submitted after incorporating comments and suggestions from AusAID and other parties.

[4] This section of the report is sourced primarily from the review team's Terms of Reference

[5] See Attachment 7 for further background details relevant to international commitments

[6] ASEAN Free Trade Agreement – Closer Economic Relationship

The Goal of the SPSCB program is '*to enhance the capacity of the ASEAN focal countries to meet international SPS standards consistent with the WTO SPS Agreement*'. The Purpose of the program is '*to expand the capability of ASEAN focal countries to identify, classify and manage animal and plant health*'. The program budget is A$3.7 million over 3 years.

Program implementation commenced in late 2004, following appointment of the program management team by the contractor, the Department of Agriculture, Forestry and Fisheries (DAFF).

Due to delays in implementation and under-spending against budget, a no cost extension to the program was agreed in early 2007, revising the expected program completion date from November 2007 to June 2009.

1.2 Objectives of the review

The objectives of the Mid-Term Review are to:

- Review overall program efficiency of project management and implementation efficiency.
- Assess the effectiveness against objectives including the quality of outputs and progress towards achieving component objectives and the program purpose.
- Assess the sustainability of outcomes, the appropriateness of the programs current sustainability strategy and make recommendations for enhancing sustainability.
- Consider SPSCBP relationships with associated activities and their strategic implications given broader developments in aid for trade initiatives within the ASEAN region.

The Terms of Reference (TOR) for the Mid-Term Review mission are provided at Attachment 1.

1.3 Review process and methods

Team

The review team comprised:

- Mr. Jonathan Hampshire – Team Leader (Consultant)
- Dr. Cornelis Van der Meer – SPS Specialist (Consultant)
- Mr. Michael Cole – Aid Effectiveness Adviser (AusAID Regional Office, Bangkok)

Itinerary and consultations

The team undertook consultations with representatives/officers from the following organisations:

- AusAID Canberra.
- Department of Agriculture, Fisheries and Forestry (DAFF) in Canberra, Bangkok and Jakarta.
- The contractors implementing the NZAID 'Phytosanitary Capacity Building Project' (UNIQUEST) and the AusAID 'Strengthening ASEAN Plant Health Capacity Project' (RMIT International).
- AusAID Posts in Indonesia, Laos, Thailand and Cambodia.
- The ASEAN Secretariat in Jakarta.
- ASEAN Country Focal Points for the project in Indonesia, Laos, Thailand and Cambodia.

- A selection of other focal country officials, including those who have attended SPSCBP supported training and workshop events; and
- Representatives of the OIE and ADB's regional offices in Bangkok.

The MTR itinerary and a full list of persons consulted is provided at Attachment 2.

Method

The main body of review work took place over a period of 3 weeks, starting with consultations in Canberra on 17th March and concluding in Thailand on 3rd April 2008. Countries visited (in addition to Australia) were Indonesia, Laos, Cambodia and Thailand.[7]

The primary review methods used were:

- Collection and review of relevant documents (See Attachment 3 for full list of reference documents).
- Preparation of a 'Briefing Document' (which included a summary of key issues for further investigation during in-country visits) and distribution by email to Country Focal Points (in Indonesia, Laos, Thailand and Myanmar) prior to departure from Canberra (See Attachment 4).
- Preparation and 'launching' of a web-based survey questionnaire for all Country Focal Points and those who have participated in SPSCBP workshop/training events (see Attachment 5).
- Discussions/interviews with AusAID and DAFF staff in Canberra, and with AusAID officers at country 'Posts' (in the countries visited).
- Preparation of a brief list of questions to be answered (through email) by AusAID Posts in Vietnam, Cambodia and Philippines (those not included in the schedule of in-country visits).
- Discussions/interviews with Country Focal Points and other stakeholders during the in-country mission (roughly 3 days in each country). This included both individual and some group interviews.
- Analysis of web-based survey results (see Attachment 5).
- Preparation of an Aide-Memoire as the basis for briefing the AusAID Councillor in Bangkok at the end of in-country work.
- Distribution of a first draft of the MTR report to stakeholders for comment on 9th April (although this was not received by DAFF until early May);
- Subsequent editing of the MTR report and submission of a final draft to AusAID at the end of May 2008.

Support for organising in-country meetings with Country Focal Points and for sending out the web-based questionnaire was provided by the SPSCBP Program Director and Coordinator in DAFF. Thanks are extended to the SPSCBP management team and all other program stakeholders who generously gave their time to the review team.

While hopefully capturing and reflecting the views of key stakeholders, the findings and recommendations presented in this report are those of the Mid-Term Review team alone and should not be considered to represent the views of the Government of Australia or partner Governments.

[7] Myanmar was initially on the list of countries to be visited, but visas were not issued in time. Cambodia was then visited instead.

2 Findings of the Review

2.1 Program design[8]

Overall quality

The SPSCBP design document is generally well presented, reads clearly and includes well specified component objectives, outputs and activities. The process of program preparation involved significant consultation with ASEAN country representatives, over an extended period of time. The Program Director and Program Coordinator consider the design to have provided a useful and robust framework to guide program implementation.

The program goal

> *"To enhance the capacity of ASEAN focal countries to meet international SPS standards consistent with the WTO SPS Agreement"*

and purpose

> *"To expand the capability of ASEAN focal countries to describe and manage animal and plant health and implement SPS measures consistent with international standards and the expectations of trading partners"*

are important for economic growth, although to different degrees for ASEAN member countries.

However, the design is considered to be rather weak in explaining how the program's technical interventions (activities/outputs) would lead to the expected development outcomes (purpose/goal).

Two needs assessments were undertaken during the preparatory phase of the program, both of which focused on plant health (Evans et al. 2002; Naumann et al. 2002). No specific needs assessment was made for SPS trade linkages or for animal health. The needs assessments focused on verifiable pest and disease records (i.e. in reference collections) and the technical skills and diagnostic capacities required to meet international WTO recommended IPPC and OIE standards, and less on the broader institutional capacity building requirements[9] of each of the 'focal countries'.[10]

Irrespective of the scope of the needs assessments, the resulting design did not adequately take into account the following:

- There are major differences in institutional, human and technical capacities between the ASEAN member countries. For example, Thailand and Indonesia have increasingly effective SPS systems in place with large pools of well-educated specialists, whereas Cambodia, Laos and Myanmar don't yet have effective systems in place and face serious shortages of qualified specialists.
- Building effective institutions for SPS management requires a long-term coordinated effort in a range of areas.

[8] While the SPSCBP was given the title of a 'program', it has most of the features of a more classic development 'project' (e.g. stand alone management and financing arrangements, donor-driven, no clear institutional partner, input/activity focused, etc)

[9] See Attachment (section 7.3) for an overview of the components of SPS management systems and their interrelations, and section 7.4 for areas of SPS capacity building covered by SPSCBP.

[10] The 7 focal countries are Cambodia, Laos, Myanmar, Vietnam, Indonesia, Philippines and Thailand. Singapore, Brunei and Malaysia (given that they are not eligible recipients of Official Development Assistance from Australia, but are part of the ASEAN group) participated at their own expense.

- There are major differences between the ASEAN countries with respect to their participation in international trade, the products they export, the markets to which they export and the market requirements they are faced with. For example Indonesia, Malaysia, the Philippines, Thailand, and increasingly Vietnam, have extensive exports of SPS sensitive products like fruits, vegetables and aquatic products to demanding markets in OECD countries. For these countries, upgrading their SPS skills and capacities can help to strengthen and broaden market access in OECD countries. For Cambodia, Laos and Myanmar the situation is very different. They still have limited agricultural exports, have few SPS sensitive products among these exports, and their markets are mainly the less demanding ones, especially the markets of their larger neighbours such as China, Thailand and Vietnam.
- SPS capacities can form a constraint to market access, but in many cases they are not the main constraint. Needs assessments therefore have to be broader in scope than just SPS, and also take into account such factors as private sector capacities, infrastructure, policies, institutional capacities, governance, and legal and regulatory frameworks (such as undertaken through 'Diagnostic Trade Integration Studies' (DTIS)); and
- The bigger and more developed ASEAN countries can make better use of generic capacity building assistance because of the large number of export products and their exposure to demanding markets. The smaller and less developed countries need more selective and tailored capacity building assistance, given their low starting base and limited resources.

Since the program design did not adequately take these different (demand side) needs into account, the relevance of program activities to each focal country is difficult to establish. The design's almost exclusive focus on providing generic short-term technical training (particularly in plant health) and the conduct of research and case studies (in animal health), also makes the direct causal link between these activities/outputs and the broader capacity building outcomes for all focal countries highly tenuous.

Other elements of the original design worth briefly noting include:

- The regional character of the program is not well defined. While it is clearly understood that some SPS issues require regional responses, this is not always clearly reflected in the focus of program supported activities. For example, the development of national pest lists can be supported in different ways, including through national level/bilateral support. The value added through conducting regional training in support of national pest list preparation is not made explicit.
- The majority of program activities focus on plant health issues, while animal health issues (focused largely on surveillance and containment strategies) are given somewhat less consideration (although a roughly equal value of resources).
- There appears to be little in the way of clear linkages between the SPS awareness component and the plant and animal health components.
- Little attention was given in the design documentation to adult learning, training design and training monitoring issues.[11]
- No specific resources were allocated for national level implementation of SPS measures. Also, there was limited allocation of resources for ongoing monitoring (as

[11] The design could have benefited from incorporating some of the lessons learned and advice contained in an AusAID evaluation report entitled 'Short-term training projects : Guidelines and Performance Indicators, Evaluation No. 9, March 1998, AusAID

opposed to evaluation) or for follow up 'mentoring' of trainees once they had completed short course training; and

- The Program Director's position was funded on a part-time basis, which in hindsight seems to have been inadequate.

The design also has many of the classic features of a stand-alone project. It has no clear institutional 'home/partner' in the region, relies primarily on expatriate TA for implementation, has management arrangements which put the donor and implementing contractor in the 'driving seat' and faces ongoing challenges in trying to coordinate with numerous other similar donor-funded programs and projects.

It is recognised that the outcome of any program/project design process is strongly influenced by the policies and priorities of the donor, the anticipated budget parameters, the anticipated management and implementation mechanism, and the experience/skills and interests of the individuals actually involved in the design work. In the case of the SPSCBP the design outcome appears to have been significantly influenced by the following factors:

- Feasibility and design work was undertaken through AusAID's Asia Regional Program, and there was therefore strong pressure for it to include all ASEAN members.
- An indicative budget of around A$4m was earmarked for the program at a relatively early stage; and
- There was an expectation (at the beginning of the design process) that the Australian Government's Department of Agriculture, Fisheries and Forestry (DAFF) would be the implementing agent (in line with the GoA's policy of promoting Whole of Government involvement in the aid program). The capacities of DAFF were therefore most likely an underlying influence in the 'shape' of the final design;

The design process did not therefore start with a 'blank slate'.

A few changes have been made to the specification of program objectives and indicators since the approval of the design document, however these are relatively minor in nature and do not reflect any significant change to the implementation strategy. Attachment 6 highlights where such changes have been made.

Current context and continued relevance of the design

This section highlights some of the main developments since the program was initially designed during 2002/03, which have a bearing on its continued relevance.

WTO requirements and ongoing trade liberalisation

Cambodia and Vietnam acceded to the WTO in 2004 and 2007 respectively. Lao PDR's application is still under negotiation, but with no clear date for accession.[12] These countries therefore require ongoing support in meeting their WTO SPS Agreement commitments.

While much of the trade among countries in the region does not currently meet WTO SPS Agreement criteria (measures must be necessary, proportionate, science-based, transparent, etc), there is a growing need for countries such as China, Thailand, Indonesia, Vietnam and Malaysia (which export to OECD countries) to meet international SPS standards. Failure to meet such standards can indeed be costly, as evidenced by the recent cases of China, Thailand and Vietnam (with the use of illegal veterinary drugs and/or use of forbidden pesticides).[13]

[12] Myanmar is the only ASEAN country which has not yet applied for WTO membership

[13] Examples include the EC banning shrimp imports from a number of ASEAN countries and Japan banning spinach from China because of pesticides residues

Ongoing efforts to liberalize trade in the region under the ASEAN Free Trade Agreement (AFTA), ASEAN's commitment to establishing an ASEAN Economic Community (AEC) by 2015, and the Greater Mekong Sub-Region (GMS) Cross-Border Trade Agreement are also keeping the application of WTO principles high on the region's agenda. In particular, the main trading countries in the region want to reduce the risk of importing products from neighbours that could affect trust in their own products in world markets. Moreover, WTO principles require that all trading parties are treated equally, which means that requirements cannot be applied in a discriminatory way.

In this broad context, the overall goal and purpose of the SPSCBP remain highly relevant.

Collective concerns but different needs

ASEAN countries share (to a considerable degree) food safety, animal health and plant health risks. Weak controls in some countries can impact on their neighbours because of long porous borders. Health hazards may spread across borders and market access for exporting countries may be affected by the spread of pests or disease from neighbouring countries. The commitment within ASEAN to develop a common market by 2015 (ASEAN Economic Community) also gives impetus to the need for narrowing the gap in country capabilities to address SPS management issues.

All ASEAN countries have an interest in bridging the gap between country capabilities (as reflected in ASEAN's 'Initiative for ASEAN Integration'), but the resources available and direct benefits differ greatly. The core issue for a common market is not only for individual countries to make efforts to apply WTO principles, but a joint effort in which countries with stronger SPS management capacities assist countries with weaker capacities, since the weakest link determines the strength of the chain. External donor support can be more effective if it strengthens such sub-regional and bilateral collaborative arrangements among ASEAN members.

In this context, while the SPSCBP design does promote regional information sharing between those individuals participating in program activities, in the plant health area it does not very well target or support specific sub-regional or bilateral needs or interests. The animal health component has greater focus, with support for eradication of FMD in the Malaysia, Thailand, Southern Myanmar area, and a study of Classical Swine Fever (CSF) in the border area of Cambodia and Vietnam.

Aid effectiveness

Although significant donor support is given for trade facilitation, there are ongoing concerns about the sustainability of interventions, the quality of needs assessment, the scattered and uncoordinated nature of much donor support, and in many cases, the lack of country ownership.

With the signing of the 'Paris Declaration on Aid Effectiveness' by OECD member countries in 2005, there is now a clear commitment to designing and delivering aid programs in different ways. Key commitments included: (i) promoting country ownership of development policies and programs; (ii) aligning the delivery of aid with country/partner systems; (iii) harmonising donor activities (better coordination between donors); and (iv) giving greater focus to development 'results' (rather than inputs/activities). In this context, the SPSCBP represents a rather 'old-style' TA project, and does not align well with these aid effectiveness principles.

In efforts to promote country ownership and to remedy the scattered nature of donor support for trade-related capacity building activities, multi-donor trust fund mechanisms have recently been created in Lao PDR and Cambodia for trade facilitation, and in Vietnam for post WTO accession support. Over the past few years, Codex, IPPC and OIE have also developed their capacity evaluation tools for food safety systems, phytosanitary systems and animal health systems, and the World Bank has developed SPS Action Plans (See Attachment 7). These

tools which can now be used to support SPS program/project design, were not available at the time of the design of the SPSCBP.

The difference between providing technical assistance (TA) and undertaking capacity building activities is increasingly understood. TA is the provision of external assistance to strengthen specific skills and technical capacities in a country. Capacity building is a long-term, continuing process which helps establish appropriate policy and legal frameworks, institutional structures, management systems, skill and technology bases as well as attitudes and behaviours, for the achievement of particular policy goals.[14] Although TA can be necessary for capacity building, it is generally not sufficient in itself. The design of the SPSCBP does not well reflect this more comprehensive understanding of, and approach to, capacity building.

Australian and other donor support to SPS in the region

Australia is just one of the many donors to SPS capacity building in the ASEAN region. There is no overview study of all SPS donor support for all ASEAN countries, but there is relevant information on some countries. A recent study for Cambodia, Lao PDR and Vietnam (Laura Ignacio 2007) revealed that over the period 2001-2006 a total of 152 SPS projects were supported with a total project value of US$ 316 million. Sixty percent of these projects were components of multi-country projects with a value of US$ 126 million. See Attachment 7 (section 7.5) for more details.

Some general findings from this research are:

- donor support is highly scattered over a large numbers of projects;
- most support is given for food safety and avian flu, and relatively less for plant and animal health; and
- for animal and plant health, limited amounts of support have been given for hard infrastructure (laboratories and quarantine facilities).[15]

The data collected also allows the following comparative observations to be made about Australia's SPS related support to these three countries (see Attachment 7, section 7.6, for details):

- it has more projects than any other country (39 projects; 26 percent);
- it ranks fifth in value of support and its share is relatively small (8.1 percent) because the size of projects is relatively small;
- the share of projects classified as 'hard infrastructure' is relatively small; and
- the share of support for animal and plant health is relatively large.

Australia's reporting to the WTO SPS Committee on support for SPS capacity building confirms this pattern (WTO 2004). Over the three-year period from January 2000 to December 2002 a total of 115 projects are reported (including 43 relating to plant protection, 34 to animal health, 18 to food safety, and the rest to a combination of these focus areas). The reported value of these projects is some A$56 million, which amounts to about A$0.5 million

[14] Adapted from IHE/UNDP 1991. The definition often referred to in literature is from the IHE/UNDP symposium which defined 'capacity building' as the creation of an enabling environment with appropriate policy and legal frameworks, institutional development, including community participation (of women in particular), human resources development and strengthening of managerial systems, adding that, UNDP recognizes that capacity building is a long-term, continuing process, in which all stakeholders participate (ministries, local authorities, non-governmental organizations and water user groups, professional associations, academics and others).

[15] SPSCBP is classified in the STDF study as "general" and "soft infrastructure".

per project.[16] In summary, Australia provides a large number of relatively small projects in the area of SPS, which focus on providing training and other 'soft infrastructure' for animal and plant health.

The main implication for Australia is the need for some rationalisation of these many initiatives into a more strategic and programmatic approach to providing support.

Government of Australia policies and strategies

Since the design of the SPSCBP, there have been a number of new strategy papers produced (or in preparation) by AusAID with respect to regional programs. In a general sense, these still reflect the GOA's strong interest in supporting regionally based initiatives (in addition to bilateral programs).

The concept note for a new East Asia Regional Strategy (2008-12) gives focus to high priority economic and trans-boundary development challenges, such as trans-national crime, trade liberalisation and the spread of communicable diseases. Particular emphasis is given to working in cooperation with ASEAN and APEC, and DAFF is identified as an important Australian 'Whole of Government' partner.

The Greater Mekong Subregion Strategy (2007-11) focuses on two pillars, namely: (i) support to sub-regional connectivity through infrastructure investments; and (ii) enabling integration through promoting and facilitating sub-regional cooperation.

It would appear that none of these strategies are inconsistent with a continued focus on SPS capacity building issues, given the links between SPS capacity and trade promotion. However, with the recent change in Government in Australia (after more than 10 years of Liberal/National Coalition government), it is as yet difficult to know whether or not some of these strategic priorities and directions might change.

Finally, with the establishment by AusAID of the Office of Aid Effectiveness, much greater attention is now being given to the application of aid effectiveness principles and to demonstrating tangible development results.

2.2 Activities and output delivery

By far the largest number of SPSCBP activities and outputs focus on the design and delivery of workshops and short-term training courses.

