



联合国
粮食及
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Food and Agriculture
Organization of the
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Organisation des Nations
Unies pour l'alimentation
et l'agriculture

Продовольственная и
сельскохозяйственная организация
Объединенных Наций

Organización de las
Naciones Unidas para la
Alimentación y la Agricultura

منظمة
الأمم المتحدة
للزراعة

植物检疫措施委员会

第十二届会议

2017 年 4 月 5–11 日，大韩民国仁川

可持续供资—植保公约秘书处工作计划 可持续供资机制

议题 8.3

植保公约秘书处起草

I. 引言

1. 植检委每年批准植保公约秘书处《工作计划和预算》，作为植保公约秘书处年度活动主要框架；相关活动将推动落实《植保公约》宗旨，为粮食安全、贸易便利化和环境保护相关全球努力做出贡献。植保公约秘书处有两大资金来源：粮农组织正常计划拨款和《植保公约》预算外资源，后者包括《植保公约》多方捐助信托基金和《植保公约》项目。

2. 过去五年，粮农组织正常计划对植保公约秘书处的年度拨款为 295 万美元。粮农组织正常计划拨款中约 33%（98 万美元）用于植保公约秘书处三项支柱：治理和管理、标准制定和实施促进。职工费用总额占拨款额的 69%（204 万美元），业务费用约占 31%（91 万美元）。

3. 通常建议《植保公约》多方捐助信托基金预算约为 100 万美元，但捐助始终没有达到如此高的水平。2014 年，缔约方提供了 72.9 万美元，最接近于上述预算水平。多数《植保公约》多方捐助信托基金资源（42%）用于实施促进，而标准制定以及治理和管理的工作约分别占总预算的 32% 和 26%。职工费用总额占总预算的 76%，而业务费用占总预算的 24%。

为尽量减轻粮农组织工作过程对环境的影响，促进实现对气候变化零影响，本文件印数有限。敬请各位代表、观察员携带文件与会，勿再索取副本。
粮农组织大多数会议文件可从互联网 www.fao.org 网站获取。

4. 过去五年,《植保公约》项目预算在每年 80 万美元上下浮动,且多数用于资助发展中国家参加《植保公约》会议、实施工作审查和支持系统项目、植物检疫能力评价以及其他能力建设活动。

5. 总之,植保公约秘书处年度预算约为 500 万美元,支持秘书处在标准制定、实施和治理方面正在开展的核心行动和职能。该核心能力提供人员和业务资源,吸引和管理《植保公约》活动共同投资;有关活动包括:项目和大部分实施工作、商定的每年至少五项标准的标准制定工作、宣传材料以及网页和网上评议系统等核心信息技术系统维护工作。其中,295 万美元来自粮农组织,约 200 万美元来自缔约方和某些资源组织的捐款。这意味着植保公约秘书处约 60% 的供资来自粮农组织正常计划,该资金来源相当稳定;其余约 40% 主要依赖来自 183 个《植保公约》缔约方及标准和贸易发展基金等其他资源组织的 10—15 个捐助者。

6. 植保公约秘书处正面临缺少稳健和可持续《植保公约》预算外资源资金基础的风险。至少 200 万美元《植保公约》预算外资源在金额和时间上不可预测;这些资金对于资助发展中国家参加《植保公约》会议、解决新出现的有害生物问题、开展新技术和新工具倡议以及资助支持和实施这些倡议的工作人员至关重要。

7. 植检委主席团、植保公约秘书处和战略规划小组商讨了每年为预算外活动提供 200 万美元可持续供资的方案。资源特别是业务所需资源的不可预测性对合理规划以解决缔约方实际需要造成负担。某些活动只有在年内资源到位的前提下才能开展。这往往导致在没有有效规划的情况下仓促上阵,可能产生额外费用并使成果大打折扣。某项活动资金未能及时到位可能使年度工作计划上其他活动无法顺利开展。收入波动和不确定性是满足缔约方需求的主要挑战且可能对商定的其他优先活动造成重大影响。

