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COMMISSION ON PHYTOSANITARY MEASURES

Seventh Session

Rome, 19 - 23 March 2012

The IPPC Resource Mobilization Strategy

Agenda item 9.2 of the Provisional Agenda

1. The Fifth Session of the Commission for Phytosanitary Measures (CPM) in 2010 agreed to funding for an expert group to develop a 5 year resource mobilization strategy and implementation plan for a multiyear funding strategy for the IPPC, and also agreed to provide recommendations or ideas regarding resource mobilization to the Secretary.
2. Despite the expert working group not being established, useful comments were received. At the Sixth Session of the CPM in 2011, the Secretary gave a verbal update on progress towards developing a resource mobilization strategy for the IPPC. The Secretary noted that resource mobilization strategy would be addressed shortly and that this should then lead to a structured work plan, with appropriate monitoring and reviewing by the Bureau and CPM meetings.
3. Following discussions in 2011 with the CPM Bureau and the Strategic Planning and Technical Assistance (SPTA) open-ended working group, a Resource Mobilization strategy was prepared for presentation to CPM 7 (Attachment I).
4. CPM is invited to:
 - 1) *discuss* the IPPC Resource Mobilization Strategy;
 - 2) *propose* suggestions for improvement; and
 - 3) *adopt* the IPPC Resource Mobilization strategy

Attachment I**RESOURCE MOBILIZATION FOR THE IPPC****I. Objective**

The objective of this strategy is to ensure sustainable and sufficient funding for the IPPC in order to fulfill the International Plant Protection Convention's (IPPC) strategic objectives.

II. Purpose

To make certain that adequate resources are available to and used by the IPPC via transparent, efficient and effective means for the purpose of :

- protecting sustainable agriculture and enhance global food security through the prevention of pest spread;
- protecting the environment, forests and biodiversity from plant pests;
- creating economic and trade development opportunities through the promotion of harmonised international standards for plant health; and
- developing phytosanitary capacity for members to accomplish the first three objectives,

To provide guidance to the IPPC Secretariat on how to solicit extra-budgetary resources from donors and on the application of donor friendly financial reporting and management practises,

To outline the responsibilities of the Commission on Phytosanitary Measures (CPM) in the resource mobilization process and to provide advice to the CPM as to which instruments should be developed to enable sustainable resource mobilization, and,

To create awareness of the resource needs of the IPPC among contracting parties and donors.

III. Goals**A. Creating an adequate administrative financial framework.**

Successful mobilization of resources is more likely through the creation of an adequate administrative framework. This framework must include effective management and leadership which will ensure the accountability and transparency of the IPPC and its budgetary processes. Making the case for additional resources is additionally strengthened by demonstrating that the IPPC has financial systems in place that will safeguard the resources raised, including adequate financial controls that demonstrate good management and build trust. If donors know that their contributions are being put to good use, this will support sustainability as well as good accounting practices internally within the organization. The establishment of an adequate administrative framework is outlined below.

The IPPC Secretariat and the CPM recognize that the establishment of financial governance tools is essential to create appropriate financial management, control and transparency structures and provisions which in turn reinforce donor confidence and stimulate resource contributions to IPPC activities.

Recommendations:***A₁ Establishment of a Financial Committee***

The CPM establishes a financial committee. The financial committee should consist of no more than 3-4 individuals. (Draft Terms of Reference for the financial committee are provided in Attachment II.) The primary activities of such a committee are providing financial transparency and oversight. The committee may also participate in strategic budget planning and outreach activities, such as soliciting donations.

References for a financial committee may be included in a future revision of the IPPC.

A₂ Improving budget transparency and clarity

The CPM reinforces budget transparency and clarity by adopting guidelines for the preparation of budgets (regular, project or trust fund based) and their reporting. The CPM recognizes that budget transparency and clarity are essential tools to safeguard the resources raised, to demonstrate good financial management and to build trust with donors.

