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**Work plan and budget of the IPPC Secretariat for 2020 - Standard
Operating Procedure (SOP) Governing Programme Planning and
Budgeting, Monitoring and Implementation and Reporting and Evaluation**

Agenda item 15.3

Prepared by the IPPC Secretariat

English only



INTERNATIONAL PLANT PROTECTION CONVENTION SECRETARIAT

**STANDARD OPERATING PROCEDURE (SOP) GOVERNING PROGRAMME
PLANNING AND BUDGETING, MONITORING AND IMPLEMENTATION
AND REPORTING AND EVALUATION**

20 March 2019

Background

- [1] CPM at its 13th session in 2018 advised the IPPC Secretariat to prepare guidelines on how IPPC Secretariat Work Plan and Budget is prepared, reviewed and adopted. 2018 also marks a year with internal management theme of “Optimization of Financial Management of the IPPC Secretariat”.
- [2] Following this direction, CPM Bureau and its Financial Committee (FC) discussed this document at length during June, October and December 2018 meetings. CPM Bureau approved this document during its December 2018 (virtual) meeting and asked the Secretariat to make this document available for CPM-14 as information paper.
- [3] The Standard Operating Procedure (SOP) Governing Programme Planning and Budgeting, Monitoring and Implementation and Reporting and Evaluation is aimed to provide IPPC Secretariat and IPPC Contracting parties with clear guidelines on how IPPC Secretariat activities and resources are planned, budgeted, monitored and reported.
- [4] Ultimately, the SOP is expected to serve the IPPC mission in “Protecting the World’s Plant Resources from Pests” by enabling Contracting parties to have a clear framework for planning and implementation of its policies and recommendations through the execution of the annual work plan and budget, as set out at annual CPM sessions.

1. Purpose of the SOP

- [5] The planning, programming, budgeting, monitoring and evaluation cycle aims at the following:
- 1.1. To provide an opportunity for consideration of possible actions are made in the light of all existing conditions;
 - 1.2. To assess what actions are feasible and acceptable to IPPC Contracting parties as a whole;
 - 1.3. To translate those objectives into programmes and work plans which identify implementation responsibilities;
 - 1.4. To indicate to IPPC Contracting parties the resources needed to design and implement activities and to ensure that those resources are utilized in the most effective and economical manner;
 - 1.5. To provide a framework for setting priorities among activities;
 - 1.6. To establish an independent and effective system for monitoring implementation and verifying the effectiveness of the work implemented;
 - 1.7. To evaluate periodically the results achieved.

- [6] With these aims, the following instruments will be utilized:

The IPPC Strategic Framework, whereby the orientation of the IPPC priorities is provided;

- (a) The Work Plan and Budget and the Programme Performance and Financial Report, in which the Secretariat is committed to precise work plans involving delivery of output and where implementation is monitored and reported;
- (b) The evaluation system, which allows for continuing critical review of achievements, collective thinking and formulation of subsequent plans.

2. Programme Planning and Budgeting

Applicability

- [7] The following principles will govern the planning, programming, monitoring and evaluation of all activities undertaken by the IPPC Secretariat, irrespective of their source of financing.
- 2.1. The planning, programming, budgeting and evaluation cycle will form an integral part of the general policy-making and management process of the IPPC Secretariat.
 - 2.2. The planning, programming and budgeting process will be governed by strict adherence to the principles and provisions of IPPC convention text and FAO Financial rules and regulations.

Work plan and Budget – Principles and Process

- [8] According to IPPC Secretariat Enhancement evaluation Recommendation No. 1a, “One annual work plan and budget for the Secretariat should be developed and approved by the Bureau; it should include clear and achievable objectives, with a detailed as possible breakdown of activities, and required resources in terms of both staff and funding”.

Principles

- 2.3. The Work Plan and Budget should cover period from 1 January – 31 December.
- 2.4. The Work Plan should reflect CPM priorities and IPPC Strategic framework.
- 2.5. The Work Plan and Budget should be prepared using the principles of results based management and budgeting.