SPS Awareness

The objective of this component is "To increase the understanding of, and support for, SPS issues by ASEAN focal countries." To support this objective three main sets of activities have been undertaken, namely:

- a study tour to Australia for senior officers;
- a booklet was produced explaining the links between the SPS agreement and trade; and
- awareness workshops for middle management.

The study tour included 14 senior officials from Agriculture/Livestock Ministries and Departments, mostly at the level of Director or Deputy Director. It included representatives from all ASEAN countries except Singapore at a total cost of about A$90,000. The effectiveness of the study tour is difficult to empirically determine. The study tour would undoubtedly have generated good will and helped in establishing the profile of the SPSCBP.

[16] The actual value would be higher since the report indicates that in several cases the providing Government and State agencies contribute also in kind to the projects; no estimates of amounts were given.

However, senior SPS officials from most countries have already received a great deal of general information about SPS through various workshops related to their county's WTO accession, visits to FAO, and participation in Codex, IPPC and OIE activities. Perhaps the real target group for this kind of information and training should have included decision makers in ministries of finance/planning, trade and prime ministerial offices, although it is well understood that this target group is difficult to reach. There is also the question of how relevant Australia's SPS systems might be to countries with very low capacities and/or very limited agricultural exports.

A well-presented and informative booklet has been produced explaining the relation between the SPS Agreement and trade, at a cost of some A$35,000. Whether or not there was really a need for an additional booklet on the WTO SPS Agreement could be questioned, given that WTO, together with Codex, IPPC, OIE, FAO and WHO have already produced a lot of informational material on this subject and have delivered numerous related workshops. Nevertheless, the booklet seems to have been well received, and a clear contribution of the program has been the translation of the booklet into the languages of some focal countries.[17] The further dissemination of the booklet nevertheless deserves further attention. In all countries visited, in particular Cambodia and Lao PDR, officials who were interviewed were disappointed with the limited number of copies made available.

Two workshops were organized on SPS awareness for middle management, technical specialists and a few private sector participants, one with a plant health focus and one with an animal health focus (with a total budget of about A$25,000). The workshops seem to have been generally well-received, however it is not clear how they have linked with activities implemented under the plant and animal health components. A limitation of the scope of the booklet and workshops is that they focus primarily on explaining formal WTO SPS rules, and much less on the question of how a country with limited institutional capacities and limited trade can make best use of the framework by selectively and progressively implementing SPS measures.

Plant health

The training courses for plant health include the following activities:

- standards and information management;
- diagnostic training;
- biological collections; and
- pest risk analysis.

These activities, with expenditure to date of some A$ 716,000, have been the main focus of SPSCBP activity to date. It is the area of core strength/expertise of the DAFF management team. The technical content of the training appears to have been of high quality and has been provided by well-qualified Australian specialists, as well as by specialists from some ASEAN countries.

A general observation is that many respondents interviewed who are involved in the plant health component, can't or don't distinguish well between training delivered through SPSCBP or through various AADCP funded initiatives, because both projects are AusAID funded, sometimes involve the same technical specialists and provide the same kind of workshops/training. Even the training activities of the NZAID Phytosantiary Capacity Building Project are not clearly distinguished.

[17] Translated versions of the booklet in Bahasa Indonesia, Khmer and Vietnamese are available on the DAFF/SPSCBP website.

Coordination with the AADCP Plant Health project has not been a significant issue because both projects involve members of the same team. Coordination with the NZAID project (which focuses on the CLMV countries) is also good. Nevertheless, there are clearly cost efficiency and effectiveness issues associated with having multiple projects addressing the same or similar issues.

The technical skills being taught in the training courses are certainly needed in any more developed plant quarantine system. However, the main questions about training effectiveness and impact relate to whether or not the training meets priority needs, its sufficiency as a capacity building activity and the likely sustainability of benefits for individual countries.

There are unavoidable tradeoffs in regional workshops, related primarily to selection of topics and to the level of complexity of the workshop. With its regional focus, and the participation of all 10 ASEAN member countries, the SPSCBP has inevitably had to focus on providing fairly generic training.[18]

Other training design and delivery issues (including the coverage of training) are analysed further below under the heading 'Training/workshop delivery'.

Animal health

The animal health component consists of the following activities:

- A livestock trade study;
- Integrated approaches to disease zoning; and
- Case studies

The implementation of activities under the component is generally well behind original schedule. For example, the 'Assessment of livestock trading in the region' was originally scheduled for publication in late 2006, but was not produced until November 2007, and has only recently been distributed.

Overall delays in implementation can be attributed partly to: (i) the program management team's initial focus on organising and implementing the large number of plant health activities; (ii) bureaucratic delays (both within DAFF and sub-contracted agencies) in getting sub-contracts prepared and approved for animal health activities; and (iii) diversion of available animal health expertise and resources in the region to deal with Avian Influenza outbreaks.

Interviews with some of the livestock officials engaged in SPSCBP activities revealed some level of frustration with these delays.

The activities included in the animal health component nevertheless demonstrate a greater degree of internal 'cohesion' and strategic focus than the many somewhat disparate training/workshop activities implemented under the plant health component. With the exception of the ASEAN meat exports study (discussed further below), the other component activities link well with the SEAFMD strategy (coordinated through the OIE office in Bangkok), and appear to support a set of demand-driven priorities, at least in the Myanmar-Thailand-Malaysia sub-region.

The ASEAN meat exports study was commissioned at a cost of some A$260,000. It is essentially a modelling exercise for analyzing the economic impacts of livestock disease outbreaks and appropriate responses. The study describes production of and trade in meat,

[18] As already noted in the analysis of the project design, there are many differences between ASEAN member countries with respect to: (i) the products they trade and the markets they trade to; (ii) the professional/technical skills base in SPS; (iii) institutional structures and capacity, including budget availability for implementing SPS measures; and (iv) priorities for institutional capacity development.

shows trends, and analyses outbreaks and policy responses in specific situations. It provides some general observations on conditions under which countries may cooperate in policy measures. Several respondents had not yet read the study. Opinions from those who had read it differ. One respondent thought it useful in demonstrating the importance of the livestock sector given the projected growth in demand. Another observation was that it did not contain a good empirical base for drawing conclusions about economic impacts at the micro level. The MTR team has concerns about the relevance and accessibility of the information contained in the report to the target group, particularly the least developed countries in the region.

A series of four 5-day training courses on 'integrated approaches to livestock disease zoning' have been designed by AusVET (under contract to DAFF), of which 2 have been delivered to date.[19] These training courses deal sequentially with the topics of 'Surveillance', 'Risk Analysis', 'Zoning' and 'Follow-up'. The courses are designed to take the same group of participants through the practical steps required to establish disease free areas, and combine training with project based work back in the participants' home countries. There is thus a clear and practical work-based focus to the training, backed up by the provision of a set of reference 'manuals'. While this is considered an excellent overall approach, some participants (e.g. from Cambodia) expressed concerns about their ability to follow-up with project based work due to basic budget constraints back home (e.g. for field-work travel costs and basic diagnostic equipment).

The support provided by the SPSCBP into researching animal movement pathways and FMD in the Malaysia-Thailand- Myanmar sub-region, and support for the establishment of EpiNET, show good prospects for contributing to sustainable outcomes. These activities are supporting demand-driven initiatives (demonstrated trade interests, with both government and private sector support), are linked to an established program of coordinated activities (SEAFMD), and are helping to build sub-regional institutional capacity (EpiNET). The team considers these activities to be better development practice than supporting many short-term training activities.

[19] Surveillance course in Vietnam (12-16 November 2007) and Risk Analysis course in Philippines (24-28 March 2008)

Training/workshop delivery

This section provides an overview analysis of training/workshop design and delivery issues.

Table 1 below provides a summary training/workshop data, as provided by the DAFF management team.

Table 1 – Workshop/training data[20]

Wkshop #	Day and Month	Year	Workshop Name	Location	# Participants	Training days
1	22-23 August	2005	Pest Lists Workshop	Kuala Lumpur Malaysia	19	2
2	24-25 September	2005	Workshop on SPS Awareness	Bogor, Indonesia	19	2
3	26-30 September	2005	Training Course on Arthropod Preservation, Curation and Data Management	Bogor, Indonesia	19	5
4	8-15 October	2005	SPS Study Tour to Australia	Australia	14	7
5	14-18 November	2005	Pest Risk Analysis - Train the Trainer	Hanoi Vietnam	11	5
6	21-25 November	2005	Diagnostics of Plant Sucking Bugs Hemiptera Diagnostics Workshop	Kuala Lumpur Malaysia	10	5
7	13-17 February	2006	Citrus Greening Disease (HLB) Diagnostics Workshop	Kuching, Sarawak, Malaysia	17	5
8	13-17 March	2006	Standard Pest Risk Analysis	Phnom Pehn Cambodia	21	5
9	20-24 March	2006	Diagnostics of Citrus Greening Disease (HLB)	Sarawak Malaysia	15	5
10	24-25 March	2006	SPS Awareness Workshop	Yangon, Myanmar	27	2
11	26-31 March	2006	Training On Plant Disease Specimen Preservation, Curation And Data Management"	Yangon, Myanmar	27	5
12	23-25 June	2006	SPS Awareness in Plant Health: middle managers and the private sector	Vientiane, Lao PDR	31	2
13	15-17 September	2006	SPS Awareness/ Arthropod Collections	Kota Kinabalu, Malaysia	18	2
14	18-22 September	2006	Training Course On Arthropod Specimen Preservation, Curation And Data Management	Kota Kinabalu, Malaysia	18	5
15	19-21 January	2007	SPS Awareness	Bangkok, Thailand	23	3
16	22-26 January	2007	Plant Disease Specimen Preservation, Curation and Data Management	Bangkok, Thailand	23	5
17	29 Jan to 2 Feb	2007	Diagnostics of Key Plant Pathogenic Fungi	Bangkok, Thailand	16	5
18	19-24 March	2007	Standard Pest Risk Analysis	Singapore	20	5
19	17-25 May	2007	Diagnostics of Key Pest Lepidoptera	Bangkok, Thailand	16	9
20	9-16 November	2007	SPS Awareness and TC in Arthropod Preservation	Myanmar	25	8
21	12-16 November	2007	Integrated Risk Management for Livestock Diseases Workshop 1 (Surveillance)	Hanoi Vietnam	21	5
22	19-20 November	2007	Animal Health Awareness Workshop for Middle Managers	Manila, Philippines	17	2
23	24-28 March	2008	Integrated Risk Management for Livestock Diseases Workshop 2 (Risk Management)	Cebu City, Philippines	21	5
					448	**104**

Breakdown of data	
Total workshops	23
Total participants	263
Female participants	127
Male participants	130
Govt. participants	237
Private sector participants	11
University participants	13
Other participants	1

By Country	
Brunei	9
Cambodia	25
Indonesia	28
Lao PDR	34
Malaysia	32
Myanmar	28
Philipppines	29
Singapore	13
Thailand	39
Vietnam	26
	263

The MTR team's main findings with respect to the planning and delivery of training activities and workshops are as follows:

- The program has successfully delivered a significant number of good quality technical training courses and workshops. Feedback from participants (through the web-based questionnaire as well as face to face interviews) indicate high levels of satisfaction with the learning opportunities provided and the quality of trainers.
- The selection of training topics and the development of the workshop/training implementation plan have been based on a complex of factors. It has involved the preparation and submission of priority topics by participating countries,[21] screening of these ideas/proposals by the Program Director and technical advisors and the identification (to the extent possible) of common needs and priorities. Other considerations have included the availability of trainers and trying to ensure each participating country has a chance to host a workshop/training event. While the needs assessment and selection of training/workshop topics has been based on consultation with focal countries, the screening process has also been significantly influenced by

[20] It should be noted that the total number of participants listed in the main table above (448) is different from the total participants listed in the 'breakdown of data' and the data 'by country' (263). This is because the total participants listed in the two 'sub-tables' does not count individuals who have attended more than one training/workshop event. Also, there are small inconsistencies in the total number of participants (263), total male/female participants (157), and total participants from different institutions (262).

[21] However, it should be kept in mind that in countries with limited capacity, the ability to articulate needs is also generally weak.

the management team's ability to organise and supply the training (including whether or not there is the scientific knowledge available to address requests/needs).

- The SPSCBP has been successful in ensuring regional participation, both in terms of participants and venues. There has also been a good gender balance of participants, with roughly equal numbers of men and women participating. The vast majority of participants have been from government institutions, with very few participants coming from the private sector or from institutions such as universities.
- The training content has had to be relatively generic to try and cover the disparate experience and skill levels of workshop participants. For some participants the content has inevitably ended up being either too basic or too complex, and too academic or too practical. Nevertheless, participants have highly valued the opportunity to share knowledge and experience with colleagues from different countries and establish personal contacts.[22]
- The link between some of the individual plant health training courses is not clear. Most of the training is of short-duration (2 to 5 days), and some participants (particularly from the CLMV countries, but also in Indonesia) expressed the view that they have faced difficulty in applying their new knowledge back in the workplace. The design of training courses has not generally included the preparation of participant 'action plans' as a means by which to focus on practical issues of implementation back in the workplace, and more could have been made of this approach. The exception to this is the series of 4 livestock training courses (on integrated approaches to disease zoning) being delivered by AusVET. Many participants expressed the view that the duration of individual courses was too short, which may partly reflect relatively low levels of academic training and language problems.
- The English language skills of participants has been very mixed, and this has undoubtedly limited opportunities for two-way communication, group participation and discussion. The review team was also informed that because of limited language skills among some participants, additional resources could have been put into the preparation of training manuals/materials (both in terms of quality and quantity), particularly for the plant health courses.
- Good efforts have been made to identify and use some resource persons/trainers from the region. This has included using participants who have shown particular skills/aptitude as trainers/resource persons for subsequent training activities.
- The use of a regionally based agency (ASEANET, based in Malaysia) to organise training logistics (venue hire, participant airfares, payment of allowances, etc) has been practical and cost effective. Workshop participants have generally been very satisfied with organisational arrangements.
- Monitoring and reporting on workshop/training events has not been undertaken very systematically. End of course evaluations (participant feedback) have generally been undertaken, but the forms used and data generated has not always been comparable between courses, has not been recorded in a training 'management information system' (database), and does not seem to have been systematically analysed and reported. It would have been useful to have both a stand alone report on each training event, as well as a consolidated database of training data which could be easily

[22] In one group discussion former participants expressed the importance of making personal contacts with colleagues in other countries. However, when asked whether any had contacted these colleagues after the training, the answer was negative.

analysed and queried.[23] While a set of spreadsheets with training information have been kept by the program management team, these have not been set up or used to take advantage of any database functions.

- There has also been no systematic 'testing' of trainee knowledge and skills pre and post training. Nor has there been any structured follow-up on how (if at all) the skills learned through training have been applied in the workplace. While it is appreciated that this is not any easy thing to do (and the program design did not address such issues), this is considered to be a weakness in the program's approach.
- One 'Training of Trainers' course (on the topic of Pest Risk Analysis) has been delivered. The MTR team believe that more might have been done on the training of trainers, however it is understood that this was not a focus of the original design.

In summary, the technical content and quality of training is considered to have been good, however the strategy of implementing numerous generic short-term training activities as a capacity building strategy has significant deficiencies. The monitoring and reporting on training outcomes has also been rather weak.

2.3 Impact and outcomes achieved or likely to be achieved

Impact

'Goal' level indicators in the program Logframe include an 'increase in exports in prioritised agricultural and livestock commodities' for ASEAN focal countries.

There is indeed ample evidence from research literature and practice that improved SPS management can result in increased exports, as well as increased income and employment opportunities through higher productivity.

However, in the case of SPSCBP such empirical impacts cannot be observed because: (i) the program has a narrow scope, with a focus primarily on the development of technical skills among individuals (not broader systems development); (ii) the program has trained/engaged with a relatively small number of individuals across the region over a limited number of training days; (iii) with the exception of some activities in the animal health module there has been no focus on implementation of SPS initiatives within individual countries; and (iv) there is a long gestation period between the learning of specific technical skills, their effective application in the workplace, changes in organisational performance and impact on trade opportunities.

Any attempt to empirically demonstrate a link between the implementation of the SPSCBP and increased trade would therefore be futile. Even at a 'lower' level of impact, such as the 'formulation of SPS measures' and 'compliance with these measures' (included as indicators in the revised program Logframe), it would not be useful to try and empirically attribute changes in individual focal countries to the work of the SPSCBP alone.

Outcomes

Each of the main anticipated outcomes of the SPSCBP, as reflected in the program purpose and component objectives, is briefly assessed below:

- ***Identified improvement in SPS quarantine capacity.*** There is evidence from the numbers of staff trained and interviews with trainees that individual capacities to perform some technical tasks within quarantine systems have increased. However, apart from the FMD activities under the animal health component, the SPSCBP has not played any substantive role in supporting implementation back in the workplace.

[23] One good example of a consolidated training course report was seen by the MTR team, produced by AusVET for the Animal Health Awareness Workshop for middle managers.

Also, given that the SPSCBP design did not address other key elements of quarantine 'systems' (such as legislation, management systems, budget allocation or equipment needs), and has not (yet) monitored the application of skills back in the workplace, it is not possible to demonstrate any clear direct link between the program's activities and 'identified improvement in SPS quarantine capacity'.

- ***Regional capacity to continue to deliver training.*** Training for SPS is delivered by many other donors and countries in the region: China, Thailand, Vietnam, the EC, NZAID, Japan and the FAO, among others, are providing training. The secretariats of ASEAN, GMS, and APEC, and the OIE SEAFMD also play a role in coordinating and/or organising SPS training. There is no evidence that the program has actively enhanced the capacity of these other providers in the region to 'continue to deliver training'. The program has nevertheless engaged with ASEANET, the Southeast Asian Loop of BioNET International, which has provided valuable logistical support for many of the workshops on plant quarantine. However, this engagement has not had a focus on institutional capacity building as such, rather service provision.
- ***Evidence of national pest lists being compiled and PRA's undertaken.*** Work on the collection of pest lists is on-going in several countries, but the differences between countries are significant. For example, Thailand has pest lists for 12 crops and is adding more. Lao PDR and Cambodia are far from having their first pest list, and overall few countries have started to apply PRA. Attribution is difficult, but it is fair to say that SPSCBP has provided a modest but useful contribution to the technical capacities of individuals to generate pest lists and undertake PRA.
- ***Evidence in the control of trans-boundary animal diseases.*** Support for control of trans-boundary diseases has been provided by many donors and international agencies. SPSCBP support is still on-going and results cannot be fully assessed yet. However, its contribution to control of FMD in the Malaysia, Thailand and Myanmar area appears to have been valuable, with confirmation of a disease free zone in southern Myanmar and exports of beef from Myanmar to Malaysia and Singapore now being planned. For Classical Swine Fever (CSF), SPSCBP supported work has yet to commence.
- ***Evidence of Regional Networking of SPS organisations.*** Several projects are contributing to regional networking on SPS issues, through workshops and planning meetings. SPSCBP contributes a modest but effective share to this by bringing individuals together to share information and experiences.
- ***Environment and Gender.*** Since the SPSCBP does not engage directly in operational work it does not directly affect environmental management and environmental outcomes. The program has achieved a good gender balance in terms of training/workshop participants, and has also promoted the involvement of some exceptionally talented female participants (from Myanmar, Thailand, Philippines and Brunie) as trainers in susbsequent activities. This is probably about as far as the program could be expected to go in promoting gender mainstreaming and equality objectives.