B. Developing communication and information strategies

Presenting a clear, consistent message about the IPPC and its activities is a key component in the resource mobilization effort. The way in which information about the IPPC is communicated to potential donors and others is very important as it can hold the key to the willingness of donors to participate in IPPC activities. A coherent and well-thought out communications strategy will serve to build interest in and create awareness of the work of the IPPC. It in turn will clearly underline IPPC's comparative strengths/advantages and will provide recognition of the role the IPPC plays in standard setting and development activities. The selling of the IPPC idea is critical to gaining access to the resources needed to accomplish the mission of the organization.

Recommendation:***B₁ Development of an IPPC communications strategy***

The CPM establishes, with the cooperation of contracting parties, an outreach or communications strategy in which, among other things, the IPPC establishes itself as a "brand". The CPM also establishes a specific information policy to facilitate Secretariat and Bureau messaging to news media, potential donors, and other resources. This strategy would be developed through the utilization of in-kind resources provided by a small number (3-4) of interested contracting members who would develop a strategy which would include all the available social networking tools (Facebook, Twitter, etc.) in order to reach the broadest possible audience. The strategy would also include specific outreach to environmental and forestry organizations. This group would work on an informal, ad hoc basis in coordination with appropriate Secretariat staff. Consistent and coherent talking points will be developed to ensure the consistency of the "IPPC message" when engaging outside contacts.

C. Intensification of the In-kind Contribution System

As a result of technological developments worldwide, it is significantly easier to gain access to highly skilled human resources without ever needing to recruit, hire and relocate them to a specific location. Recent contributions from in-kind experts have provided key assistance.

Recommendations:

C₁ Strengthening the use of in-kind expertise

The CPM strongly encourages national plant protection organizations, regional plant protection organizations and other types of groups to assist the IPPC by contributing experts to work for the Secretariat over a period of time (e.g. one or more years) as scientists or consultants to address issues of importance for which scarce Secretariat resources are unavailable. The process for making such arrangements should be codified for the purpose of providing clarity to outside observers that any such contributions are intended to provide expert assistance only to the work of the IPPC with no expectation of inappropriate influence on the outcome of those efforts. Standardized contract formats are developed and made available by the Secretariat for use by interested contributors. Experts may work on standards, technical assistance, information exchange or other issues as appropriate. Such experts may work in the Secretariat itself, or at their home location.

C₂ Maximizing existing volunteer programmes

The IPPC Secretariat and the CPM should increasingly solicit contracting parties to provide human in-kind contributions. Existing volunteer programmes, such as the Associate Professional Officers Programme, the Intern Programme and the Partnership Programme should be promoted more efficiently and offered to contracting parties and other donors as frameworks in which human in-kind contributions could be done.

C₃ Increasing the use of informal drafting groups

The CPM increases the use of informal drafting groups to prepare issues of importance for which scarce Secretariat resources are unavailable.

C₄ Introducing “Technical Secretaries” as a new format of human in-kind contribution

In association with a formal system for the sponsorship of meetings a new format of human in-kind contributions is introduced – that of a “Technical Secretary”. “Technical Secretaries” would provide technical oversight over the activities of panels or other standing groups and be committed by the contracting party sponsoring the meeting. Specific rules for such technical secretaries are to be drawn-up by the CPM.

D. Institutionalizing the sponsorship of meetings

The system of *ad hoc* sponsored standard setting activities has contributed to the success of a sustainable standard setting of the IPPC and has alleviated serious reductions in standard setting due to financial limitations of the IPPC. Taking as an example practises in *Codex Alimentarius* it is recommended that a formal and sustainable system for sponsorship of standard setting meetings is established including the provision of human resources for technical oversight of the activities.

Recommendations:

D₁ Institutionalizing a formal system for the sustainable sponsorship of meetings

The CPM institutionalizes the sponsorship of meetings by formalizing rules and procedures for such a system. It is envisaged that individual contracting parties, RPPOs, IGOs and NGOs “pledge” their sponsorship of a particular continuing activity for a longer period (e.g. 5 years) according to the CPM rules on the sponsorship of meetings. This makes it possible for the IPPC Secretariat and the CPM to plan standard setting activities in a much more sustainable way.