II. 其他相关国际组织的可持续供资

8. 世界动物卫生组织、北美植物保护组织、亚太植物保护委员会、欧洲植物保护组织和食品法典等许多相关国际组织利用成员政府年度会费为活动供资。

III. 针对《植保公约》制定的战略和采取的行动

9. 多年来,植检临委、植检委、战略规划和技术援助非正式工作组、战略规划小组和主席团讨论了推动为《植保公约》额外供资的机制。讨论涉及采用联合国公式的自愿分摊捐款、通过成员政府年度捐款负担本组织支出的强制捐款等一系列方法。植检临委、植检委、战略规划和技术援助非正式工作组、战略规划小组和主席团还考虑以《公约》修订为契机,纳入利用强制分摊捐款资助《植保公约》活动的文本作为长期解决方案。

10. 在植检委第六届会议(2011 年)上,粮农组织法律办公室告知植检委(植检委第六届会议报告第 149 段),无需针对一个国家或国家/组织团体向植保公约

秘书处捐款确立正式的植检委程序，但需要达成协议以保护捐助者以及本组织利益。协议及资金使用方法是相关国家与粮农组织的双方决定。

11. 自 2013 年起，植保公约秘书处显著改善了财务管理做法、财务报告质量、清晰度、透明度和效率。财务管理做法的改善带来了大量临时资源，但在时间和金额上的可预测性仍然是一个问题。

12. 2015 年，在新任《植保公约》秘书倡议下，成立了植保公约秘书处资源筹措工作组，以加强预算外资源筹措。秘书还采取行动优化可用资源并尽可能延长预算外资源供资工作人员的任期，从而将专长和经验留在秘书处内。

13. 通过上述努力，2016 年植保公约秘书处可持续供资倡议取得了显著进展。首先，在植检委第十一届会议上，《植保公约》秘书促请缔约方继续支持《植保公约》工作计划。随后，植保公约秘书处与植检委主席团和财务委员会合作编制了可持续供资提案。为植保公约秘书处业务活动提供稳定和持续供资的必要性已讨论过多次，应务必予以保障。

IV. 供审议的方案

14. 2016 年 10 月，针对秘书处供资提案，战略规划小组支持植保公约秘书处及核心活动可持续供资的两个明确方案：“分摊自愿捐款协议”制度和“现收现付”制度。这些概念经过合理审查和修订将构成植检委第十五届会议（2020 年）可持续供资提案的基本要素。各方案的某些可能利弊已进一步探讨，且应与提案本身的具体内容同时进一步细化。

15. 分摊自愿捐款预计将作为可预测和稳定资金渠道吸引来自缔约方的正常和持续捐款。根据联合国会费分摊比例估计的为保证可持续运行需要每个缔约方提供的分摊捐款额（约为 200 万美元/年）列于附件 2。该概念是基于为植保公约秘书处工作计划提供的许多小额持续捐款的理念。

16. 为推动供资进程，植保公约秘书处正在着手提供与粮农组织技术合作部合作编写的“自愿捐款协议”草案，各国可利用该“自愿捐款协议”立即提供商定金额的年度分摊资金；“自愿捐款协议”也可成为未来制度的基本组成部分（见附件 1）。

17. 为秘书处活动提供资源的“现收现付”制度将要求植检委授权开展的任何新活动在任何工作启动前由一个或多个缔约方提供资金。如某具体事项没有获得供资，则相关工作不会启动。

18. 两制度可同时运行，“分摊自愿捐款协议”制度适用于《植保公约》核心工作计划的长期供资，“现收现付”制度适用于需要植保公约秘书处予以应对的短期项目。上述两方式均不妨碍为项目提供其他供资，且将成为粮农组织正常计划拨款的补充。