The overall conclusion is that the contribution of the SPSCBP to these development outcomes is likely to be limited, particularly where the primary focus of activities has been on delivering short-course training. It is also likely that most benefits are being accrued by the more developed rather than the less-developed countries. There is greater prospect for sustainable benefits arising from the project's animal health activities targeted at FMD in the MTM sub-region.

2.4 Program management and implementation arrangements

Program management and coordination

The main program management issues raised during the MTR are summarised below:

Office establishment, systems and staffing

- The Program Director (part-time) and Program Coordinator (full-time) were appointed and started work in September and November 2004 respectively. The program office was established at the same time within the Office of the Chief Plant Protection Officer in DAFF.
- There was a long 'inception/establishment' phase for the program (one full year), with the first tranche of funding released to DAFF in September 2004 and the delivery of the first in country training/workshop activity in August 2005 (Pest List workshop in Malaysia).[24] It is not clear exactly why it took so long to initiate activities on the ground. One reason may have been delays in establishing formal agreements regarding program implementation with each focal country (Memoranda of Subsidiary Arrangements between AusAID and partner government counterparts).
- The program management team have had difficulty in implementing the plan of activities in line with the original workplan and budget. There are a number of reasons for this, including:
  - (i) an ambitious original workplan (in relation to the management resources made available);[25]
  - (ii) the significant amount of work the management team has had to devote to coordinating with, and providing inputs to, other SPS projects in the region (such as those funded through PSLP, AADCP and NZAID);[26]
  - (iii) the inherent complexity of planning and managing a regional program involving multiple and geo-graphically dispersed stakeholders;
  - (iv) constraints imposed by the availability/supply of technical 'experts' to design and deliver training/workshops; and
  - (v) diversion of time and resources by partner governments in the region to dealing with the threat of Avian Influenza.
- The use of DAFF management systems for the SPSCBP '*to ensure that governance is consistent with DAFF standards, especially those relating to procurement, reporting and auditing*'[27] has ensured accountability and transparency in the use of resources as well as value for money. However, the use of these systems has also resulted in some efficiency costs. Both the Program Director and (previous) Program Coordinator raised concerns with the MTR team about bureaucratic constraints imposed by using GoA/DAFF systems (e.g. level of paperwork and time-consuming approval processes). They also raised concerns about having to comply with two different management and reporting systems, namely those of both DAFF and AusAID.

[24] The Project Director started work in October 2004 and the Project Coordinator in September

[25] It was suggested by the (previous) Project Coordinator, that an additional coordinator for dealing with Component 3 would have allowed implementation to progress more quickly

[26] There are also many other SPS related activities/initiatives listed in progress reports to which the PD has contributed (in the Asia region, the Pacific, as well as in Australia)

[27] SPSCBP Progress Report, January 2006 (covering period Nov 2004 to Dec 2005), Ian Naumann, DAFF

- While the program's management and administrative systems can be considered sound (if not highly efficient), a significant 'omission' in systems development was the early establishment of a training/workshop 'Management Information System' (MIS). As at January 2006, while a '*contacts database, scheduling module and filing systems'* had been established,[28] no mention is made of a training data MIS. This issue is assessed further below under the heading of 'M&E Framework'.
- DAFF's governance arrangements for the program, (establishment of a Steering Committee to '*monitor program delivery against Annual Operational Plans and DAFF governance requirements*', and a Technical Advisory Group that '*assists the Program Director in the selection of consultants and the drafting of technical specifications for individual activities*') have generally worked well. They have helped ensure that the SPSCBP is not an institutional 'orphan' within DAFF, and have provided the management team with access to advice on technical specifications for training design.
- However, there has at times been some tension between DAFF's role/mandate as a promoter of Australia's national trade interests, and the overseas development objectives of a program such as SPSCBP. This has reportedly resulted in some delays in approval, publication and distribution of the results of studies/informational materials. Nevertheless, the debate raised by such tensions can also be seen in a positive light, in that it has promoted understanding/learning within DAFF of Australia's development policies and objectives, and provides AusAID with an enhanced appreciation of DAFF's interests and priorities. It therefore helps to promote a Whole of Government (WofG) approach.
- The use of a regionally based logistics coordinator (ASEANET) to handle the administration of regionally based workshop/training activities has been a good idea. It has been both cost effective as well as relieving the Canberra based management team of a significant administrative burden.
- Feedback from the web-based survey indicates a generally high level of satisfaction from County Focal Points (CFP) and workshop/training participants with program management and coordination.

Regional and in-country coordination mechanisms established and regional networking between organisations enhanced

- Response from the web-based questionnaire suggests that networking/communication between SPS organisations in the region has been enhanced through program activities. This has been achieved through providing individuals with the opportunity to meet, make contacts, and share information and ideas with colleagues in the region. This is valued and appreciated by workshop/training participants. However, there is no evidence of enhanced 'institutional' capacity to coordinate and network without ongoing program support. Coordination and networking has been largely 'driven' by the program management team in Canberra.[29]
- The network of regional CFPs was established through an initial round of regional visits by the Program Director in March and May 2005, and has been maintained by ongoing regional visits, a CFP workshop in August 2006, and ongoing email/phone/fax communication. Keeping up to date lists of CFP contact details has

[28] ibid

[29] A proposal to develop a regional Diagnostic network for plant pests has been endorsed in principle by the ASWGC, but there is as yet no formal commitment from individual member countries, and no action plan for implementation. The SPSCBP does nevertheless intend to support this during the last year of implementation.

nevertheless been challenging, as has communications with Laos, Cambodia and Burma where communications infrastructure is weak and CFP communication budgets are minimal.[30]

- As previously noted, coordination with other AusAID funded SPS initiatives (namely PSLP and AADCP), and the NZAID SPS Capacity Building Program, has been good.[31] The MTR team has the firm impression that the management team was effective in sharing information with the large number of donors and other agencies involved in SPS support activities in the region.
- Efforts have been made by the program management team to coordinate and communicate with AusAID Posts, including a meeting with all AusAID 'posts' in Bangkok in April 2005 during the preparation of the initial Operational Plan. Nevertheless, the SPSCBP has faced the same challenges as most other regional programs in linking with AusAID's bilateral program's and projects. There are two key constraints, namely: (i) AusAID staff at post generally have little spare time to engage with regional programs and only the Jakarta and Bangkok posts have dedicated resources to do so; and (ii) the development of AusAID's regional and bilateral program strategies is not a well integrated process, and it is not therefore clear which strategies take precedence.
- Good efforts to coordinate with the relevant ASEAN bodies have also been made. The first Operational Plan was presented to the ASEAN Sectoral Working Group on Livestock in Thailand in June 2005, and to the ASEAN Sectoral Working Group on Crops in early 2006. Discussions with representatives of the ASEAN Secretariat in Jakarta confirmed that the Program Director has maintained effective communication with them.
- There is no clear evidence of enhanced coordination and networking with private sector organisations within the region.

Monitoring and evaluation framework and risk management

Key findings with respect to the program's monitoring and evaluation framework and its implementation are as follows:

- The timely preparation and implementation of the Monitoring & Evaluation Framework (MEF) for the program has been problematic. DAFF 'informally' submitted an M&E Framework to AusAID in late 2005, but there was still no agreed final version as at March 2006.[32] It appears the M&E framework was approved by AusAID in June 2006. The primary constraints appear to have been that M&E requirements were: (i) a relatively low priority; (ii) inadequately resourced; and (iii) not very clearly understood.
- An AusAID M&E panel (of May 2007 in Bangkok) reviewed the SPSCBP's M&E Framework and the information collected and reported to date. The panel noted that: (i) successes have not been adequately captured by reporting; (ii) there has been a lack of time available for SPSCB team for M&E, including reflection; (iii) insufficient

[30] The MTR team also experienced significant difficulty in contacting all CFPs by email, and getting replies

[31] Coordination with PSLP funded activities has been straightforward as they have also been managed/implemented by the same office in DAFF. Coordination with the NZAID and AADCP projects has also been supported by the fact that key personnel on these projects have ongoing professional links/contacts with each other.

[32] Comments on SPSCB Six-Monthly Report covering period June-December 2005, by AusAID Activity Manager Sutthana Vichitranda dated 13th March 2006

resources were allocated for M&E;[33] (iv) desired outcomes were ambitious; (v) methods and tools have not been developed to support information requirements; (vi) AusAID has not clearly articulated its higher order information needs, or MEF requirements; (vii) gender issues not identified; (viii) CFPs are not aware of their M&E responsibilities and do not have capacity to do M&E; (ix) there are gaps in reporting on strategic issues (such as effectiveness of strategic relationships and regional networks); (x) the design did not include developing partner M&E capacity, and (xi) M&E does not currently meet information needs of CFPs and will not be sustainable.

- The June 2007 progress report includes a list of draft questions to be asked as part of a program evaluation activity. The intention was good, however the lists of questions needed significant refinement/quality assurance (by someone experienced in conducting this type of evaluation activity) before they could be practically used. A more detailed program 'Evaluation Plan' was prepared by the management team in September 2007.[34] This also contains a good overview of issues, as well as an initial plan of action and discussion of method, but has not been implemented. It still requires further development and refinement (and an allocated budget) if it is to be used as a practical plan of action.
- A key gap in the program's M&E has been (and remains) the lack of adequate tools (including a basic Management Information System) to systematically collect and capture information on the delivery of training/workshop activities and to assess their quality. The program has used Excel spreadsheets to record basic details of each workshop/training event (date, location, participant names and contact details, trainers), but this is not easily queried and contains no training evaluation data.

With respect to risk management, the program prepared a risk management matrix, and has periodically reported on some risks. However, the last two progress reports (covering the period July 2006 to March 2008) do not include any specific section on risks or risk management, and it is therefore difficult to 'track' the program's risk management strategy and actions. Given that the program has faced significant difficulties in implementing the program of activities within originally conceived time-frames, and is significantly under-spent as a result, it might have been expected that more 'risk management issues' would have been raised and addressed in the program's progress reports.

Reporting

Annual Plans and progress reports

Overall, the quality of annual/operational plans and progress reports (in terms of documented product) is considered to be marginally satisfactory. Key issues identified by the MTR team include:

- With respect to Annual Plans, the periods covered by these plans has been subject to change, and this made it a little confusing for the MTR team to piece the plan and reporting documents together. The Plans do not give much attention to strategic planning and management issues which are linked to a review of (and reflection on) past performance/progress to date. The Operational Plans focus primarily on a description of the activities to be implemented, which is necessary, but not sufficient, for planning documents of this kind.
- While the management team have clearly struggled to implement the program in line with the original design schedule (as evidenced by under-spending and the contract

[33] The project budget includes $56,000 for 'evaluation', of which $3,591 has been spent to date

[34] SPSCBP Evaluation Plan, prepared by Emma Lumb, 4th Sept. 2007, DAFF

extension), the planning and reporting documents provide little in the way of analysis and recommendations with regard to changes in program scope or management strategies that could address implementation constraints (risk management).

- Good efforts have been made to promote the participation of CFPs and other stakeholders in the preparation of Operational Plans (including priority setting). Nevertheless, practical considerations relating to DAFF's ability to source expertise and deliver activities within the available resource constraints have been a significant influencing factor at the end of the day.
- With respect to the Progress Reports, these have covered a range of periods, and have not always been clearly linked to the planning documents.[35] The reports focus primarily on activity implementation, but do not give much attention to more strategic (or risk management) issues. Some reports appear to have been rather hastily assembled, and some suffer from small but important errors, particularly in the dates/periods being covered by the reports.[36] The structure and content of progress reports make it somewhat difficult to determine what progress has been made with activity implementation compared to what was planned, don't clearly distinguish between what has been achieved in previous reporting periods and what has been done during the specific reporting period in question (incremental achievement), and therefore make it difficult to assess 'performance'.
- Reporting improvements were nevertheless made subsequent to the M&E workshop in Bangkok (hosted by AusAID), in particular the preparation of the 'Program Success against M&E Framework' matrix. However, these matrices have been prepared as separate documents (not integrated into the narrative progress report files), and the MTR team found it time-consuming to match these matrices to the relevant narrative reports. The matrix format (as with narrative reports) also make it somewhat difficult to distinguish between 'incremental' progress/achievement during the reporting period, and past achievements.
- As previously noted, one of most significant gaps in reporting is the absence of consolidated data on training/workshop delivery and outcomes. The underlying problem appears to be that this information has not been systematically collected, recorded and analysed on an ongoing basis.

Cost effectiveness

As of the end of February 2008, the program had spent A$1.99m spent out of a budget of A$3.7m (46% of budget). This under-spending is primarily the result of delays in implementation compared to plan, however it also reflects the fact that some 'savings' have been achieved (as compared to budget).[37]

The program was designed with a relatively high proportion of overall costs allocated to management and coordination (29% of budget). This is understandable given the complexity

[35] The first progress report covered a period of 13 months from Nov 2004 to Dec 2005 (yet it is entitled a 'six-monthly progress report'), while subsequent progress reports have covered periods of 4 months, 6 months, 13 months and 8 months.

[36] For example, the 'Program Success Matrix' to Feb 2008, also has 'evidence to March 2007' in the third column. The narrative progress report dated March 2008 includes a Financial Statement to June 2007, but in fact this appears to be a statement up to Feb. 2008. The Financial Report also states the duration of project as 36 months, but it is now in fact 4.5 years or 54 months.

[37] For example, the DAFF management team has been successful in negotiating favourable fees for external providers of expertise. Use of a regional, logistics coordinator also achieved savings in travel and accommodation costs, and technical contributions to the Program by other DAFF officers were without cost, for the overwhelming majority of activities.

of organising numerous small and diverse activities involving 10 countries and many stakeholders.

With respect to the base cost of training delivery, the average cost per participant for plant health workshops/training (not including SPS awareness) is calculated at some A$2,400 per participant (306 participants at a total cost of A$716,000), not including overhead management and coordination costs. Similarly (on the livestock side), the SPS Awareness training for animal health practitioners run in Manila in November 2007 (by AusVET) cost A$32,000 for 14 participants, resulting in an average per participant cost of around A$2,200. This appears to be a relatively low unit cost for this type of short-term regional training activity.

The relatively low unit costs of training might partly be attributed to using DAFF specialists as trainers (at a lower cost than private consultants), the use of local resource persons from ASEAN countries, and the use of ASEANET to help organise training logistics in the region (which has clearly been a cost-effective strategy).[38]

The cost of the ASEAN meat export study was A$255,000 (within the budget of A$310,000). This represents about 20% of the total animal health component budget. Given the MTR team's somewhat sceptical view of the practical value of this product to the target audience (particularly the least developed countries in the region), this is not considered to have been a very cost-effective use of funds.

The SPS awareness booklet has cost some A$31,500 to date (out of a budget of A$37,000). The booklet is well produced and has been generally well received. The main concern with the production of the booklet is whether or not enough copies will be printed and distributed to meet country needs, and thus impact effectively on SPS awareness among a broader audience.

In conclusion, the program appears to have delivered key activities in a cost efficient way (e.g. training and workshops). However, given that there is little clear evidence of sustainable capacity building outcomes being delivered to date, the general conclusion of the MTR is that the program has not been a cost-effective approach to SPS capacity building.

2.5 Sustainability

The primary sustainable benefit that the MTR have identified is that of the technical skills/knowledge gained by individuals through training, which can continue to be applied in the workplace. However, the sustainability of capacity building through training of individuals varies much with the institutional situation. If capabilities of individuals are the bottleneck for better institutional performance, training can be an effective form of capacity building. However, in a number of cases (particularly in CLM), various gaps in institutional capacities were reported that do not allow new skills to be effectively applied and therefore benefits cannot be realised or sustained.

There is no clear evidence (at least seen by the MTR team) that any of the training delivered to date will be picked up and implemented on an ongoing basis by any other agencies or institutions. It is nevertheless possible, and the team has some evidence to confirm this, that some of the individual participants (particularly those who attended the Trainer of Trainers workshop) may pass on their knowledge through organising some follow-on training events on Pest Risk Analysis in their home countries.

[38] Nevertheless, a different calculation would make the unit cost of training somewhat higher. If one takes total expenditure to date ($1.99m), then subtracts the main items of non-training expenditure to date (namely the booklet, livestock trade study, and an estimated 25% of program management costs), this leaves a rough total of A$1.5 million spent on, or supporting the delivery of, training and workshops. Divided by the total number of (non-repeat) participants, which is 263, this would indicate an average per participant cost of A$5,700.

On balance, there appears to be only limited prospect for the program's Plant Health activities (largely short-term training) to deliver sustainable capacity building outcomes.

On the animal health side, there appear to be prospects for sustainable benefits arising from the program's support to establishing disease control zones in the MTM sub-region. The export of cattle from Myanmar to Malaysia is being driven by commercial interests (who have invested in a quarantine station) and is receiving active governmental support. The establishment of EpiNET also appears to have high-level government support from participating countries, as demonstrated by the allocation of budgetary resources.

3 Conclusions and lessons

The primary conclusions and lessons identified by the MTR team are as follows:

- The program design provided an effective short-term TA delivery mechanism, but not an effective capacity building strategy.
- The program's delivery system and management capacity have been insufficient to deliver all planned activities in a timely manner. Either more management resources could have been applied, the range of activities reduced, or different delivery strategies designed.
- The design and delivery of short-term training is not likely to deliver sustainable benefits, without adequate consideration of the institutional context within which training participants work.
- A 'one-size fits all' approach does not work well in a region as diverse as ASEAN. Specific consideration needs to be given to the needs of the least developed countries.
- Regional programs/projects should address regional issues which require a regional response, and should focus on supporting such things as policy making, networking, information exchange, coordination, harmonisation of standards and bridging the gap between the more and less advanced countries. Specific technical training alone is not generally suited to meeting these objectives.
- There is greater scope for establishing demand-led SPS capacity building initiatives at the national and sub-regional levels (for example in the Greater Mekong Sub-region and between the MTM countries).
- Building country ownership of program/project supported activities requires more than 'consultation'. Despite good intentions and best efforts, the only way to genuinely engender ownership is to vest decision making responsibilities and authority (on priorities and budget allocation) with the implementing partner(s); and
- If the GoA wishes to have a more significant impact on developing SPS capacity in the region, it needs to take a long-term view, reduce the number of small scale and short-term initiatives is supports and consolidate into fewer larger initiatives, and link these to demonstrated demand driven needs.

4 Recommendations for SPSCBP

The MTR recommends the following with respect to the final year of SPSCBP implementation:

1. Review and update the final year's workplan and budget in consultation with partners, to establish clear expectations for the remaining life of the program. Ideally this would include holding a program workshop involving country focal points.
2. In order to enhance the effectiveness and sustainability of the training provided to date (or in process), it is recommended that:

- No 'new' training activities/topics are added to the program, but rather focus should be given to providing follow-up on the training delivered to date (or in process). This could involve some tailored training for specific countries (namely Cambodia, Laos, Myanmar and Vietnam), combined with on-the-job mentoring support. The option of using consultants/specialists from ASEAN countries (including individuals who have already participated in SPSCBP training events) should be given particular consideration in this regard.
- Basic equipment/material needs be identified and provided, that would allow training participants to apply specific skills back in the workplace (particularly for CLMV). This should only be done through identifying 'savings' in other areas of the program budget.