D₂ Sponsorship of standards

The CPM should agree on various mechanisms to increase resources for the IPPC standard setting process. It is recommended to introduce a more effective sponsorship or championing of standards, especially in relation to the increased development of commodity- and pest-specific standards. Sponsorship of standards should be encouraged. Any topic on the CPM approved List of topics for IPPC standards, regardless of CPM priority, should be available for funding support or sponsorship to cover all the costs of developing the proposed standard. New topics for standards, suggested by contracting parties, IGOs and RPPOs, should include draft specifications, literature reviews and whenever possible the identification of resources for the development of the standard.

E. Capacity Development

The creation of partnerships with specific donors has significant potential beyond simply passing funds forward to the IPPC. It is also a critical means by which the work of the IPPC can be expanded without soliciting or expending limited resources. The following are proposals for maximizing the use of partnerships in a non-traditional way.

Recommendations:

E₁ Promoting further the Phytosanitary Capacity Evaluation (PCE)

The CPM endorses the Secretariat's efforts to broaden the application and acceptance of the PCE tool beyond current practice. For example, the World Bank is moving towards using the PCE tool as a first step in projects for which there is a plant health component. The first benefit is raising awareness of the PCE tool itself within the Bank, and the second benefit is that there is the resulting development of a funding source as the IPPC receives funds for the administering the PCE. The CPM also advocates for a similar approach with other donor organizations. Using the PCE as a review mechanism for longer time frame capacity development projects as a means to ensure that efforts remain on track should be endorsed by the CPM. To further promote the PCE, the strengthening of a roster of experts for PCE assistance should be undertaken.

E₂ Raising service charges for advisory services

The IPPC Secretariat commits considerable staff resources to advise other FAO departments or other international organizations on phytosanitary matters, especially in relation to technical cooperation projects. The IPPC Secretariat should introduce a strict policy in which such services by the IPPC Secretariat are fully compensated through financial contributions to the IPPC trust fund.

F. Strengthening Institutional Financial Instruments and Practises

The financial instruments currently available to the IPPC are very limited and are basically in the form of the regular FAO budget contribution and the very limited extra-budgetary contributions through trust funds. While these traditional funding instruments are undoubtedly of importance, the development of new financial instruments to fund IPPC activities is crucial for the successful progress of the IPPC. Financial instruments and practices may be considered to entail income generating schemes, new international agreements or systems to allow expenditure efficiency within the IPPC Secretariat.

G. Technical Improvements, Donor Relations and Incentive Programs

New technologies are facilitating the transmission of information in ways unforeseen less than ten years ago. As a result, new interest groups are being formed, and the exchange of information

globally is taking place at a frenetic pace. The IPPC should capitalize on these developments and provide an opportunity for growth in global interest in plant health issues. Beyond making use of technological innovations such as videoconferencing, cloud computing, etc., the IPPC should seek to broaden its interaction with interest groups and non-government organizations with which it had never before interacted.

Recommendations:

G₁ Establish a policy for the use of best available technologies and other non-traditional approaches for conducting IPPC business

A very good example already exists of the type of effort envisioned here. The on-line comment system for proposed ISPMs represents a “best practice” for enhanced commentary for the standard setting process. Working to institutionalize and make mandatory the use of this system, and others when appropriate (such as on-line video conferencing through Skype and Go-to-meeting to hold discussions/ad hoc meetings, etc.) will serve to lower costs which had previously gone to providing evening sessions on the margins of the annual CPM meetings. Additional benefits will be realized by holding key meetings outside of Rome when possible in areas where financial charges for meeting arrangements are significantly lower.

G₂ Establish a formalized program for donor relations

While much of the work necessary to put such a programme in place will be dependent upon the establishment of a transparent financial reporting system within the IPPC Secretariat, there are nevertheless additional measures to develop that will ensure sustained support for IPPC activities. These should include a coherent IPPC message, to be used by any contracting party as well as the Secretariat, which can succinctly explain why the donor should provide resources, how those resources will be used, how the results will make a difference, and how the donor can be recognized for their support (see G3 below). Beyond this, the CPM should canvass contracting parties to ensure that all possible donor organizations have been considered as potential donor partners. Particular emphasis should be given to developing relationships with non-governmental organizations and industry associations (such as forestry groups), which have interests aligned with those of the IPPC.