19. “分摊自愿捐款协议”制度的潜在利弊

利 - “分摊自愿捐款协议”制度将:
由于可获得更多长期资源, 可提升谋划更长期秘书处工作计划的能力, 进一步关注工作, 而不是资源筹措。
推动根据联合国标准更公平地分配缔约方提供的自愿捐款; 在全球紧缩大背景下, 不会给政府带来巨大负担。
减轻秘书处短期内资源筹措的负担。
为《植保公约》计划累积信托基金做出贡献。
对多数缔约方而言, 没有在粮农组织成员提供的分摊会费基础上大幅增加捐款额。
弊 - “分摊自愿捐款协议”制度可能:
使缔约方缺乏为植保公约秘书处自愿提供更多资源的意愿/兴趣。
由于新增资源和活动的管理和报告工作, 给财务人员带来额外负担。
增加管理捐款以及确保做出和维持捐款的难度。
“现收现付”制度的可能利弊

利 - “现收现付”制度将:
在工作开始前, 确保可为新领域工作的开展提供充足的人力和财政资源。
增加财务和秘书处管理进程的可预测性。
使管理层减轻资源筹措压力, 更加关注项目的及时交付。
确保在无需跟进且完全取决于缔约方的情况下提供捐款。
弊 - “现收现付”制度可能:
意味着工作计划将不再受植保公约秘书处掌控, 因为工作计划将很可能取决于能够汇集资金支持具体活动的缔约方。
导致管理单个缔约方捐款的单个信托基金过于分散, 给秘书处工作人员带来难以处理的文书工作负担。
由于粮农组织人力资源流程影响在“现收现付”项目基础上招募和留住工作人员的能力, 导致立项严重拖延。

20. 请植检委:

- 1) 原则上批准将“分摊自愿捐款协议”制度和“现收现付”制度作为提交2020年植检委第十五届会议的可持续供资提案的基本组成部分。
- 2) 请植检委主席团及其财务委员会以及战略规划小组为可持续供资提案编制详细规定。
- 3) 呼吁向植检委第十三届会议(2018年)提交可持续供资提案进展报告。
- 4) 鼓励缔约方在过渡时期通过附件1所列分摊自愿捐款协议并按照附件2建议的金额提供预算外资源。

AGREEMENT BETWEEN
THE GOVERNMENT OF _____
AND
THE FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS

MTF/GLO/122/MUL
"Special International Plant Protection Convention Trust Fund"

The **COUNTRY** ("the donor"), shall make available, on a grant basis, to the Food and Agriculture Organization of the United Nations ("FAO"), a contribution amounting up to a maximum of _____ ("the contribution") to provide support to the project "**Special International Plant Protection Convention Trust Fund**" (MTF/GLO/122/MUL) ("the project") as set out in the overall International Plant Protection Convention Secretariat ("the IPPC Secretariat") work plan.

1. Issues from the contribution in currencies other than United States Dollars will be received and recorded based on the United States Dollar value at the UN rate of exchange prevailing on the day of receipt of the contribution.
2. The project will be completed by 31 December 20XX.
3. FAO has established a Multiple Donor Trust Fund ("Trust Fund"), MTF/GLO/122/MUL, to administer the contributions and expenditures of the project. The contribution of the donor will be paid to the Trust Fund. The contribution will be administered under FAO's financial and administrative rules and will be subject to the following conditions:
 - (a) the contribution will be implemented in line with the overall IPPC Secretariat work plan. FAO will make every effort to ensure timely and full implementation of the project;
 - (b) FAO will make every effort to ensure that the contribution is not used to meet the cost of import duties or customs duties (or any similar levies) imposed by the countries involved on the goods imported or services provided. In the event that exemption from such duties is not granted, the costs of duties can be met from the contribution;
 - (c) the contribution shall be paid to FAO in one instalment on signature of this agreement into the following account:

Bank Name: Citibank
 399 Park Avenue, New York, NY, USA, 10022

Account Name: Food Agr Org – TF USD

Swift/BIC: CITIUS33

ABA/Bank Code: 021000089

Account No.: 36352577

clearly stating Project MTF/GLO/122/MUL

- (d) the contribution has to be made in United States Dollars.
4. The donor and FAO shall promptly inform each other of any event or situation which might affect the implementation of project activities and which may necessitate a modification or alteration of the scope, implementation, the agreed budget or other aspects of this Agreement. In case any change occurs in the schedule or implementation of the activities, FAO shall promptly inform the donor.
 5. The obligations of FAO are contingent upon receipt of the necessary funds from the donor in accordance with this Agreement.
 6. The contribution will include a provision not exceeding 6 percent of the total net inputs to cover the cost of administrative and operational services incurred by FAO directly relating to the project.
 7. FAO will administer and account for the contribution in accordance with FAO's financial regulations and other applicable rules and procedures and practices and keep separate records and accounts for the project, which conform to professionally accepted bookkeeping rules and practices. The contribution will be used solely for the support to the project as specified in this Agreement. All financial accounts and statements shall be expressed in United States Dollars and shall be subject exclusively to the internal and external auditing procedures laid down in the Financial Regulations, Rules and directives of FAO, in conformity with the single audit principle observed by the United Nations system as a whole.
 8. All procurement shall be made in accordance with FAO regulations, which conform to generally accepted principles of good procurement practice, including safeguards against corrupt and illegal practice, and that no offer, gift, payment or benefit of any kind, which would or could be construed as an illegal or corrupt practice can be accepted, either directly or indirectly, as an inducement or reward for the award or execution of procurement contracts. To this end, FAO shall ensure that it applies and enforces its relevant rules regarding corrupt and illegal practices.
 9. FAO will provide, at any time and at the request from the donor, its standard financial statements regarding the status of the implementation of the project which will be maintained for the project as a whole.
 10. IPPC Secretariat will report the achieved results of the trust fund contributions each year at its Commission on Phytosanitary Measures (CPM) meeting FAO will submit to the donor, within six months at project completion, a terminal report and a certified financial statement. The financial statement will be issued in US dollars and will be for the project as a whole. Any unspent funds and any interest accrued from the Contribution will be returned to the donor, following closure of the project, on a pro rata basis in proportion to the contribution of each donor. A progress report can be provided if so requested by the donors.
 11. The donor shall not accept any responsibility or liability for any claims, debt demands, damage or loss as a result of the implementations of this Agreement.

12. If any changes occur which, in the opinion of the donor, impair significantly on the value of the project, the donor and FAO will consult on measures to resolve the problem and possible courses of action. In the event of such changes, the donor reserves the right to modify or terminate its financial contribution to the project. In the event of termination, the obligations already assumed by either party shall remain in force to the extent necessary to permit orderly withdrawal of personnel, funds and assets, the settlement of accounts between the parties and the settlement of any liability incurred by FAO for the activities covered by this Agreement.

13. For the avoidance of doubt, nothing in this Agreement or in any document relating thereto will be construed as constituting a waiver of privileges and immunities of FAO. Any dispute between the donor and FAO arising out of the interpretation or execution of this Agreement shall be settled by a mutually agreed arrangement.

14. This Agreement shall enter into force upon signature by both parties and may be subsequently amended by mutual consent in writing.

15. This Agreement is made in two originals in the English language, duly signed by the authorized representatives of the donor and FAO.

<p>For the Government</p> <p>Signed:</p> <p>Name:</p> <p>Date:</p>	<p>For the Food and Agriculture Organization of the United Nations</p> <p>Signed:</p> <p>Name:</p> <p>Date:</p>
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Attachment 2: Table of Estimated voluntary contribution amounts by contracting parties based on UN Assessment scale (2017), set to an annual revenue of USD 2 million

IPPC Contracting party	UN Scale of assessments (percentage)	USD
Afghanistan	0.0060%	120
Albania	0.0080%	160
Algeria	0.1610%	3,220
Antigua and Barbuda	0.0020%	40
Argentina	0.8920%	17,840
Armenia	0.0060%	120
Australia	2.3370%	46,740
Austria	0.7200%	14,400
Azerbaijan	0.0600%	1,200
Bahamas	0.0140%	280
Bahrain	0.0440%	880
Bangladesh	0.0100%	200
Barbados	0.0070%	140
Belarus	0.0560%	1,120
Belgium	0.8850%	17,700
Belize	0.0010%	20
Benin	0.0030%	60
Bhutan	0.0010%	20
Bolivia (Plurinational State of)	0.0120%	240
Bosnia and Herzegovina	0.0130%	260
Botswana	0.0140%	280
Brazil	3.8230%	76,460
Bulgaria	0.0450%	900
Burkina Faso	0.0040%	80
Burundi	0.0010%	20
Cabo Verde	0.0010%	20
Cambodia	0.0040%	80
Cameroon	0.0100%	200
Canada	2.9210%	58,420
Central African Republic	0.0010%	20