3. Clarify and implement a practical and cost-effective evaluation plan (as a primary input to the preparation of the Project Completion Report), building on the findings of this review. The evaluation plan should not be over-ambitious. DAFF should seek some assistance from a development practitioner with extensive practical M&E experience. Effort should not be wasted on trying to demonstrate the impossible (e.g. links to trade, poverty, environment, etc).
4. Given the findings of this review, lessons learned from implementing other similar initiatives, and Australia's commitment to implementing the principles of the Paris Declaration on aid effectiveness (e.g. country ownership, harmonisation and a results focus), DAFF should consider preparing a position paper (as a focus for discussion with AusAID) on their interests and potential role in future Australian support for SPS capacity building in the region.

5 Options for future support to SPS capacity building

The following considerations and recommendations may help inform the decision making process about future strategic directions for GoA support to SPS capacity building in the region:

1. There will be continued demand for support for regional SPS capacity building projects through ASEAN, APEC and GMS. It is recommended that support for regional projects should be given only if there is sufficient evidence of value added for a regional approach. Typical regional functions that deserve consideration for support (apart from general political considerations) are:
   - promoting regional networking among SPS professionals and managers;
   - promoting harmonisation of standards as part of regional economic integration; and
   - control of, and information sharing on, trans-boundary animal diseases, plant pests and food safety hazards.

   In most cases SPS capacity building support is likely to be most effective if targeted to meet specific needs at national or sub-regional levels, particularly in the area of technical skills training.
2. Although there will be a continued need for raising awareness of SPS issues and for technical training, the relative benefits of such efforts will be low if they are not integrated into broader efforts that address institutional constraints to SPS capacity building (including in relation to policy, regulatory, institutional, budgetary and infrastructure issues). This requires that in depth and substantive needs assessments be undertaken during program/project design.
3. Since there are many ongoing and planned donor activities in the area of SPS capacity building, donor coordination and country ownership deserve to be given higher priority.

Greater levels of support for such mechanisms as Multi-donor Trust Funds (such as in Laos), the GMS program, and for funding through established initiatives such as Australia's AADCP (with the ASEAN Secretariat) should be prioritised.

4. A smaller number of longer-term and higher value initiatives would help increase the prospect of achieving demonstrable capacity building results. Whole of (Australian) Government approaches require continued attention, so that the initiatives of agencies such as AusAID, DAFF and ACIAR are appropriately coordinated.
5. The Greater Mekong Sub-Region deserves special attention because it includes the four less developed countries in the region, while also taking into account the significant interests and influence of China. Three specific factors should be considered with respect to planning any future SPS capacity building support to this sub-region:
   - the countries have porous land-borders, which means that effective management of plant health, animal health and food safety has to be based on effective monitoring, surveillance and risk-based inspections of domestic markets.;
   - the GMS 'Cross-Border Trade Agreement', in which China participates, is a dynamic force for improving border controls (including their cost effectiveness); and
   - the larger GMS countries of China, Thailand and Vietnam are increasingly providing technical support to their smaller and less developed neighbours. This is in part based on increased understanding of the mutual benefit of controlling risks of pests, diseases and food safety hazards. Australia should therefore investigate opportunities for supporting this kind of bilateral and sub-regional cooperation given advantages of country ownership and cost-effectiveness.
6. Indonesia also merits specific attention, given its close proximity to Australia as well as its significant developmental needs. Bilateral support is likely to be the most effective approach to supporting its SPS capacity building needs.
7. Emphasis should be given to the practical implementation of SPS measures. SPS capacity building should focus less on the formal rules and all related guidelines, and rather be first of all based on well understood national interests and urgent international obligations. Capacity building strategies must be selective, affordable and appropriately sequenced if they are to yield sustainable results. No country in the world has fully implemented WTO requirements and the standards of Codex, IPPC and OIE.

Attachments

Attachment 1 – Terms of Reference for the Mid-Term Review

TERMS OF REFERENCE

1. Introduction

AusAID will undertake a review of the regional Sanitary and Phytosanitary Capacity Building Program (SPSCBP) commencing March 2008. The review team will visit the program key informants in Canberra as well as a sample of countries participating in the program: Indonesia, Lao PDR, Burma and Thailand.

The aims of the Mid-Term Review are to:

- Review overall program efficiency of project management and implementation efficiency.
- Assess the effectiveness against objectives including the quality of outputs and progress towards achieving component objectives and the program purpose.
- Assess the sustainability of outcomes, the appropriateness of the programs current sustainability strategy and make recommendations for enhancing sustainability.
- Consider SPSCBP relationships with associated activities and their strategic implications given broader developments in aid for trade initiatives within the ASEAN region.

2. Background

Developing countries recognise the benefits of trade liberalisation, as promoted by the WTO Doha agreement (2001) but also have concerns about the potential costs of adapting to global competition and the complexity of the WTO and its associated rules. The efforts of developing countries in Southeast Asia to pursue exports for agricultural commodities are constrained by significant limitations on regional Sanitary and Phytosanitary (SPS) capacities. Improvements in regional SPS capacities are an essential foundation to describe and manage plant and animal pest and disease status, promote regional trade, enhance economic growth, and facilitate a reduction in poverty. ASEAN countries have highlighted the issue of building regional SPS capacities, particularly in the context of the AFTA-CER Closer Economic Partnership (CEP).

Australia agreed to provide technical assistance to developing country members in relation to SPS measures under the WTO SPS Agreement. In September 2001, the Australian Minister for Trade, Mr Vaile, announced Australia's intention to support a regional SPS Capacity Building Program.

The SPSCBP was included in the work program for the AFTA-CER CEP, and is intended to build regional cooperation in SPS matters; strengthen quarantine capacities; and build the technical, scientific and managerial capacities of regional and national organisations responsible for managing SPS matters within the ASEAN region.

After consulting with Australia's quarantine agencies, AusAID engaged a consultant, in March 2002, to summarise the overall SPS situation in South East Asia, and consider the relevance of SPS matters in regional economic and social development.

In mid 2002, an SPS Prefeasibility Study was undertaken in Thailand, Malaysia, Philippines, Indonesia, Myanmar, Lao PDR, Cambodia and Vietnam. The Pre-Feasibility Report was finalised in December 2002. A Peer Review of the Report was conducted in March 2003 that concluded the final design should have a strong trade focus, incorporate upstream level activities rather than local and farm level activities, and have a strong regional flavour.

In July 2003, AusAID engaged a team to assess the feasibility of a regional SPS capacity building program; and prepare a detailed and fully-costed program design. Following preparation and briefing in Canberra the team completed a 3.5 week mission to Malaysia, the

Philippines and Thailand meeting with representatives from a number of government agricultural, livestock, trade, planning and quarantine agencies, along with academic and research organisations, various donors and AusAID country offices. The team facilitated a program design workshop in Bangkok with participants from eight ASEAN countries.

Two important outcomes of the design workshops, were the need for promoting the SPS-trade linkages within agricultural and trade ministries, planning agencies and the private sector and the appreciation that the SPS CBP would have to establish linkages with various ASEAN bodies and donors, to avoid duplication and ensure complementarity.

On 3 September 2003 the design team prepared and submitted a draft Program Design Document (PDD) and presented the design to AusAID in Canberra. A final PDD (20 October 2003) was submitted after incorporating comments and suggestions from AusAID and other parties.

AusAID provided $3.9million to the contractor, the Australian Department of Agriculture Forestry & Fisheries (DAFF), to implement this program over November 2004 to June 2009.

The Goal of the program is to enhance the capacity of the ASEAN focal countries to meet international SPS standards consistent with the WTO SPS Agreement.

The Purpose of the program is to expand the capability of ASEAN focal countries to identify, classify and manage animal and plant health and to implement SPS measures consistent with international standards and the expectations of trading partners.

3. Components and Component Objectives:

1. SPS Trade linkages - To increase the understanding of and support for SPS issues by ASEAN focal countries
2. Plant Health - To build capacity for constructing national pest lists and undertaking pest risk analysis
3. Animal Health - To strengthen regional capacity in SPS measures to control transboundary animal diseases.
4. Program Management - To manage the Program effectively and efficiently.

The Beneficiaries of this program are Indonesia, Thailand, the Philippines, Cambodia, Lao PDR, Vietnam and Myanmar, which are each at different stages of accession to the WTO. Malaysia is actively involved in regional SPS initiatives and has expertise and training facilities that play a key role in the Program. Singapore and Brunei also participate at their own expense.

During May 2007 the SPSCB program participated in a Regional Programs Monitoring and Evaluation panel in Bangkok. This panel identified three key areas for further program development and review, these were; M&E strengthening, sustainability and program linkages. SPSCBP has multiple linkages with related programs which may provide opportunities through further coordination for greater synergies. (See Annex 1)

4. Scope of the Assignment

The review team will undertake the following tasks:

1. Assess the appropriateness of the Project design, internal logic between outputs, outcome and impacts, structures for implementation, and resource use at the time of project implementation and for the remainder of the project.
2. Review and comment on quality of the project deliverables, including training, and the progress towards achieving the stated outputs and objectives for each component and for the program purpose including outcomes on gender and the environment.
3. Assess overall efficiency and effectiveness of project management and implementation including management team, priority setting, monitoring and evaluation system, reporting, risk management, problem solving, continuous

improvement and influence on partner government monitoring and evaluation systems.

4. Assess the project's contribution to expanding the capability of ASEAN focal countries to describe and manage animal and plant health and implement SPS measures consistent with international standards and the expectations of trading partners.
5. Identify key elements/lessons emerging from the project that can be utilised in other SPS-related programs.
6. Assess the need for and potential contribution of Australia support for any future SPS-related activities given the development of new program support for Aid for Trade activities in the region.
7. Assess the quality of relationships among stakeholders, related programs including those focussed animal human interface, linkages with other donors, and the coordination and appropriateness of institutional and organisational arrangements.
8. Assess the sustainability of outcomes including training and mentoring as well as appropriateness of sustainability strategy including; the support of partner governments (PG) including the likelihood provision of PG inputs, as well as recommendations for enhancing sustainability.
9. The relevance of the current SPSCB program, the need for further SPS activities, design cognizant of infrastructure, the potential form of such activities and DAFF's role in future initiatives.
10. Identify other key linkages and related programs that would important to consider in future planning including increasing 'whole of government' cooperation.

5. Duration and Phasing

The review team will commence work on 17 March 2008 with a Document Review. The Review team will distribute the first draft of the Midterm Review Report by 14 April 2008. A final report incorporating feedback from key stakeholders will be submitted to AusAID by 25 April 2008.

The phasing of the review will include desk study (3 days), then an AusAID briefing and meeting with DAFF team in Canberra (3 days) 10-12 March 2008.

The review team will visit a sample of the country beneficiaries of this program; Indonesia, Thailand, the Lao PDR and Myanmar. The distinctive role of Malaysia in supporting the program should also be captured to augment the data collected. In addition it would be valuable to consult the ASEAN secretariat to discuss whether ASEAN could play a broader coordination role or provide institutional home.

The following tables provide an indicative schedule of tasks asks and their timing.

Document Review

Tasks	**Duration & Place**
In liaison with the AusAID Program manager, the SPS Specialist and the Monitoring & Evaluation Specialist will: Review Key Documents and relevant background studies Develop a Methodology for the Mid-Term Review Develop a Draft Survey/Questionnaire for SPSCB Country Focal Points Based on desk study, prepare a concise Draft Background Briefing Document describing background and key issues for discussion for dissemination to participating agencies Prepare a Draft PPT presentation on MTR process for presentation at meetings	Desk (3 Days) 10-12/03/2008

In-Country Tasks

Tasks	**Duration & Place**
Travel from Washington to Canberra	Travel 16/03/08
Meet with AusAID Canberra for mission briefing including Australian policies, priorities and focus of the review, reporting expectations; and AusAID's Plant & Animal Health initiatives Meet with DAFF – SPSCB Program Management Team: Overview of SPSCB progress - achievements, issues and barriers consider potential to strengthen or expand the work of the program Finalise the Review Methodology, Background Briefing Document and Survey/Questionnaire. Send Survey/Questionnaire and Background Briefing Document document with key issues for discussion to Country Focal Points and other scheduled interviewees Finalise and distribute survey for SPSCB Country Focal Points Prepare PPT presentation of Mid-Term Review process for meetings with Country Focal Points and other key informants Meet with SPS key informants in Canberra including (but not limited to) representatives of UniQuest International Projects, RMIT Global Business Development, Science director NZAID, AusVet and Australian Centre for International Agricultural Research	Canberra 17-19/03/2008
Canberra to Jakarta	Travel 20/03/08
Meetings with AusAID Jakarta Post and DAFF Posted officer Meeting with ASEAN Secretariat Indonesian Country Focal Points	 Jakarta 21-24/03/08

Tasks	**Duration & Place**
Meetings with Participants of study tours and training Debriefing and Documentation Prepare outline & format for Mid-Term Review Report	
Travel from Jakarta to Vientiane via Bangkok	Travel 25/03/08
Meetings with AusAID Vientiane Post Meetings with Laotian Plant & Animal CFP representatives Meetings with Participants of study tours and training Debriefing and Documentation	 Vientiane 26-27/03/08
Travel from Vientiane to Rangoon via Bangkok Meetings with Briefing with AusAID Rangoon Meetings with Burmese Plant & Animal CFP representatives Meetings with Participants of study tours and training Debriefing and documentation Preliminary drafting of sections of report i.e. background, methodology	 Travel 28-31/03/08
Travel from Rangoon to Bangkok Meeting with DAFF Counsellor at Post Meetings with Multi-laterals, and related programs e.g. OIESEAFMD, FAO Meetings with SPSCB Thai CFP representative Meetings with Participants of SPSCB study tours and training Debriefing and documentation Drafting Aide Memoire Presentation of Aide Memoire to Minister Counsellor AusAID Bangkok	 Bangkok 1-3/04/08
Travel from Bangkok to Washington Travel from Bangkok to Canberra	Travel 04/03/08

Report Writing (7 Days)

Write 1st Draft Mid-Term Review Report Email 1st Draft MTR Report to CFPs and other key stakeholders	Desk (3 Days) 7-9/04/08
Key Stakeholders to provide feedback on Draft Mid-Term Review Report	10-18/04/08 (9 Days)
Write Penultimate Draft incorporating feedback from key stakeholders Email submission of Penultimate Draft to AusAID	Desk (3 Days) 21-23//04/08
Final editing of Mid-term Review Report and submission of Final Report to AusAID	Desk (1 Days) 30/04/08

6. Specification of the review team

The Review Team will include the following team members:

The Team Leader (Monitoring and Evaluation Specialist) will be responsible for the overall management and coordination of the review and the writing of the Draft Mid-Term Review Report. She/he will have primary responsibility for the completion and delivery of the Final Mid-Term Review Report in a timely manner. She/he will be a Monitoring and Evaluation Specialist and possess the following skills:

- Strong experience in international development;
- Monitoring and evaluation skills;
- Education/training assessment skills;
- A strong background in project management, review and evaluation;
- Demonstrated understanding of delivery training programs in developing country situations using adult learning principles;
- Familiarity with delivering and assessing the effectiveness of training and broader capacity building activities;
- A high standard of report writing and oral communication skills;
- Good understanding of AusAID systems and processes; and
- Excellent interpersonal and representational skills.

The SPS Specialist will be responsible to develop appropriate methods for the review that ensure transparent and impartial assessment of quality of the technical aspects within the program with respect to the objectives implementation and outcomes. She/he will also co-write the Draft Mid-Term Review Report. She/he will possess the following skills:

- High academic qualification in relevant fields such as international trade, agriculture, phytosanitation.
- Strong experience in international development;
- Familiarity with the SPS agenda in Southeast Asia;
- Experience with the development and implementation of public policy;
- Experience in trade related capacity building activities in developing countries or another area closely related to the Project's area of focus;
- A high standard of report writing and oral communication skills;
- Good understanding of AusAID systems and processes; and

- Excellent interpersonal and representational skills.

Regional Program Manager, Bangkok Post will facilitate the Review Teams overall tasks, provide information relating to the project's role in providing a foundation on which to build future aid for trade engagement and assist in development of appropriate options for future directions in aid for trade in keeping with new Asia Regional Strategy.

AusAID Desk Representative will contribute to the review process providing information AusAID's policies, priorities relating to Plant and Animal Health initiatives, the White Paper on AID, the new Asia Regional Strategy and aid for trade engagement.

SPS Country Focal Point representatives will contribute to the Team Leader's overall tasks and contribute to the initial researching and writing aspects of the Review report relating in country SPSCB activities.

DAFF officers posted in ASEAN countries as well as those Canberra based DAFF officers who have direct responsibilities for SPS in ASEAN countries should also be approached invited to contribute their views on the objectives of the mid term review.

7. Reporting requirements

At the conclusion of the review mission, the team will have produced:

1. Key discussion issues and background paper which will summarise the context for discussion and review methodology based on desk study. It will be provided prior to departure of review mission allowing sufficient time to include feedback from survey of country focal points. In developing this report the review team will be required to provide the following:
   - A discussion of key evaluation questions to be answered; and
   - A survey/questionnaire which ensures consistent questioning of key stakeholders and answering of those questions.
   - Methodology and program schedule
2. An Aide Memoire: A succinct report will provide a brief and clear summary of the review process, highlighting significant issues reporting on the mission's findings and recommendations.
3. The first Draft of the Mid-Term Review Report: The review report should be a brief and clear summary of the mission findings and recommendations. It should incorporate stakeholder comments and provide information relevant to the remainder of the Project's life and post-Project opportunities. The report should be a maximum of 25 pages plus annexes. This would include; a 1-2 page executive summary, report body with purpose, methodology, an overview of progress and quality of outputs, contribution to higher order objectives, key findings, lessons learnt, conclusions and recommendations. Program background and supporting information should be appended as numbered annexes.
4. A final version of the review report: a Final Mid-Term Review Report following report format in the back of AusGUIDEline 4.6 to be delivered after receipt of AusAID comments on the draft report and no later than the date for submission to AusAID as specified in the Terms of Reference.