G₃ Establish an incentive program for donors

Small efforts can often make a big difference in gaining support, financial or other, for the efforts of an organization. An important psychological consideration is to “bind” donors, contributors, volunteers etc. to the IPPC. If such players are “connected” to the IPPC, they will most likely support it with resources for a longer period and a more sustainable manner. The establishment of an “Incentive” programme would aim at this target group by providing recognition for their support and specifically providing a personalised goal for their support. Such recognition would take place during the annual CPM meeting in Rome and could be as simple as a broadcast acknowledgement from the Secretary of key contributions to as complex as the institution of a formal award.

H. Revising the IPPC

Usually, financial instruments and decision-making provisions belong to the core provisions of founding charters or conventions of international organizations. The founders of such international agreements want to ensure that financial rights and responsibilities are clearly attributed and that the financial contributions are predictable. The IPPC does not have any financial instruments and provisions included, since the original IPPC (1951; revision 1979) was from an organizational point of view a convention without a decision making body. The revision of the IPPC in 1997 did establish a physical structure for the IPPC in the form of a larger Secretariat and a governing body, but did not include financial instruments. This was mainly avoided because it was understood that the inclusion of financial instruments into the IPPC would impose additional obligations to contracting parties, which

would in turn require the ratification of the new IPPC by all contracting parties instead of just acceptance.

Almost fifteen years after the last revision of the IPPC considerations for new adjustments of the IPPC are discussed and a new revision of the IPPC may well be undertaken by the end of the decade. The IPPC is a dynamic organization and this dynamism should be maintained and reflected in the text of the Convention. In the context of a general revision of the IPPC it would be strongly advisable to provide clarity concerning budgetary and financial matters of the IPPC including the identification of sources for financial contributions and full operational and financial decision-making powers for the CPM.

I. Implementation

Implementation of the resource mobilization strategy will take place over a period beginning in 2012 through 2021.

J. Monitoring

Monitoring of the resource mobilization strategy is a critical component of implementation and should be an essential function of the collective participants engaged in the activity. While the monitoring process is an ongoing activity which should engage all participants involved in carrying out the strategy, the Secretariat should present a succinct annual update to the SPTA and the CPM that will serve to provide feedback on the extent to which the resource mobilization strategy activities are achieving their goals.

K. Review

A formal review of the resource mobilization strategy should be carried out within two years of initiation, with subsequent reviews taking place every two years thereafter. The review should take into consideration the results of the monitoring exercise with a view to identifying potential problems at an early stage and proposing possible solutions, making adjustments to the strategy as required and evaluating the extent to which the strategy is able to achieve its overall objectives.

Attachment II***Terms of Reference for the Financial Committee******1. Objective***

The objective of the ***Financial Committee*** is to increase the financial security of the IPPC Secretariat through:

- enhancing donor confidence in the financial mechanisms of the IPPC
- assisting the IPPC Secretariat and CPM in its resource solicitation efforts
- improving the efficiency of financial planning.

2. Scope of the Financial Committee

The ***Financial Committee*** is to assist the IPPC Secretariat and the CPM Bureau with:

- financial planning
- financial reporting
- the solicitation of resources
- the development of procedures with regard to financial transparency and resource mobilization.

3. Structure of the Financial Committee

The ***Financial Committee*** will consist of four volunteer members to be selected by the CPM Bureau

The members of the ***Financial Committee*** should fund their own travel and subsistence to attend meetings. In the case that ***Financial Committee*** members solicit resources on behalf of the IPPC Secretariat, financial assistance may be requested.

4. Functions of the Financial Committee

The ***Financial Committee*** will meet its objectives through carrying out the following functions:

- developing procedures for budget transparency
- assisting the IPPC Secretariat in the annual development of budget reports
- developing standardized budget forms
- assisting the IPPC Secretariat in the annual development of budget proposals
- review of resource issues
- assisting the IPPC Secretariat in the development of budgeted operational plans
- assisting the IPPC Secretariat and the CPM in resource mobilization activities
- providing regular reports to the CPM Bureau and the SPTA
- any other financially related activity referred by the CPM Bureau.

5. IPPC Secretariat

The Secretariat provides administrative and technical support as necessary.