- 2.6. The Work plan should represent the IPPC Secretariat's main areas of work and it should clearly indicate activities and the corresponding results (outputs).
- 2.7. The CPM should consider the Work Plan and Budget process for the subsequent year.
- 2.8. Planning for activities to be partially or fully financed by extra budgetary funds will be considered provisional, and such activities will be implemented only if adequate funds are made available.
- 2.9. A contingency fund should be set at 5% of the total annual regular programme budget, to account for any emergency or unplanned expenditure that might arise during the work plan implementation.

[10] Responsibilities

- 2.10. The IPPC Secretariat is responsible for drafting the Work Plan and Budget, with consultation with the Financial committee (FC) and CPM Bureau.
- 2.11. The Work Plan and Budget should be clearly linked to CPM priorities.
- 2.12. The Financial committee (FC) should endorse the Work Plan and Budget before their consideration by the CPM Bureau.
- 2.13. The CPM Bureau should consider all proposed work items and funding streams (regular programme, IPPC multi-donor trust fund and project-based funding).
- 2.14. The CPM Bureau should approve the Work plan and Budget before it is presented at CPM.
- 2.15. The CPM should approve the Work Plan and IPPC multi-donor trust fund budget.
- 2.16. The CPM should note the regular programme and projects' budgets.

[11] Process

- 2.17. The IPPC Secretariat should prepare the first draft of the Work Plan and Budget for implementation and present it to FC at its June meeting two years in advance (e.g., by June 2018 it should prepare the first draft of the Work Plan and Budget for implementation in 2020).
- 2.18. The FC should consider the draft, propose improvements and adjustments and approve it for further consideration by the CPM Bureau at its June meeting.
- 2.19. At the June meeting, the CPM Bureau should review the draft and propose improvements and adjustments.
- 2.20. The IPPC Secretariat should incorporate inputs from the FC and CPM Bureau by October meetings.
- 2.21. At its October meeting, the FC should review the revised draft and approve it for further consideration by the CPM Bureau at its October meeting.
- 2.22. At its October meeting, CPM Bureau should review the draft and, if it meets requirements, approve it to be presented to CPM session during the subsequent year.
- 2.23. The CPM will consider the draft Work Plan and Budget and approve it for implementation in the following calendar year.
- 2.24. CPM Bureau and IPPC Secretariat should review the approved budget following the CPM session and make any adjustments to align the budget with modified priorities, as set out by CPM, if necessary.

3. Monitoring and Implementation

- [12] The IPPC Secretary will monitor accomplishments by core areas of work, as measured by indicators of achievement and the delivery of outputs scheduled in the CPM approved work plan. IPPC unit/team leads shall be responsible for the delivery of all Work Plan sub-components with regard to their units/teams. IPPC Secretary is responsible for the implementation of the Work Plan as a whole.
- [13] IPPC unit/team leads are responsible for managing budgets within prescribed budgetary limits of their teams, while the IPPC Secretary is responsible for managing budget as a whole.
- 3.1. The CPM Bureau has sole authority for decisions involving a change in the work plan and budget approved by the CPM, between CPM sessions.
 - 3.2. The IPPC Secretary may authorize over-expenditure (at the expense of Contingency fund) per team up to 5% of the team budget allocation.
 - 3.3. The IPPC Secretary will report interim achievements and accomplishments to the CPM Bureau in between CPM sessions.
 - 3.4. Interim reports should include both technical and financial considerations.
 - 3.5. IPPC Secretary should establish internal mechanisms that will enable him/her to monitor work plan and budget execution within the limits of available human and financial resources.

4. Reporting and Evaluation

- [14] After completion of the work plan and the budget period, the IPPC Secretary will report to the CPM, through the FC and CPM Bureau, on programme performance during that period.

Reporting

- 4.1. The IPPC Secretary should prepare Performance and Financial report after the completion of the work plan and budget period.
- 4.2. A performance report should include clear indications of achieved results, as set out in the work plan.
- 4.3. The financial report should include clear financial statements relative to the execution of the Budget.

Evaluation

- [15] The objective of evaluation is:
- 4.4. to determine systematically and objectively the relevance, efficiency, effectiveness and impact of the IPPC Secretariat activities in relation to their objectives;
 - 4.5. All programmes will be evaluated on a regular, periodic basis. The evaluation system will include periodic self-evaluation of activities relating to objectives and continuing functions. Programme managers will, in collaboration with their staff, undertake self-evaluation of all activities under their responsibility.

Appendix 1 – Simplified graphical representation of the SOP