Attachment 2 – Itinerary and list of persons consulted

Name	Gender	Agency	Position
Canberra – 17th March			
Julie Delforce	F	AusAID, Canberra	Director, Asia Transboundary Section
Joanne Ronalds	F	AusAID, Canberra	East Asia Regional Section
Janet Donelly	F	AusAID, Canberra	Manager, APEC and Trade Policy
Steven Kaleb	M	AusAID, Canberra	PSLP & AADCP
Dr Ian Naumann	M	Australian Department of Agriculture, Fisheries and Forestry (DAFF)	Director, SPSCB Program, Office of the Chief Plant Protection Officer,
Wendy Lee	F	DAFF	SPSCB Program coordinator
Chantelle Boland	F	DAFF	Intern, SPSCBP
Dr Zamir Hossain	M	DAFF	SPSCB Program, Project Officer
Dr Ben Mullen	M	UniQuest International Projects	Deputy General Manager, Agriculture and Natural Resources
Dr Graeme Evans	M	UniQuest International Projects	Technical director NZAID
Dr Wendy Morgan	F	RMIT - Global Business	Project Director, Strengthening ASEAN Plant Health Capacity Project
Canberra – 18th March			
Dr Ian Naumann	M	Australian Department of Agriculture, Fisheries and Forestry (DAFF)	Director, SPS Capacity Building Program, Office of the Chief Plant Protection Officer
Wendy Lee	F	DAFF	Program Coordinator, SPS Capacity Building Program, Office of the Chief Plant Protection Officer
Chantelle Boland	F	DAFF	Intern, SPS Capacity Building Program, Office of the Chief Plant Protection Officer
Dr Zamir Hossain	M	DAFF	Project Officer, SPS Capacity Building Program, Office of 0the Chief Plant Protection Officer
Lois Ransom	F	DAFF	Chief Plant Protection Officer
Dr Peter Black	M	DAFF	Principal Research Scientist, Office of the Chief Veterinary Officer
Joanna Hamilton	F	DAFF	A/G Manager, SPS Section, Multilateral Trade Branch, International Division
Emma Lumb	F	Department of Environment and Water Resources	Senior Project Officer, Sharks and Seals Section, Migratory and Marine Biodiversity. (former Program Coordinator, SPS Capacity Building Program)
Canberra – 19th March			
Russell Rollason	M	AusAID, Canberra	Program Manager, Mekong Subregion Program
Peter van Diermen	M	AusAID, Canberra	Senior Economic Adviser
Ian Kershaw	M	AusAID, Canberra	Rural Development Advisor
Jakarta – 24th March			
Ade Tunus	F	Center for Plant Quarantine, Indonesia	Quarantine Officer
Arfany Bastony	M	Agriculture Quarantine	Director, Animal Quarantine

Name	Gender	Agency	Position
		Agency Office	
Dr. Catur Putra Budiman	M	Center of Standard Testing of Agriculture Quarantine, Indonesia	
Dwi Sugipriatini	M	Plant Quarantine Division for Export, Indonesia	Head of Plant Quarantine Division for Export
Eliza Rushi	F	Center for Plant Quarantine, Indonesia	Head of Standard Laboratory of Plant Quarantine
Endang Winarmi	F	Inspection of Tanjung Priog Sea Port	
Keonfpro Soelestiyono	M	Inspection of Tanjung Priog Sea Port	
Riza Desnurvia	F	Center of Standard Testing of Agriculture Quarantine, Indonesia	Deputy Technical Manager of Laboratory
Sawanda	M	Center for Plant Quarantine, Indonesia	
Dr. Syukur Iwantoro,	M	Agency for Agricultural Quarantine	Director General
Tri Wahyuni	F	Quarantine Cooperation Sub-Division, Indonesia	Head of Quarantine Cooperation Sub-Division
Yani Dawy	F	Center of Standard Testing of Agriculture Quarantine, Indonesia	Entomologist
Yudiarto Sarsono	M	Barantan	
Robin Taylor	M	AusAID, Indonesia	Counsellor, Australia Indonesia Partnership for Reconstruction & Development
Jessica Hoverman	F	AusAID, Jakarta Post, Australian Embassy	Asia Regional Coordinator
Dr. John Ackerman	M	DAFF, Australian Embassy, Jakarta	Counsellor (Agriculture)
Jakarta – 25th March			
Suriyan Vicitlekarn	M	The ASEAN (Association of Southeast Asian Nations) Secretariat	Senior Officer, Natural resources Unit, Bureau of Economic Integration and Finance
Htain Lin	M	The ASEAN (Association of Southeast Asian Nations) Secretariat	Senior Officer, Natural resources Unit, Bureau of Economic Integration and Finance
Jessica Hoverman	F	AusAID, Jakarta Post, Australian Embassy	Asia Regional Coordinator
Vientianne – 26th March			
Viravanh Phannourath	M	Department of Agriculture, Ministry of Agriculture and Forestry, Lao PDR	Director General
Dr. Phaydy Phiaxaysarakham	M	Plant Quarantine Division, Department of Agriculture, Ministry of Agriculture and Forestry, Lao PDR	Director
Dr. Sounthone Vongthilath	M	Department of Livestock and Fisheries, Ministry of Agriculture and Forestry, Lao PDR	Senior Technical Officer
Viengphet Vansilalom	F	Department of Agriculture, Ministry of Agriculture and Forestry, Lao PDR	Deputy Director of Regulatory Division
Vientianne – 27th March			
Pheophanh Soysouvanh	F	Plant Protection Center,	Technician entomologist,

Name	Gender	Agency	Position
		Ministry of Agriculture and Forestry, Lao PDR	Entomology laboratory
Khonsavanh Chittalat	F	Plant Protection Center, Ministry of Agriculture and Forestry, Lao PDR	Technician pathologist, Pathology laboratory
Vientianne – 28th March			
Warren Hoye	M	AusAID, Lao PDR Post	Regional Program Manager
Phanthakone Champasith	M	AusAID, Lao PDR Post	Regional Program Manager
Phnom Pehn – 31th March			
Dr. Hean Vanhan	M	Department Agronomy and Agricultural Land Improvement (DAALI), Cambodia	Deputy Director
Dy Sam An	M	DAALI, Cambodia	Vice Chief
Uch Sothy	M	DAALI, Cambodia	Officer
Sar Chanthy	M	DAALI, Cambodia	Officer
Kang Sareth	M	DAALI, Cambodia	Officer
Oum Sophen	M	DAALI, Cambodia	Officer
So Thavrith	M	DAALI, Cambodia	Officer
Chhin Sovandeth	M	DAALI, Cambodia	Officer
Nhep Chan	M	DAALI, Cambodia	Officer
Lorn Socheata	M	DAALI, Cambodia	Officer
Dr. Suon Sothoeun	M	Department of Animal Health and Production, Cambodia	
Dr. Nget Kiry	M	National Veterinary Research Institute, Department of Animal Health and Production, Cambodia	Vice Chief of Epidemiology Unit
Vuthy Hean	M	AusAID, Cambodia Post	Regional Program Manager
Bangkok – 1st April			
Dr. Ronello Abila,	M	OIE Southeast Asia Foot and Mouth Disease Campaign	Regional Coordinator
Dr. Polly Cocks	F	OIE SEA FMD Campaign	Research Officer
Dr Tati Satya Putri Naipospos	F	OIE SEA FMD Campaign	Regional Consultant
Bangkok – 2nd April			
Sirinee Poonchaisri	F	Plant Protection Research and Development Office (PPRD), Department of Agriculture (DOA), Thailand	Entomologist
Chalida Unahawutti	F	PPRD Office DOA, Thailand	Entomologist
Luekana Bumroongsri	F	PPRD Office DOA, Thailand	Entomologist
Srisuk Poonpoglue	F	PPRD Office DOA, Thailand	Plant Pathologist
Oraphun Wisessang	F	PPRD Office DOA, Thailand	Plant Pathologist
Dr Pornpimon Athipunyakom	F	PPRD Office DOA, Thailand	Plant Pathologist
Peerawan Patanavipart	F	PPRD Office DOA, Thailand	Plant Pathologist
Yuvarin Boontop	F	PPRD Office DOA,	Entomologist

Name	Gender	Agency	Position
		Thailand	
Dr Linda Corner	F	Australian Embassy Bangkok	DAFF Counsellor
Julia Landford	F	AusAID Bangkok Post	Manager Emerging Infectious Diseases Program, AusAID Bangkok
Royce Escolar	M	AusAID Bangkok Post	Regional Program Manager, Emerging Infectious Diseases Program
Bangkok – 3rd April			
Somchai Charnnarongkul	M	Ministry of Agriculture and Cooperatives	Inspector General, Office of the Permanent Secretary
Pornpiroon Chinson	M	Department Livestock Development	Veterinary Officer
Choompon Bunrod	M	Loburi Provincial Livestock	Veterinary Officer
Tammawan Hnunthaisong	F	Department Livestock Development	Veterinary Officer
Natthaporn Uthaimongkol	F	Plant quarantine Research Group, Plant Protection Research and Development Office	Senior Agricultural Scientist
Preyapan Pongsapich	F	Department of Agriculture	Agricultural Scientist
Praiya Savetjindo	F	National Bureau of Agriculture, Commodities and Food Standards	Policy and Planning Analyst
Krissana Salchumparnich	F	Department of Fisheries	Food Technologist
Kattaporn Poopej	F	Department Livestock Development	Veterinary Officer
Phillippe Allen	M	AusAID, Bangkok Post	Minister Counsellor - Development Cooperation

Attachment 3 – List of reference documents

Regional Strategy Documents and Program Design

'Asia Regional Program – Animal and Plant Health Program – Prefeasibility Study', December 2002, AusAID

'Greater Mekong Sub-Region – Australia's Strategy to Promote and Integration and Cooperation 2007-11', September 2007, AusAID

'Sanitary and Phytosanitary Capacity Building Program – Program Design Document', 20th October 2003, AusAID

Reports from the Managing Contractor – the Australian Department of Agriculture, Fisheries and Forestry

'SPS Capacity Building Program – Annual Plan 2006-07', 21st August 2006, AusAID and Australian Department of Agriculture, Fisheries and Forestry

'SPS Capacity Building Program – Annual Plan 2007-08', 15th June 2007, AusAID and Australian Department of Agriculture, Fisheries and Forestry

'SPS Capacity Building Program - Annual Report 2006-07 – Program Success against M&E Framework', Dr. Ian Naumann, Australian Department of Agriculture, Fisheries and Forestry

'SPS Capacity Building Program – Annual Report to AusAID – July 2006 to June 2007', June 2007, Dr. Ian Naumann and Ms. Emma Lumb, Australian Department of Agriculture, Fisheries and Forestry

'SPS Capacity Building Program – Program Success against M&E Framework – Report to February 2008', March 2008, Dr. Ian Naumann, Australian Department of Agriculture, Fisheries and Forestry

'SPS Capacity Building Program – Report to AusAID – July 2006 to October 2006', October 2006, Australian Department of Agriculture, Fisheries and Forestry

'SPS Capacity Building Program – Report to AusAID – July 2007 to February 2008', March 2008, Dr. Ian Naumann and Ms Wendy Lee, Australian Department of Agriculture, Fisheries and Forestry

AusAID Assessments

'Comments on SPSCBP Six-monthly Progress Report to AusAID (dated 24th January 2006)', March 2006, Sutthana Vichitranda (AusAID Activity Manager)

'M&E Quality Frame Assessment', undated, no author

'Quality at Implementation Report', April 2007, Michael Cole (AusAID)

Country reports/documents

'Action Plan for SPS Management Capacity Building in Lao People's Democratic Republic', December 2005, World Bank

'Food Safety and Agricultural Health Management in CIS Countries, Completing the Transition.' 2007, Washington DC: World Bank

'Lao People's Democratic Republic: Sanitary and Phytosanitary Standards Management, Action Plan for Capacity Building.' 2006, Washington D.C.: World Bank

'Perjanjian Sanitary & Phytosanitary Measures', Barantan, SPS National Enquiry Point, Departemen Pertanian, 2006, Indonesia

'Report on the SPS Issues – Lao People's Democratic Republic', undated, Cornelius Vander Meer and Laura Ignacio, ARD World Bank

"Needs Assessment in Taxonomy and Biosystematics for Plant Pathogenic Organisms in Countries of South East Asia". 2002. Evans, Graeme, Keng Yeang Lum and Leane Murdoch, February Canberra: AusAID

"Needs Assessment in Taxonomy of Arthropod Pests of Plants in Countries of South East Asia: Biosystematics, Collection and Information Management", September 2002, Naumann, Iain D. and M. Md Jusoh, AusAID, Canberra

"Overview of SPS-related assistance for Cambodia, Lao People's Democratic Republic and Vietnam (2001-06)." 2007, Ignacio, L. Paper prepared for the Standards Trade Development Facility workshop in the Aid for Trade for Asia event, Manila, September 19-20, 2007

"SPS Capacity Building Needs Assessments and Compliance Studies, 2001-2006, Cambodia, Lao PDR and Vietnam." 2007, Van der Meer, Kees, Paper prepared for the Standards Trade Development Facility workshop in the Aid for Trade for Asia event, Manila, September 19-20, 2007.

Individual Country Reports, undated, no author

Monitoring and Evaluation Documents

'SPS Capacity Building Program – Evaluation Plan', September 2007, Emma Lumb, Australian Department of Agriculture, Fisheries and Forestry

'SPS Capacity Building Program - M&E Quality Assurance Review', Powerpoint presentation, May 2007, Dr. Ian Naumann and Emma Lumb, Australian Department of Agriculture, Fisheries and Forestry

'SPS Capacity Building Program – Risk Management Plan', undated, no author

'SPS Capacity Building Program Monitoring & Evaluation Framework', undated, no author

Workshop / meeting reports

'ASEAN Country Focal Points Meeting on 2006-07 SPSCBP Operational Plan – Meeting Outcome Summary', August 2006, Australian Department of Agriculture, Fisheries and Forestry

'SPSCBP – Role of Country Focal Points', 23 August 2006, letter from Dr. Ian Naumann, Australian Department of Agriculture, Fisheries and Forestry

'Workshop on Diagnostics of Plant Pathogenic Fungi in Bangkok', Jan-Feb 2007, Roger Shivas

'Workshop on Plan Disease Specimen Preservation, Curation and Data Management in Bangkok', January 2007, Shivas, Roger

Other Related Activities/Programs

'Activity Completion Report – Building Pest Diagnostic Capacity to Underpin Agricultural Exports – PSLP', Ian Naumann, Australian Department of Agriculture, Fisheries and Forestry

'Activity Details Proposal Form for Public Sector Linkages Program – Thailand (for March 07 to April 08)', Ian Naumann, Australian Department of Agriculture, Fisheries and Forestry

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'Activity Details Proposal Form for Public Sector Linkages Program – Building National Pest Lists to Underpin Agricultural Exports - Philippines (for May 05 to April 06)', Nuara Khir, Australian Department of Agriculture, Fisheries and Forestry

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Attachment 4 – Briefing Document for in-country visits

Mid-term Review of the AusAID funded

Regional Sanitary and Phyosanitary Capacity Building Program (SPSCBP)

Objectives – Why?

The mid-term review of the SPSPCBP aims to:

1. Assess the relevance, efficiency, effectiveness and impact of the SPSCBP to date
2. Provide advice to AusAID and the implementing agency (Department of Agriculture, Fisheries and Forestry) relevant to maximising benefits during the last year of program implementation; and
3. Provide advice to AusAID on options for possible future strategic support to SPS capacity building in the region

Scope – What?

The focus of the review will therefore be on:

1. Reviewing overall program efficiency of project management and implementation.
2. Assessing program effectiveness against objectives including the quality of outputs and progress towards achieving component objectives and for the program purpose.
3. Assessing the sustainability of outcomes, the appropriateness of the programs current sustainability strategy and make recommendations for enhancing sustainability.
4. Considering SPSCBP relationships with associated activities and their strategic implications given broader developments in aid for trade initiatives within the ASEAN region.

Method – How?

The review mission will:

- Review all available relevant documents
- Hold discussions with Government of Australia stakeholders (namely AusAID and DAFF)
- Administer a web-based questionnaire for all Country Focal Points and for a selection of SPSCBP workshop/training participants
- Conduct an in-country mission to discuss the SPSCBP with stakeholders in Indonesia, Laos, Burma and Thailand
- Prepare a first draft mid-term review report and submit (by April 9th) to Country Focal Points, AusAID and DAFF for comment (to be received by April 18th)
- Prepare a draft final mid-term review report and submit to AusAID by April 28th; and
- Undertake any final editing and submit a final report to AusAID by April 30th.

Key discussion points

Key points for discussion with SPSCB stakeholders will include:

1. Program Design

- *E.g. quality of design, stakeholder input during program preparation, stakeholder understanding of content, continued relevance to need*

2. Quality of training/workshops, studies and informational materials delivered to date

- *E.g. selection of participants, quality and technical level of workshop content/materials, relevance to needs in the workplace, effectiveness of training methods, quality of trainers, follow-up on training (e.g. mentoring), evaluation of training outcomes and quality of case studies/research and publications provided*

3. Capacity building results achieved to date

- *E.g. regional capacity to deliver SPS-related training activities, capability to describe and manage animal and plant health, capability to implement SPS measures consistent with international standards and expectations of trading partners, capacity for constructing national pest lists and undertaking pest risk analysis, strengthened regional capacity in SPS measures to control trans-boundary animal diseases, and enhanced regional networking/information exchange between SPS related organisations*

4. Impact to date

- *E.g. capacity of ASEAN countries to meet international SPS standards consistent with the WTO, contribution to exports/trade opportunities, contribution to reducing risk of plant pests and or animal diseases and links/contribution to poverty reduction, sustainability of benefits*

5. Program coordination and management

- *E.g. timely delivery of activities and inputs, stakeholder access to relevant and timely information (transparency and accountability), stakeholder engagement in priority setting and activity planning and coordination with other donors*

6. Issues to be addressed during final year of program implementation

- *E.g. changes that should be made to the program design or the planned work program for the final year of implementation*

7. Strategic considerations regarding any future AusAID support to SPS capacity building in the region

E.g. lessons learned and Recommendations

Attachment 5 – Web-based survey results

The survey questionnaire form can be viewed 'live' at:

http://www.surveymonkey.com/s.aspx?sm=sopzDkGiPJBKXZxsNxI3QA_3d_3d

Introduction

Dear Colleague
This questionnaire has been prepared to support the mid-term review of the AusAID funded 'Sanitary and Phytosanitary Capacity Building Program' (SPSCBP). The questionnaire is designed to get feedback from key stakeholders on their satisfaction with the support provided through the SPSCBP. The information will be used to help assess what is working well and what might need to be modified or improved.

The questionnaire should take you no more than 30 minutes to complete. It consists of 32 questions, most of which are 'tick-box' responses which ask you to agree or disagree (more or less strongly) with a set of statements about the SPSCB program. The questionnaire also gives you the opportunity to provide narrative comment/explanation (comment is not mandatory, but will be particularly useful to us when you strongly agree or disagree with something).

Once you have completed the questionnaire, simply click the 'Done' button (at the end of page 5) and your response will be automotically sent to us.

All individual responses will be kept confidential, so please provide your honest opinion.

WE WOULD REQUEST THAT YOU PLEASE PROVIDE YOUR RESPONSE BY FRIDAY 28 MARCH 2008 AT THE LATEST.

If you have any questions or concerns about how to complete the questionnaire - please email Jonathan@consultpdm.com for assistance.

Many thanks for your help!

Summary overview of survey results

- The questionnaire was sent out to Country Focal Points, asking them to forward the web-link to workshop/training participants from their respective countries. In theory, there could have been a total of some 260 respondents. Only a total of 48 responded, of which only 4 identified themselves as Country Focal Points.[39]
- Only 1 respondent identified him/herself as a manager or specialist with a focus on animal health issues, as opposed to 33 who identified themselves as focusing on plant health issues. This would seem to reflect the greater engagement by the program with plant health specialists.
- The rating responses provided by respondents are overwhelmingly positive. This reflects general satisfaction with the training and other services being provided.
- Nevertheless, 75% of respondents thought that their countries needed more capacity building support than just training.
- While the rating responses are overwhelmingly positive, the narrative comments do highlight some concerns about the short duration of training, the generic nature of training, ability to apply skills back in the workplace, and country participation in the planning process.
- The responses to the web-based questionnaire support the view of the MTR team that the technical training has been generally well organised and professionally delivered. However, the MTR team are far more sceptical about the capacity building results that the program is likely to deliver, and the likely sustainability of benefits. Face to face interviews conducted during field visits also revealed some similar concerns, particularly among more senior managers (rather than the technical specialists who had attended training).

[39] This relatively low response rate is not particularly surprising, given that not all CFPs would have received and/or distributed the survey web-link in a timely manner, many workshop/training participants would not have easy access to the internet, and (on reflection) the survey form is probably a little to long and complex.

Summary of survey results for each question

1. Please indicate your professional background and/or current work responsibilities. Please also indicate if you are a designated Country Focal Point for the SPSCB program.	Response Percent	Response Count
Manager or specialist with focus on animal health	2.2%	1
Manager or specialist with focus on plant health/quarantine	**71.7%**	**33**
Generalist in SPS / agricultural trade	2.2%	1
Other	19.6%	9
Country Focal Point for the SPSCBP	8.7%	4
answered question		**48**

Other

lecturer in entomology

Director General, Livestock Breeding & Veterinary Department, Ministry of Livestock & Fisheries, Union of Myanmar

trainee

on behalf of Dr. Segfredo R. Serrano, DA Undersecretary for Policy and Planning

Technical Senior Officer background on plant health and quarantine

Lecturer

instructor

Sr. Agriculturist responsible in the mass production and utilization of biological control agent.

Import and Export officer pertaining to plant health issues

Program Design

2. I am familiar with/understand the objectives and scope of the SPSCBP	Response Percent	Response Count
Fully agree	16.2%	6
Mostly agree	**73.0%**	**27**
Mostly disagree	8.1%	3
Strongly disagree	0.0%	0
Don't know	2.7%	1
answered question		37

Because I didn't participate in all of SPSCBP

it s long time ago, but i think it support capactiy buiding in ASEAN state and accession WTO

As CFP, we were involved with the conceptualization phase of the program, wherein the objectives and scope of the program were explained and discussed.

I attended two workshops carried out by the AADCP SPS Program. Therefore, I learned and understood the objectives and scope of SPS CBP during these wrokshops.

Because it is confused with other similar project i.g NZAID phyto in the Mekong region and AADCP

As country focal point, we were involved even during the program conceptualization phase where the objectives and scope were fully discussed.

Because it is confused with another AusAID and NZAID assistance.

I am understand some objectives and scope of he SPSCBP because I was training some workshops of program.

relate to my responsibility

I understand that SPSCB aimed to help developing country like the Philippines in managing our agricultural status and assists us in the implementation of SPS in accordance with international standards.

3. The program was prepared in full consultation with relevant authorities in my country	Response	Response

3. The program was prepared in full consultation with relevant authorities in my country		
	Percent	Count
Fully agree	26.3%	10
Mostly agree	**52.6%**	**20**
Mostly disagree	5.3%	2
Strongly disagree	0.0%	0
Don't know	15.8%	6
answered question		38

Vietnam is a WTO member, so the SPSCB program was prepared in full consultation with relevant authorities and being done through out the country.

yes, the relevant agencies of the Department of Agriculture, specifically those involved in SPS, were consulted.

THe Plant Protection Division is the NPPO of Myanamr, which is the relevant authority in my country for SPS Program.

Perhaps with another sector

Perhaps consultation is done with another sector.

as far as i know, there is a collaborative efforts between the DAFF SPSCB and the Govt. of the Phils.

4. The program design is appropriate to help meet some of my country's SPS capacity building needs		
	Response Percent	Response Count
Fully agree	24.3%	9
Mostly agree	**64.9%**	**24**
Mostly disagree	8.1%	3
Strongly disagree	0.0%	0
Don't know	2.7%	1
answered question		37

Vietnam is a developing country so our SPS capacity is limited

Some department is appropriate to this needs.

met some part such as diagnosis, but not many staff to be trained

Yes, the program covered elements (SPS-trade linkage, diagnostics and constructing national pest lists, measures to control trans-boundary animal diseases) which are essential building blocks to strengthening the SPS capability of the country.

The objectives of the workshop which I attended 'Promoting the development of National Disease Herbaria and Arthropod Pest Colection in ASEAN' helped to meet some of my country's SPS capacity building needs. It provided a lot of information on national disease herbaria and pest collection of ASEAN countries, sharing technologies and knowledge within workshop participants.

but we did not involve in the design, expert did alone.

The design was not distributed for careful study

With the training workshops SPSCB has provided for the participants, I believe that it has enhanced our capability especially in the Pest Risk Analysis workshop.

Delivery of workshops/training and provision of information

5. The training provided through the SPSCB program addresses high priority SPS topics for my country		
	Response Percent	Response Count
Fully agree	15.2%	5
Mostly agree	**72.7%**	**24**
Mostly disagree	3.0%	1
Strongly disagree	0.0%	0
Don't know	9.1%	3
answered question		33

It is difficult to implement, because there is no support for basic equipment

Some duplication because most of the courses that I have known train the SPS topics.

It is very helpful on basic information

We need more on SPS measures.

From the train- the trainer of PRA workshop, I was provided the lessons on the compling the pest list (high priority SPS topics for my country) which is very useful.

Increasing new knowledge with some extend

The trainings are really designed to enhance our individual capability.

6. Regional workshops are the best way to provide this kind of training		
	Response Percent	Response Count
Fully agree	36.4%	12
Mostly agree	**60.6%**	**20**
Mostly disagree	3.0%	1
Strongly disagree	0.0%	0
Don't know	0.0%	0
answered question		33

Regional workshops gave us opportunity to exchange experience and the other issues

It's in line with our country.

but the number of trainees is very limited

But less efficiency, because very limited number of participants

Regional workshops don't have enough instruments.

It definitely is.

7. Selection of workshop/training participants is generally appropriate and supports effective training		
	Response Percent	Response Count
Fully agree	29.4%	10
Mostly agree	**61.8%**	**21**
Mostly disagree	2.9%	1
Strongly disagree	0.0%	0
Don't know	5.9%	2
answered question		34

meet some part but no follow up, expanding the given training to each country

Because after training courses, those participants have done better in that field.

Depend on each country because they have different problems

It's relevant for our participants.

Almost all participants having done directly or indirectly SPS.

It's relevant for our participants.

The program observed quite a strict selection process since an official endorsement or nomination from the country's appropriate official alone does not guarantee automatic acceptance. It was observed that the program director also considers, aside from the nominee's technical qualifications and work responsibilities, previous or past trainings that a nominee has participated in and raises concern if there is a possible duplication of training.

Because Plant Protection Division is the NPPO of Myanmar and the staff of Plant Protection Division are generally appropriate for SPS trainings

I think the participants chosen were the ones deserving.

8. My country needs other forms of capacity building rather than just training workshops

	Response Percent	Response Count
Fully agree	23.5%	8
Mostly agree	**52.9%**	**18**
Mostly disagree	2.9%	1
Strongly disagree	5.9%	2
Don't know	14.7%	5
answered question		34

Need to see real situation to manage problem or study tour better,

Need software for managing pest database

In livestock sector SPS is in initial stage.

SPS diagnosis workshop conducted just 2 times (which distribute a good information) but too limited , could be long term training in specific area or training specifically in CLMV

Needs assessments, trainings alone are inadequate. Skills and knowhow gained from trainings, to be effectively applied, would also need capability building in terms of infrastructure support (e.g., lab and facilities upgrade.)

On-the-job training is also efficient

On-the-job training plus support of necessary equipment would be more effecient

Short term Attachment between countries needed.

Singapore is not an agriculture country: most of the plants here are imported ornamentals shrubs & tropical trees. However, SPSCBP has provided lots of useful training for plant health officers here, and with the knowledge & skills learned, we can make full use of them & improvise them for our plant pest surveillance & management projects.

Research capacity required

9. The training provided is at an appropriate technical level to the needs (and institutional capacity) of my country

	Response Percent	Response Count
Fully agree	15.2%	5
Mostly agree	**78.8%**	**26**
Mostly disagree	6.1%	2
Strongly disagree	0.0%	0
Don't know	0.0%	0
answered question		33

Sometime we want advanced training too

It's applied for us.

the facilitators show very good performance but some how ideas too broad or too many

but the number of specialist trained is limited

But investment is also needed

They were designed appropriately

10. Training/workshop are generally well organised and delivered in a timely manner		
	Response Percent	Response Count
Fully agree	37.5%	12
Mostly agree	**56.3%**	**18**
Mostly disagree	3.1%	1
Strongly disagree	0.0%	0
Don't know	3.1%	1
answered question		32

SPSCB Program organized in timely manner.

well organised, but time too limited for identification part

They are generally well organized but the duration is quite limited for ASEAN countries.

We would like training on specific quarantine pest about identification and isolation.

Training/workshops are well organized.

11. The training/workshops generally provide participants with information and skills which are directly applicable in the workplace		
	Response Percent	Response Count
Fully agree	25.8%	8
Mostly agree	**67.7%**	**21**
Mostly disagree	6.5%	2
Strongly disagree	0.0%	0
Don't know	0.0%	0
answered question		31

Not only directly but indirectly

but there is no equipment to work with

But in the workplace there is no appropriate equipment

Pest risk analysis, insect identification and preservation techniques were the trainings I attended.And they were highly applicable in my case because i am a member of the PRA team and I am also in charge of the insect /arthropod collections/identification in our station (PEQS).

12. Additional information provided through the SPSCB program (e.g. research reports, booklets, manuals, etc) is generally of high quality, useful and appropriately presented		
	Response Percent	Response Count
Fully agree	33.3%	11
Mostly agree	**54.5%**	**18**
Mostly disagree	9.1%	3
Strongly disagree	0.0%	0
Don't know	3.0%	1
answered question		33

I have had some document (e.g. booklets, manuals, etc.)and now they support me well in my job.

We want to know how to get information from other websites

It provided us updated knowledge.

not enough reference books

Especially, the documents provided from the Train-the Trainer of PRA workshop are really perfect.

received only one booklet on "Why you need to know..."

Still not yet provided

Especially the SPS booklet. it is highly recommended

13. Workshop/training participants effectively pass on information and materials (provided through the SPSCBP) to their colleagues

	Response Percent	Response Count
Fully agree	12.1%	4
Mostly agree	**63.6%**	**21**
Mostly disagree	18.2%	6
Strongly disagree	0.0%	0
Don't know	6.1%	2
answered question		33

The extent of effectively passing on information and materials is an internal function which hopefully gets the mandate and support of the superiors of the participants.

limited materials to pass on

In our case yes.

14. The quality of trainers is good in terms of both their technical knowledge and their training skills

	Response Percent	Response Count
Fully agree	**56.3%**	**18**
Mostly agree	34.4%	11
Mostly disagree	3.1%	1
Strongly disagree	0.0%	0
Don't know	6.3%	2
answered question		32

should change some trainers, or special person in each field (ex. plant insect nematode taxonomy etc.)

Good in quality of trainees.

They are expert already

Most of trainers is internationally recognized

They are really technically capable. They are knowledgeable in their field of expertise.

15. In summary, what do you think are the main strengths and weaknesses of the training/workshops provided through the SPSCB program?

	answered question	25

	Weaknesses
trainer, contain of training, documents	*training was short time*
Improve knowledge for participants	*The time for workshop is still short*
technical knowledge and training skill of the trainers	*Trainers*
provide neccesary information and skill to the participants	*sometimes the training/workshops are not suitable for my country situation.*
technical knowledge and training skills	*Training period*
Receipt of updated technology.	*too many topic in one workshop, time litit with diagnosis, not much reference books, no many equipment supply*
well organised, good trainers	*Some things learned in training are difficult to apply when participant returns to his own country*
Timely, trainers are credible, participative	*less practice and demonstration*
The SPS CBP, though not comprehensive , is focused.	*inadequate facility*

	Weaknesses
The workshops are well organized and mostly satisfied.	*More funding required*
too much theory	*time, place*
sufficient technical skill	*material and technical of identification of quarantine pests*
strong commitment	*Skill of English language*
the programe is very good	*language skill*
trainers, the quality of program	*The focus of the training/workshop may not be so suitable to my country as my country is not an agricultural country.*
trainers	*participants are not classified accdg to experience/technical background*
good surveillance techniques.	
experts be the trainers	
The contents of the workshop are concise and informative.	
techically capable trainers and organizers	
very comprehensive	

16. The support provided through the SPSCB program has resulted in, or is likely to result in, enhanced capacity of my agency/country to meet international SPS standards

	Response Percent	Response Count
Fully agree	17.9%	5
Mostly agree	**75.0%**	**21**
Mostly disagree	0.0%	0
Strongly disagree	0.0%	0
Don't know	7.1%	2
answered question		28

We're familiar with the SPS program.

Training/workshop made increase capacity to address plant health issues (surveillance, identification and curation of plant pests)

Should also be training on management

17. The support provided through the SPSCB program has resulted in, or is likely to result in, improved quality of SPS work/working methods in my country

	Response Percent	Response Count
Fully agree	16.7%	5
Mostly agree	**76.7%**	**23**
Mostly disagree	3.3%	1
Strongly disagree	0.0%	0
Don't know	3.3%	1
answered question		30

Acknowledgement of security and biosecurity enhanced

We gained the useful knowledge on the field of surveillance particularly.

To some extent

but it is so limited in scope

18. The support provided through the SPSCB program has resulted in, or is likely to result in, an increase in exports from my country and/or the region

	Response Percent	Response Count

18. The support provided through the SPSCB program has resulted in, or is likely to result in, an increase in exports from my country and/or the region		
Fully agree	6.7%	2
Mostly agree	**43.3%**	**13**
Mostly disagree	10.0%	3
Strongly disagree	3.3%	1
Don't know	36.7%	11
answered question		30

We can develop the database for FAO

So far, PRA is not well developed yet.

the program did not assist that area

My country still has problem about inspection and identification speciment of plants.

Singapore is one of the largest aquatic plant exporters in the world for freshwater aquarium. Plant parasitic nematodes & whiteflies problems were not in the SPSCB program, therefore, it is unlikely to increase our export.

although i'm not really sure. but yes , if they are really used in right way, it would.

19. The support provided through the SPSCB program has resulted in, or is likely to result in, reduced risk of plant pests		
	Response Percent	Response Count
Fully agree	13.3%	4
Mostly agree	**66.7%**	**20**
Mostly disagree	10.0%	3
Strongly disagree	3.3%	1
Don't know	6.7%	2
answered question		30

training program provided did not arrive the stage of PRA yet

Some programs are about reduced risk of plant pests.

The support provided through the SPSCB program helps create awareness in reducing the risk of plant pests infestations.

I sure it will. with increase in trade, we have to be vigilant. especially in PRA of imported plants/plant products.

20. The support provided through the SPSCB program has resulted in, or is likely to result in, reduced risk of animal diseases		
	Response Percent	Response Count
Fully agree	10.7%	3
Mostly agree	21.4%	6
Mostly disagree	0.0%	0
Strongly disagree	10.7%	3
Don't know	**57.1%**	**16**
answered question		28

We can apply SPS guideline.

animal health sector

I am a plant health officer, therefore don't know

21. The support provided through the SPSCB program has resulted in, or is likely to result in, benefits for the private sector

21. The support provided through the SPSCB program has resulted in, or is likely to result in, benefits for the private sector		
	Response Percent	Response Count
Fully agree	3.6%	1
Mostly agree	**42.9%**	**12**
Mostly disagree	14.3%	4
Strongly disagree	7.1%	2
Don't know	32.1%	9
answered question		28

there is no public awareness

In Singapore context, we are not exporting fruits & vegetables therefore no comment.

There will be benefits for private sector aswell

22. The support provided through the SPSCB program has resulted in, or is likely to result in, increased incomes for poor families involved in the agriculture/livestock sector		
	Response Percent	Response Count
Fully agree	7.1%	2
Mostly agree	28.6%	8
Mostly disagree	14.3%	4
Strongly disagree	10.7%	3
Don't know	**39.3%**	**11**
answered question		28

The knowledge we learnt is not directly related to increased incomes for poor families.

There is no research study evidence yet.

Possible increased incomes among poor families at the grass roots level

Again, in Singapore we are importing fruits & vegetables for local consumption, therefore no comment.

We hope so.

23. The support provided through the SPSCB program has resulted in, or is likely to result in, enhanced capacity of ASEAN regional networks to share samples and technical data		
	Response Percent	Response Count
Fully agree	20.0%	6
Mostly agree	**46.7%**	**14**
Mostly disagree	10.0%	3
Strongly disagree	0.0%	0
Don't know	23.3%	7
answered question		30

Actually enhanced the capacity of the ASEAN region

Among ASEAN countries members still has numerous gaps

I think it would. well trainees came from different ASEAN countries, so we have exchanged ideas and we have communication from time to time.

24. The SPSCB program is making a contribution to promoting gender equality		
	Response Percent	Response Count

24. The SPSCB program is making a contribution to promoting gender equality		
Fully agree	17.9%	5
Mostly agree	25.0%	7
Mostly disagree	7.1%	2
Strongly disagree	0.0%	0
Don't know	**50.0%**	**14**
answered question		28

There is no specific difference

In Myanmar, there is fully gender equality.

I believe there is no gender discrimination in the manner by which the program was administered.

No adequate research reference

25. The SPSCB program is making a contribution to promoting sound environmental practices		
	Response Percent	Response Count
Fully agree	13.3%	4
Mostly agree	36.7%	11
Mostly disagree	6.7%	2
Strongly disagree	3.3%	1
Don't know	**40.0%**	**12**
answered question		30

We're not familiar with the said practices

The objectives of workshops I attended are not likely related to the questions.

No adequate research reference

26. In summary, what do you think are the main benefits being provided through the SPSCB program?

ASEAN countries will get more knowledge

exportation, importation and stable agriculture

sharing samples and technical data among ASEAN countries

enhance capacity of my agency to meet the International SPS standards, support to the export of plant production, reduce pest risk

To increase incomes

Security and biosecurity for food safety.

1. Improvement of individual participant's capacity, 2. Share the knowledge and pass the information among colleagues.

improve a staff in diagnosis

Strengthen technical knowledge to Quarantine Officers

closer coordination and networking in the region as far as addressing plant and animal health concerns

Knowledges of international standards, technique methods for improving agricultural export and protecting of my country agriculture

Enhanced capacity of ASEAN regional networks to share samples and technical data

enhanced capacity of ASEAN regional networks to share samples technical and reduced risk of plant pests

Some workshops can support technique and skill for identification some pest.

Exchange knowledge about agricultural information

enhanced capacity of my agency

technical knowledge & technical skills

learn the specific technique and collaborate work between country

Create awareness, share knowledge and build rapport between countries.

Enhanced capability of the participants.

Program management, coordination and other issues

27. The annual planning process of the SPSCB program is well managed and involves adequate input from partipating countries		
	Response Percent	Response Count
Fully agree	10.7%	3
Mostly agree	**60.7%**	**17**
Mostly disagree	7.1%	2
Strongly disagree	0.0%	0
Don't know	21.4%	6
answered question		28

No adequate input from participating countries

It seems there is no such participation

28. SPSCB program activities (e.g. workshops/training and information provision) are efficiently managed		
	Response Percent	Response Count
Fully agree	20.7%	6
Mostly agree	**65.5%**	**19**
Mostly disagree	3.4%	1
Strongly disagree	0.0%	0
Don't know	10.3%	3
answered question		29

Should add more advanced training

Applied to a certain extent.

yes , from the plane fare to hotel accommodation, yes i think they managed it really well.

29. The monitoring and evaluation of the SPSCB program is well managed, and provides clear and useful information to stakeholders		
	Response Percent	Response Count
Fully agree	24.1%	7
Mostly agree	**44.8%**	**13**
Mostly disagree	10.3%	3
Strongly disagree	0.0%	0
Don't know	20.7%	6
answered question		29

Did not differentiate between plant and animal health

Limited information.

but not of concern to all i.e. producers, importers, exporters...

30. The SPSCB program's activities are well coordinated with other donors and key agencies involved in SPS issues		
	Response Percent	Response Count
Fully agree	17.2%	5
Mostly agree	**48.3%**	**14**

30. The SPSCB program's activities are well coordinated with other donors and key agencies involved in SPS issues		
Mostly disagree	3.4%	1
Strongly disagree	0.0%	0
Don't know	31.0%	9
answered question		29

The SPSCBP is related to other international agencies and donors

internal affairs of donors

No information on these matter, therefore no comment

31. Benefits being provided through the SPSCB program are likely to be sustainable in the longer-term		
	Response Percent	Response Count
Fully agree	35.7%	10
Mostly agree	**42.9%**	**12**
Mostly disagree	7.1%	2
Strongly disagree	0.0%	0
Don't know	14.3%	4
answered question		28

Absolutely expecting

difficult to digest, there is something non transparent

SPSCB program keeps benefits with the officers involved

32. Finally, what improvements or changes do you think could be made to the SPSCB program that would increase the benefits to participating countries?

Need to find out real problems in each country

need more technical training courses

to improve plant and animal health, human health and the prestige in international trade

More training, workshops and seminars are required for the developing countries.

more capacity building activity, more extended training in their own country, more staff to attend the workshop, supply the necessary equipment

Increase number of participants in each country and more exposure/hands-on training

A common suggestion observed from participants is the need for longer training durations. If possible, it would also be of significant improvement if the trainings are backed up with support in terms of infrastructure upgrades (lab and equipment)

more transparency and sincerity

Longer duration of workshops

SPSCB program would increase specific detection technique about some quarantine pest

exchange in research program

none

Attachment 6 – SPSCBP original and updated objectives & indicators

Note: Changes highlighted in yellow

Original Logframe			M&E Framework March 08 (changes highlighted)	
Ref.	**Narrative Summary**	**Verifiable Indicators**	**Narrative Summary**	**Verifiable Indicators**
	GOAL			
	To enhance the capacity of ASEAN focal countries to meet international SPS standards consistent with the WTO SPS Agreement.	(i) National trade (in specific commodities); (ii) factors that may have affected this trade; and (iii) causal links between the Program and the trade outcome.	To enhance the capacity of ASEAN focal countries to meet international SPS standards consistent with the WTO SPS Agreement.	ASEAN focal countries increase their exports in prioritised agricultural and livestock commodities. National trade statistics and related documents commodity export levels; (ii) qualitative measures of bilateral communication; (iii) the formulation of SPS measures; and (iv) compliance with these measures.
	PURPOSE			
	To expand the capability of ASEAN focal countries to describe and manage animal and plant health and implement SPS measures consistent with international standards and the expectations of trading partners.	Regional capacity to deliver SPS-related training enhanced through (i) enhanced capacity of service providers, and (ii) more pro-active regional agencies that have SPS responsibilities.	To expand the capability of ASEAN focal countries to describe and manage animal and plant health (rest deleted)	1. By the end of the activity each of the focal ASEAN countries will have an identified improvement (compared to baseline) in their SPS quarantine capacity, in particular in ➢ Staff capacity and skills ➢ Validated specimen collections ➢ Information management systems ➢ Pest survey standards ➢ Pest list and records ➢ Pest risk analysis process 2. By the end of the activity regional networks between the ASEAN focal countries will have increased (compared to a baseline) their regional capacity in particular through: ➢ Increased sharing of samples and technical data ➢ Increased application to other donors for related funding areas ➢ Increased technical capacity for information sharing across the region

Original Logframe			M&E Framework March 08 (changes highlighted)	
Ref.	**Narrative Summary**	**Verifiable Indicators**	**Narrative Summary**	**Verifiable Indicators**
1.	**SPS-Trade Linkages**			
	Objective: To increase the understanding of, and support for, SPS issues by ASEAN focal countries.	Evidence of increased support for SPS issues by focal countries resulting from Program activities, for example (i) budgetary allocations to SPS areas, and (ii) more strategic approaches to SPS matters and their links to trade performance.	To increase the understanding of, and support for SPS-trade links among governments, research institutions and the private sector	Government, research institutions and industry leaders display increased understanding of linkages between the SPS Agreement, SPS related measures, and trade by end of activity.
	Outputs:			
1.1	Awareness of SPS-trade links enhanced among government and the private sector.	Self-assessment results following the study tour and workshops.	Program of information provision and awareness raising conducted.	Program for appropriate senior managers, researchers and exporters, which exposes participants to Australian management of plant and animal health, overviews SPS issues and explains the links between these issues and trade.
2.	**Plant Health**			
	Objective: To build capacity for constructing national pest lists and undertaking pest risk analyses.	(i) Evidence or examples of national pest lists being compiled, or pest risk analyses undertaken as a result of Program activities, along with (ii) new policies or specific actions by individual countries to strengthen basic plant health infrastructure.	To build capacity for constructing national pest lists and undertaking pest risk analyses.	Increase in number and quality of pest lists and risk analyses undertaken (or movement towards the capacity to undertake these) which are accepted by trading partners and which meet international standards by end of activity.
	Outputs:			
2.1	Data standards and information management requirements for ASEAN countries (which will be drafted in December 2003) endorsed.	Formal endorsement of data standards and software options for managing data by the ASWGC.	Data standards and information management requirements for building national and regional pest lists in ASEAN countries endorsed	Protocols developed and endorsed for : ➢ Development of national pest lists ➢ Development of regional pest lists ➢ Sharing of data across the region.
2.2	Regional diagnostic capacity and understanding of diagnostic standards improved (focusing on important taxa that are difficult to identify).	Number of additional taxa able to be identified (recorded by scientist and by country).	Regional diagnostic capacity and understanding of diagnostic standards improved (rest deleted)	Up to 100 plant health professionals will have an understanding of the concept of diagnostic standards and the concept of a standard which is adequate to the requirements of their position.

Original Logframe			M&E Framework March 08 (changes highlighted)	
Ref.	**Narrative Summary**	**Verifiable Indicators**	**Narrative Summary**	**Verifiable Indicators**
2.3	Awareness for the need for biological collections enhanced, and capacity in preservation, curation and data management improved.	Increased capacity to preserve and curate plant pathogens (recorded by scientist and by country).	Awareness for the need for biological collections enhanced, and capacity in preservation, curation and data management improved.	Up to 120 regional plant health professional, agricultural scientists and mid-level managers will have increased knowledge as appropriate to their positions, of • the World Trade Organisation; • the Agreement on Sanitary and Phytosanitary Measures and the international standards (ISPMs) that flow from this Agreement; • Pest Risk Analysis; • diagnostic standards; • the need for biological collections; and • Their role in assisting to build and populate pest collections, covering such matters as data standards and preparing specimens for consignment to the curators.
2.4	Capacity to deliver training in PRA expanded in the Region.	Assessment of increased PRA capacity, including training capacity, by country.	Capacity to deliver training in PRA expanded in the Region.	Ten graduates of PRA TOT have the skills and knowledge to contribute effectively to standard PRA training workshops.
3.	**Animal Health**			
	Objective: To strengthen regional capacity in SPS measures to control trans-boundary animal diseases.	Evidence of (i) progress in the control of trans-boundary animal diseases as a result of Program activities (eg. increases in budget allocations, or a reduction in FMD incursions), and (ii) positive responses to the trade study (Output 3.1), in terms of capitalising on identified trade opportunities.	To strengthen the national and regional capacity of government and livestock exporters to control trans-boundary animal diseases.	By the end of the activity each country will have improved systems for analysis, risk mitigation and information sharing. By end of the activity there will be increased systems and processes in place for cross regional information sharing and decision making.

Original Logframe			M&E Framework March 08 (changes highlighted)	
Ref.	**Narrative Summary**	**Verifiable Indicators**	**Narrative Summary**	**Verifiable Indicators**
	Outputs:			
3.1	An assessment for livestock trading in the Region undertaken (including the identification of SPS barriers to trade, and economically feasible means to overcome these barriers).	Report submitted to senior agricultural officials in each country.	An assessment for livestock trading in the Region undertaken (rest deleted)	A study undertaken, covering all ASEAN focal countries, which produces a comprehensive analysis of current and future trade patterns in livestock and livestock products in the region, constraints to future trade expansion, including SPS barriers to trade expansion, as well as options for addressing the barriers identified.
3.2	Capacity to plan and implement various integrated approaches to disease risk management enhanced.	Assessment of disease risk management capacity, by country.	Capacity to plan and implement various integrated approaches to disease risk management enhanced.	Regional practitioners and veterinary scientists, or regional managers with responsibilities in animal disease control for serious infectious diseases demonstrate increased knowledge of integrated approaches to disease risk management
3.3	Disease control programs progressed, and practical training provided, in the Malay Peninsula and Lower Mekong.	*Indicators to be developed during the Annual Planning process, once a specific practical application has been identified.*	Demonstrations undertaken of establishment and expansion of disease free zones.	Two areas of research or surveillance which advance opportunities identified for livestock trading (as under Output 3.1) undertaken by end of activity.
4.	**Program Management**			
	Objective: To manage the Program effectively and efficiently.	(i) Evidence of stronger amd more active networks in the Regional. (ii) Additional SPS-related donor or research activiites identified by the AMC. (iii) Program activities delivered on time and within budget.	To manage the program effectively and efficiently.	Milestone and other reports provided on schedule and accepted by AusAID.
	Outputs:			
4.1	Office and administrative systems established, and staff appointed and trained.	Staff appointed and trained and office systems established within the first month of implementation.	Offices and administrative systems established, and staff appointed and trained	Program staff appointed and administrative systems established to standard required by the program by end of Year one.

Original Logframe			M&E Framework March 08 (changes highlighted)	
Ref.	**Narrative Summary**	**Verifiable Indicators**	**Narrative Summary**	**Verifiable Indicators**
4.2	Regional and in-country coordination mechanisms established and networking between organisations enhanced.	Names and contact details provided for ASWGC, ASWGL, ASEANET, ASEAN Secretariat, AADCP, JICA, FAO/OIE and each CFP. Advice provided to AusAID, ACIAR (and other donors) in country relating to additional assistance to enhance institutional capacity.	Regional and in-country coordination mechanisms established and networking between organisations enhanced.	Functioning networks established between all country focal points by end of Year one
4.3	M&E framework prepared and implemented.	(i) M&E Framework finalised, included in the first Annual Plan, and accepted by AusAID. (ii) The M&E Framework updated and includd in subsequent Annual Plans and the PCR.	M&E Framework prepared and implemented.	M&E reports available which provide adequate performance information about the program from Year Two to end of Activity
4.4	Annual plans prepared and submitted.	Annual Plans submitted by 31 March each year (other than the first year) and accepted by AusAID.	Annual Plans prepared and submitted	AusAID receive Annual plans according to AusGUIDE standard annually for the life of the Activity
4.5	Progress reports and Program Completion Report prepared and submitted.	Reports submitted on time and accepted by AusAID.	Progress reports and Program Completion Report submitted	Reports as required under the Activity Design Document are completed on time and to a standard which is adequate to inform AusAID about the progress of the program

Attachment 7 – Background reference notes on SPS issues

7.1. Support for SPS capacity building

The SPS Agreement of the WTO[40] recognizes the right of WTO members to protect themselves from the risks posed by the entry of pests, diseases and food-born health hazards, but also seeks to minimise any negative effects of SPS measures on trade. WTO members can protect human, animal or plant health by applying measures to manage the risks associated with imports. The measures usually take the form of quarantine or food safety requirements and are commonly known as SPS measures. The Agreement obliges WTO members to use only SPS measures that are necessary, proportionate to risks, science-based, transparent and which do not constitute a disguised restriction on international trade.

Implementing the SPS Agreement is not easy. The design and implementation of measures that are compliant with the SPS Agreement requires viable institutions and considerable human and financial resources. Meeting the requirements of importing countries can be equally demanding for Government and private sector capacities. While recognizing the difficulties of implementing the Agreement the parties that signed it called on the developed countries to support developing countries. In response many countries and international organizations started in the 1990s to provide support for capacity building efforts, especially to least developing countries and gradually the amount of support has increased to considerable volumes.

7.2. Evaluation of trade-related assistance and SPS

The area of SPS capacity building is relatively new and there is limited literature on good practice. There are no specific global evaluations of SPS assistance that can be used as a base for evaluations. However, there are general evaluations of trade-facilitation and although these evaluations hardly refer to SPS, the analytical framework and generic findings provide some guidance for evaluation of assistance in the area of SPS. Differences are likely to be related to the technical characteristics of human and agricultural health and the specific character of the institutions involved.

Two recent OECD studies provide an overview of findings in evaluations of trade related assistance (OECD 2006; OECD 2007). The studies found that most trade related projects lack clear measurable results which makes evaluations difficult. “Half of the reviewed evaluations note that, generally, trade related assistance has increased partner country understanding of the importance of trade for growth and poverty reduction, raised awareness and knowledge of trade policy matters and strengthened national dialogue on these issues.” The impact of assistance projects depends much on the policy and regulatory environments in which the projects are executed. Two preconditions for success are the existence of a favourable domestic business environment and the political will to use trade as an engine for development. Hence, understanding of these conditions during the preparation phase of projects will be crucial for effectiveness of assistance and addressing investment climate and governance issues can be an important part of trade-related assistance.

The more detailed study (OECD 2007) notices a number of weaknesses identified in most evaluations.

- Unsystematic or incomplete needs assessments. Trade-related needs have not always been assessed in a systematic and comprehensive manner. And where needs assessments have been done they are often in broad terms without prioritization and consultation with all stakeholders.

[40] Formally the SPS Agreement is known as “Agreement on the Application of Sanitary and Phytosanitary Measures of the World Trade Organization”.

- Weak project management and project governance structures. Many programme deficiencies were found in information on costs, timing outputs, lack of consultation, unclear definition of roles and responsibilities.
- Fragmented trade-related assistance with insufficient synergies to broader development assistance programmes. Trade-related assistance is sometimes isolated from broader development assistance programmes.
- Weak explicit linkages to poverty reduction. Although donor's strategies highlight trade-related assistance as a means to promote development and poverty reduction, the actual assistance often lacks specificity about how activities contribute to these goals.
- Insufficient donor co-ordination and complementarity at headquarters and field level. Although coordination at headquarters and in the field has improved, it has still insufficiently resulted in synergies.
- Inadequate internal communications and donor expertise on trade-related matters. Field mission staff often lack a good understanding of trade's potential role. Furthermore they are often insufficiently informed during the design phase. As a result mainstreaming of trade-related assistance in broader programmes is difficult.

SPS needs assessment

SPS capacity building is a complex process because of the many interrelated factors that affect the SPS system. Ad hoc improvements through TA may be low effective. For the broader area of trade facilitation number of approaches for capacity building are followed that stress the importance of good needs assessment and country ownership. Under the integrated framework (IF) Diagnostic and Trade Integration Studies (DTIS) are carried out for the least developed countries. These studies are intended to be country owned and can be seen as broad needs assessments for need of capacity building for trade facilitation. Most of the DTIS include attention to SPS. In the DTIS for Laos SPS issues are fully integrated, in the DTIS for Cambodia SPS has not received much attention.

For the SPS area various specialized assessment tools have been developed and applied for systematic assessment of gaps in capacities. IPPC, OIE and FAO have developed tools for phytosanitary, veterinary and food safety systems, which have been applied in many countries (FAO 2006). These tools don't provide priorities and recommendations, but provide basic information for further work on prioritization.

The World Bank developed SPS Action Plans, among others for Vietnam and Lao PDR (World Bank 2006a and 2006b), which include priority recommendations.

7.3. Components of SPS management systems

Regulatory systems for managing plant health, animal health and food safety consist of five interrelated components:

1. policies, institutions, laws and regulations;
2. standards;
3. diagnostic and analytical services;
4. surveillance and inspection; and
5. quarantine and emergency response

Each component has its own roles (box 1) but the effectiveness of roles performed depends on whether the other components are in place and function properly. The implication of this is that capacity building should be pursued within a system approach. Needs assessment has to

look at the whole system and analyze whether necessary improvements are also sufficient for improving the system's operation. For example:

- If the system is poorly managed improvement of individual components may not have much effect.
- If laboratory and equipment form bottlenecks training in diagnostics can't contribute much.
- Without a proper regulatory framework and priority list of possible hazards, increasing inspection capacity can be useless.
- The impact of training will be limited if the work environment of the trainees does not provide opportunities for the beneficial application of their new skills.

Box 1 Summary of roles of the components of SPS regulatory systems

Policies are needed on a strategic level to guide the design of the SPS system, the laws and the institutions; and, on an operational level, to guide the day-to-day work with decisions about whether certain health risks are acceptable and about prioritization of work and allocation of resources. The legal and regulatory system defines the roles and mandates of the institutions and provides rule of law for those who are operating the system and for those who deal with the public institutions. Discretionary powers need to be controlled as much as possible. Without good governance the system may not be the solution but part of the problem.

Standards are needed to define safety levels and how to operate. Without standards, inspectors don't know what to look for and laboratories can't do tests. Methodologies are needed to ensure scientifically sound decisions.

Diagnostic and analytical services are needed to determine whether plants and animals are healthy, safety standards are met, and contents of agricultural inputs and products meet requirements. Laboratories and equipment of different levels of sophistication are needed for diagnosis.

Surveillance is the detection of the incidence and spread of plant pests, animal diseases, and potential food safety hazards. It is needed to detect incidence of pests and diseases and assess their geographic spread. Food surveillance is needed to detect possible food hazards. Without surveillance many risks are unknown. Assessment of risks is needed for risk management and for informing trading partners. Inspection is the detection of hazards affecting the food chain, crops, livestock, fish, and traded agricultural products. Inspection programs need to be guided by knowledge about risks. Inspection at core places, either by Government or private services is needed to determine conformity with safety standards. Surveillance and inspections take samples for testing in laboratories if visual tests are insufficient.

Quarantine, finally, are isolation procedures to prevent contact between healthy and possibly infected animals, crops, and products. It can be used to prevent movement or marketing of animals, plants, and agricultural products which impose risks. Emergency response is the reaction to a hazard by containment, seizure, and destruction. Massive quarantine and eradication actions can be required to contain or eradicate pests, diseases and outbreaks.

The many specialist functions in SPS systems are necessarily performed by different institutions in plant health, animal health and food safety, often placed under different ministries. This means that management of the SPS system and the sub-systems for plant health, animal health and food safety is a difficult task. In many countries poor design and unclear or overlapping mandates of institutions form a serious obstacle for system performance. Because of the complexity of SPS systems many politicians find it difficult to decide what is needed and what to prioritize. Under-funding is often the result. The perception in many countries that corruption in inspectorates and on borders is common, can contribute to the reasons why politicians are reluctant to invest in SPS systems.

7.4. Areas of SPS capacity building covered by SPSCBP

SPSCBP provides support for a limited number of SPS system components. Support is mainly provided for training for specialists in diagnostics and surveillance (Table 1). No support is provided for functioning of the system, planning and prioritization, institutional development, and development of a legal and regulatory framework. Also investment for laboratories, equipment and quarantine facilities is not covered. The support for animal health consists contains a study on ASEAN meat exports. The study provides information and creates awareness; it does not provide guidance for policies. The SPSCBP project has prepared a booklet on the SPS Agreement, which is a stand-alone product not causally linked to the training programs.

Table 1 Areas covered under SPSCBP

	SPS system component	***support provided***
1	policies, institutions, laws and regulations	not covered
2	standards	training related to some IPPC and OIE standards on diagnostics, surveillance
3	diagnostic and analytical services	training
4	surveillance and inspection	training for surveillance only
5	quarantine, emergency response	not covered
	special topics	
	functioning of SPS system	not covered
	creating awareness	booklet on SPS; contents not causally linked to contents of training provided
	livestock trade study	mainly creating awareness, partly input into decision making
	needs assessment	included for plant health, not for animal health

7.5. SPS capacity building for Cambodia, Lao PDR and Vietnam; 2001-2006

The amount of support and its composition can be illustrated for Cambodia, Lao PDR and Vietnam from a recent study, sponsored by the STDF (Ignacio 2007). The study revealed that over the period 2001-2006 152 projects were supported with a total project value of US$ 316 million spent in these three countries. Sixty two percent of these projects were components of multi-country projects with a value of US$ 126 million. Tables 2 and 3 show the breakdown by types of assistance for each country and theme, respectively.

Some general findings from this research are:

- donor support is highly scattered over large numbers of projects
- relatively much support is given for food safety and avian flu and little for plant and animal health
- for animal and plant health limited amounts of support have been given for hard infrastructure (laboratories and quarantine facilities)
- projects for training and soft infrastructure (often mostly training as well) are dominating for animal and plant health[41]
- Cambodia has attracted relatively little donor support

[41] SPSCBP is classified in the STDF study as “general” and “soft infrastructure”.

Table 2. Types of SPS assistance by country, 2001-2006

	Cambodia	Lao PDR	Vietnam	Multi-country	Total	In %
Number of projects						
Information				4	**4**	**2.6**
Training			3	10	**13**	**8.6**
"Soft" infrastructure	10	12	25	69	**116**	**76.3**
"Hard" infrastructure	1	1	6	11	**19**	**12.5**
Total	**11**	**13**	**34**	**94**	**152**	
In per cent	**7.2**	**8.6**	**22.4**	**61.8**		**100**
Value of Projects (US$'000)						
Information				2,329	**2,329**	**0.7**
Training			12,222	16,233	**28,455**	**9.0**
"Soft" infrastructure	14,741	15,043	23,208	95,409	**148,401**	**47.0**
"Hard" infrastructure	619	4,000	120,066	11,895	**136,580**	**43.3**
Total	**15,360**	**19,043**	**155,496**	**125,866**	**315,765**	
In per cent	**4.9**	**6.0**	**49.2**	**39.9**		**100**

Source: Ignacio 2007

* Currency exchange rates, as of end of 2006: Australia A$ 1 = US$ 0.79; A$ 1.26582 = US$1

Table 3. Types of SPS assistance by theme, 2001-2006

	Food safety	Animal health	Plant health	HPAI	General	Total	In %
Number of projects							
Information					4	**4**	**2.6**
Training	3				10	**13**	**8.6**
"Soft" infrastructure	35	15	27	23	16	**116**	**76.3**
"Hard" infrastructure	7	5	2	2	3	**19**	**12.5**
Total	**45**	**20**	**29**	**25**	**33**	**152**	
In %	**29.6**	**13.2**	**19.1**	**16.4**	**21.7**		**100**
Value of Projects (US$'000)							
Information					2,329	**2,329**	**0.7**
Training	15,426				13,029	**28,455**	**9.0**
"Soft" infrastructure	16,132	17,068	11,578	67,359	36,264	**148,401**	**47.0**
"Hard" infrastructure	103,141	6,527	2,464	22,600	1,848	**136,580**	**43.3**
Total	**134,699**	**23,595**	**14,042**	**89,959**	**53,470**	**315,765**	
In %	**42.7**	**7.5**	**4.4**	**28.5**	**16.9**		**100**

Source: Ignacio 2007

* Currency exchange rates, as of end of 2006: Australia A$ 1 = US$ 0.79; A$ 1.26582 = US$1

7.6. Australia's support for SPS capacity building in CLV 2001-2006

Table 4 and Table 5 provide an overview of the support by all donors and international agencies and the classification of their support. The comparison allows making the following comparative observations about Australia's support in SPS to the three countries:

- it supports more projects than any other country (39 projects; 26 percent)
- it ranks fifth in value of support with a relatively small share (8.1 percent) because the size of projects is relatively small
- the share in projects classified as hard infrastructure is relatively small
- the share of support for animal and plant health is relatively large

In summary, Australia provides a large number of projects of small sizes in the area of training and soft infrastructure with relatively strong focus on animal and plant health.

Table 4. Donors projects by types of assistance, values in US$'000, 2001-2006

Donors	Information		Training		"Soft" infrastructure		"Hard" infrastructure		Total	
	No.	Value	No.	Value	No.	Value	No.	Value	No.	Value
Australia	1	2,230			32	16,719	6	6,853	39	25,802
Canada					1	7,692	1	14,530	2	22,222
EC			2	15,368	9	51,365			11	66,733
Austria							1	619	1	619
Denmark							2	85,323	2	85,323
Germany					5	18,946			5	18,946
Ireland					1	321			1	321
Italy					1	750			1	750
Netherlands			1	11,610	1	495			2	12,105
Sweden					2	7,250			2	7,250
Japan	1	5			9	13,809	1	2,186	11	16,000
New Zealand					3	449	2	2,627	5	3,076
Norway					3	6,540			3	6,540
Switzerland							1	1,113	1	1,113
US			4	745	22	4,918			26	5,663
ADB					2	7,490	1	500	3	7,990
APEC			4	521	9	859	2	229	15	1,609
ASEAN					3	-			3	-
FAO					10	10,648			10	10,648
World Bank					2	150	2	22,600	4	22,750
WTO	2	94	2	211	1	-			5	305
Total	4	2,329	13	28,455	116	148,401	19	136,580	152	315,765

Source: Ignacio 2007

* Currency exchange rates, as of end of 2006: Australia A$ 1 = US$ 0.79; A$ 1.26582 = US$1

Table 5. Donors' SPS projects by theme, 2001-2006

	Food safety	Animal health	Plant health	Avian influenza	General	Total
Number of projects						
Australia	5	11	17	1	5	**39**
Canada	1				1	**2**
EC	2	2		1	6	**11**
-Austria					1	**1**
-Denmark	2					**2**
-Germany	2			3		**5**
-Ireland				1		**1**
-Italy	1					**1**
-Netherlands				1	1	**2**
-Sweden		1		1		**2**
Japan	5	1	1	3	1	**11**
New Zealand	1		3		1	**5**
Norway	1		1		1	**3**
Switzerland					1	**1**
US	12	2	4	4	4	**26**
ADB	1	1		1		**3**
APEC	8		2		5	**15**
ASEAN	2		1			**3**
FAO	1	2		7		**10**
World Bank				2	2	**4**
WTO	1				4	**5**
Total	**45**	**20**	**29**	**25**	**33**	**152**
Value of Projects (US$'000)						
Australia	3,856	5,893	6,299	982	8,772	**25,802**
Canada	14,530				7,692	**22,222**
EC	15,368	13,192		18,112	20,061	**66,733**
-Austria					619	**619**
-Denmark	85,323					**85,323**
-Germany	10,965			7,981		**18,946**
-Ireland				321		**321**
-Italy	750					**750**
-Netherlands				495	11,610	**12,105**
-Sweden		650		6,600		**7,250**
Japan	78	2,186	896	12,835	5	**16,000**
New Zealand	1,278		1,699		99	**3,076**
Norway	98		4,747		1,695	**6,540**
Switzerland					1,113	**1,113**
US	462	39	170	4,280	712	**5,663**
ADB	500	1,000		6,490		**7,990**
APEC	741		231		637	**1,609**
ASEAN	-		-			**-**
FAO	750	635		9,263		**10,648**
World Bank				22,600	150	**22,750**
WTO					305	**305**
Total	**134,699**	**23,595**	**14,042**	**89,959**	**53,470**	**315,765**

Source: Ignacio 2007

* Currency exchange rates, as of end of 2006: Australia A$ 1 = US$ 0.79; A$ 1.26582 = US$1

Australia's reporting to the WTO SPS Committee regarding their support for SPS capacity building confirms this pattern (GEN472final). Over the three-year period from January 2000 to December 2002 in total 115 projects are reported, with 43 relating to plant protection, 34 to animal health, 18 to food safety, 8 to a combination of animal health and plant protection, 8 to a combination of plant protection and food safety, and 4 to a combination of animal health,

plant protection and food safety. The reported value is over A$56 million, which amounts to about A$0.5 million per project[42].

The support given to the Southeast Asian region by Australia through AusAID is summarized in Table 6. It shows a lare contribution of ACIAR in the support given.

Table 6 Australia's SPS-related Technical Assistance Projects for Cambodia, Lao PDR and Vietnam covering the period 2001-2006

Project	US$ '000
Cambodia	
Food safety	
Animal health	
Assessing and controlling the risks of disease spread in Mekong countries with an initial focus on Cambodia (ACIAR, 2006)	70
Plant health	
Emergency assistance to control brontispa longissima – coconut hispine beetle in Cambodia (FAO-Australia, 2005-2007)	56
Improving understanding and management of rice pathogens in Cambodia (ACIAR, 2005-2008)	322
Avian influenza	
General	
Lao PDR	
Food safety	
Animal health	
Management of CSF and FMD at the village level in Lao PDR (ACIAR, 2003-2008)	414
Scoping study: assessment of current and potential animal vaccine use in Lao PDR (ACIAR, 2006)	20
Diagnosis and epidemiology of foot and mouth disease in Lao PDR 1997-2006 (ACIAR, 2006-2007)	26
Plant health	
Avian influenza	
General	
Lao integration into WTO (Australia, 2001)	150
Assistance to Lao PDR integrated framework process (Australia, 2006-2008)	1,185
Vietnam	
Food safety	
Animal health	
Plant health	
Managing pest fruit flies to increase production of fruit and vegetable crops in Vietnam (ACIAR, 2006-2008)	675
Diseases of crops in the central provinces of Vietnam: diagnosis, extension and control (ACIAR, 2005-2008)	395

[42] The actual value would be higher since the report indicates that in several cases the providing Government and State agencies contribute also in kind to the projects; no estimates of amounts were given.

Project	US$ '000
Diagnosis and control of plant diseases in northern Vietnam (ACIAR, 1998-2001)	258
Integrating effective phosphine fumigation practices into grain storage systems in China, Vietnam and Australia (ACIAR, 2001-2005)	709
Low cost disinfestation systems for fruit (ACIAR, 1998-2003)	183
Identification of nematode resistance/tolerance in Vietnamese Musa germplasm for improvement of banana production (ACIAR, 1998-2002)	42
Developing disease management capacity in Vietnam (ACIAR, 2001-2004)	611
Avian influenza	
General	
Multi-country	
Food safety	
Strengthening risk assessment capability to support food safety measures project (AADCP, 2005-2007)	942
Quality assurance systems for ASEAN fruit and vegetables (AADCP, 2004-2007)	1,397
Quality assurance and safety of ASEAN fish and fishery products handling, processing and packaging (AADCP, 2004-2007)	731
Operationalize guidelines on responsible movement of live food finfish project (AADCP-RPS, 2005-2007)	206
Monitoring mycotoxins and pesticides in grain and food production systems for risk management in Vietnam and Australia (ACIAR, 1999-2004)	580
Animal health	
Strengthening animal health management and biosecurity in ASEAN (AADCP, 2004-2006))	875
OIE South East Asia Foot and Mouth Disease Campaign (Australia, 1995-2007)	3,003
Strengthening aquatic animal health capacity and biosecurity in ASEAN (AADCP-RPS, 2005-2007)	272
Establishment of a reference laboratory for the Southeast Asian foot and mouth disease control program (AADCP-RPS)	191
Control of fasciolosis in cattle and buffaloes in Indonesia, Philippines and Cambodia (ACIAR, 1998-2003)	343
Application of PCR for improved shrimp health management in the Asian region (ACIAR, 2005-2007)	566
Improved diagnostic and control methodologies for livestock diseases in Lao PDR and Yunnan Province, PRC (ACIAR, 1997-2003)	113
Plant health	
Strengthening ASEAN plant health capacity (AADCP, 2005-2007)	1,115
Integrated control of mango insect pests using green ants as a key element (ACIAR, 2001-2005)	556
Sustainable integrated management of whiteflies as pests and vectors of plant viruses in Asia (ACIAR, 1999-2003)	261
Management of phytophthora diseases of durian (ACIAR, 1998-2003)	305
Survey of the presence and importance of Phytophthora in Southeast Asia (ACIAR, 2000-2003)	118
Development of advanced technologies for germplasm conservation of tropical fruit species (ACIAR, 2003-2005)	590

Project	US$ '000
Survey toolbox for plant pests - A practical manual for the surveillance of agricultural crops and forests (ACIAR, 2004-2005)	79
Plant disease diagnostic manual (ACIAR, 2006-2007)	24
Avian influenza	
The epidemiology, pathogenesis and control of HPAI in ducks in Indonesia and Vietnam (ACIAR, 2006-2009)	982
General	
Regional WTO capacity building program (Australia, 2002-2006)	2,230
SPS capacity building program (Australia, 2003-2004) -plant and animal health	3,516
Strengthening ASEAN standards and conformity assessment project (AADCP, 2004-2007)	1,691
Total	25,802
Forthcoming projects (including projects starting in 2007)	
Food safety	
Harmonization and implementation of ASEAN good agricultural practices (AADCP-RPS, 2007)	339
Strengthening of food inspection and certification for shrimp and bivalve molluscs in ASEAN member countries (AADCP-RPS, 2007)	338
Animal health	
Understanding livestock movement and the risk of spread of transboundary animal diseases (ACIAR, 2007-2012)	219
Plant health	
Scoping study to identify research and implementation issues related to management of the brown planthopper/virus problem in rice in Vietnam (ACIAR, 2007-2008)	87
Effective phosphine fumigation - technology transfer (ACIAR, 2007) - Vietnam	47
Avian influenza	
General	

Source: Ignacio 2007, Appendix 2.

* Currency exchange rates, as of end of 2006: Australia A$ 1 = US$ 0.79; A$ 1.26582 = US$1

I = Information; T = Training; S = Soft infrastructure; H = Hard infrastructure

7.7. Food safety in ASEAN countries

Although export promotion is often seen as the central driver for developing improved SPS management systems, better protection of consumers, animals, crops and nature against food safety hazards, animal and plant pests and diseases and damage by invasive species, can have important impacts on income and poverty. Insufficient control of plant pest and animal diseases reduces yields and income. Therefore, better food safety, animal and plant health management has direct effects on poverty, exports and public health, and farm income.

This can be illustrated by data on the impact of food safety on loss of healthy life. Data on diarrheal illness, a proxi for food safety outcomes, show that the food safety situation in most ASEAN countries is unsatisfactory and in some countries rather poor (Box 2). Food safety hazards cause considerable losses in human health and well-being, loss in productive time and cost of medication and treatment, and major benefits can be realized through improved food safety management. In some countries potential benefits of food safety may be higher than benefits from plant health and animal health. (See World Bank 2006a; 2006b; 2007)

Box 2. Food safety hazards approximated by 2002 DALY rates

No universally accepted measure for food safety exists at the international level. Substantial difficulties and high costs arise in efforts to separate food-borne causes of morbidity and mortality (infectious disease, environmental toxins and allergens, and chemical additives) from water-borne, animal-to-human, and plant-to-human causes of disease and mortality. A relatively well-accepted international measure of disease impact combines incidence of illness (morbidity) and of death (mortality) into a standardized indicator called the Disability Adjusted Life Year (DALY).* One DALY may be thought of as one year of "healthy" life lost to illness or death. DALYs are estimated only for the most important global diseases.

DALYs on diarrheal diseases (either food- or water-borne) are probably the best comparable data for food safety and are shown below as a crude proxy indicator for the *relative* food safety status.**

DALY estimates for diarrheal diseases per 100,000 inhabitants

Brunei Darussalam	92
Cambodia	2,801
Indonesia	582
Lao PDR	3,181
Malaysia	117
Myanmar	1,672
Philippines	523
Singapore	62
Thailand	297
Vietnam	493
East Asia and Pacific region	481
Sub-Saharan Africa	3,533
South Asia region	1,633
Australia	27
EU15	28
Japan, USA	29

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Source: WHO 2003

Notes:

* This measure results from the WHO Global Burden of Disease studies published in 1993 and since codified for use in projecting and measuring global and national human disease and mortality burdens. DALYs for a disease or health condition are calculated as the sum of the years of life lost due to premature mortality in the population and the years lost due to disability for incident cases of the health condition. It is a measure of the health gap between existing conditions and an ideal state in which every person born in a country lives without disease to the age indicated by his or her life expectancy.

** WHO DALYs don't provide comprehensive coverage of zoonotic diseases.

Appendix: Definitions and terminology

Capacity building is a long-term, continuing process for the creation of an enabling environment with appropriate policy and legal frameworks, institutional development, human resources development, technology and strengthening of managerial systems in which all stakeholders participate, for the achievement of particular policy goals.[43]

Technical assistance (TA) is the provision of external assistance to strengthen the skills and technical capacities in a country.

SPS management To perform in a coordinated way a range of public and private sector functions with the aim to manage human, animal and plant health risks related to international trade in food and agricultural products. These functions include safety management, legislation, surveillance, inspection, quarantine, emergency response, conformity assessment, bilateral and multilateral communication and negotiation, and education.

SPS management capacities The ability to perform the various SPS management functions, and to make well-informed decisions about policies and strategies, including priority setting and coordination.

Actual capacities and perceived needs

No country has a perfect SPS management system. Whether a country is rich, poor, small or big, stakeholders in the public sector, private sector and civil society in each country will likely voice various deficiencies in the SPS area and needs for improvement. These voiced deficiencies in actual SPS service delivery may relate to three different and overlapping issues:

1. physical, human, regulatory and institutional capacity constraints to manage health hazard risks;
2. weak prioritization (e.g. focus on market access versus domestic health protection; balance in resource allocation for different pests, diseases, and other health hazards; little use of risk assessment/evaluation and cost/benefit analysis);
3. poor overall efficiency of the SPS management system, related to institutional deficiencies (unclear roles, overlap of responsibilities, interagency rivalry), weak coordination and governance problems (rent seeking, corruption).

In principle SPS management performance can be improved by efforts in each of these domains: adding hard and soft assets, improved effectiveness through better priority setting, and improved system efficiency through cutting waste.

An **SPS-needs assessment** identifies gaps in public and private sector capacities that inhibit optimal benefits from participation in international trade, while adequately protecting humans, animals and crops against risks of health hazards that can be spread by trade in agricultural products and food. A good assessment will focus on the existing capacities and possible sustainable benefits that can be obtained by strengthening capacities within a certain timeframe.

[43] Adapted from IHE/UNDP 1991. The definition often referred to in literature is from the IHE/UNDP symposium which defined 'capacity building' as the creation of an enabling environment with appropriate policy and legal frameworks, institutional development, including community participation (of women in particular), human resources development and strengthening of managerial systems, adding that, UNDP recognizes that capacity building is a long-term, continuing process, in which all stakeholders participate (ministries, local authorities, non-governmental organizations and water user groups, professional associations, academics and others).