IPPC Contracting party	UN Scale of assessments (percentage)	USD
Chad	0.0050%	100
Chile	0.3990%	7,980
China	7.9210%	158,420
Colombia	0.3220%	6,440
Comoros	0.0010%	20
Congo	0.0060%	120
Cook islands	no UN assessment	N/A
Costa Rica	0.0470%	940
Côte d'Ivoire	0.0090%	180
Croatia	0.0990%	1,980
Cuba	0.0650%	1,300
Cyprus	0.0430%	860
Czech Republic	0.3440%	6,880
Democratic People's Republic of Korea	0.0050%	100
Democratic Republic of the Congo	0.0080%	160
Denmark	0.5840%	11,680
Djibouti	0.0010%	20
Dominica	0.0010%	20
Dominican Republic	0.0460%	920
Ecuador	0.0670%	1,340
Egypt	0.1520%	3,040
El Salvador	0.0140%	280
Equatorial Guinea	0.0100%	200
Eritrea	0.0010%	20
Estonia	0.0380%	760
Ethiopia	0.0100%	200
European Union	no UN assessment	N/A
Fiji	0.0030%	60
Finland	0.4560%	9,120
France	4.8590%	97,180

IPPC Contracting party	UN Scale of assessments (percentage)	USD
Gabon	0.0170%	340
Georgia	0.0080%	160
Germany	6.3890%	127,780
Ghana	0.0160%	320
Greece	0.4710%	9,420
Grenada	0.0010%	20
Guatemala	0.0280%	560
Guinea	0.0020%	40
Guinea-Bissau	0.0010%	20
Guyana	0.0020%	40
Haiti	0.0030%	60
Honduras	0.0080%	160
Hungary	0.1610%	3,220
Iceland	0.0230%	460
India	0.7370%	14,740
Indonesia	0.5040%	10,080
Iran (Islamic Republic of)	0.4710%	9,420
Iraq	0.1290%	2,580
Ireland	0.3350%	6,700
Israel	0.4300%	8,600
Italy	3.7480%	74,960
Jamaica	0.0090%	180
Japan	9.6800%	193,600
Jordan	0.0200%	400
Kazakhstan	0.1910%	3,820
Kenya	0.0180%	360
Kuwait	0.2850%	5,700
Kyrgyzstan	0.0020%	40
Lao People's Democratic Republic	0.0030%	60
Latvia	0.0500%	1,000
Lebanon	0.0460%	920
Lesotho	0.0010%	20

IPPC Contracting party	UN Scale of assessments (percentage)	USD
Liberia	0.0010%	20
Libya	0.1250%	2,500
Lithuania	0.0720%	1,440
Luxembourg	0.0640%	1,280
The former Yugoslav Republic of Macedonia	0.0070%	140
Madagascar	0.0030%	60
Malawi	0.0020%	40
Malaysia	0.3220%	6,440
Maldives	0.0020%	40
Mali	0.0030%	60
Malta	0.0160%	320
Mauritania	0.0020%	40
Mauritius	0.0120%	240
Mexico	1.4350%	28,700
Micronesia (Federated States of)	0.0010%	20
Mongolia	0.0050%	100
Montenegro	0.0040%	80
Morocco	0.0540%	1,080
Mozambique	0.0040%	80
Myanmar	0.0100%	200
Namibia	0.0100%	200
Nepal	0.0060%	120
Netherlands	1.4820%	29,640
New Zealand	0.2680%	5,360
Nicaragua	0.0040%	80
Niger	0.0020%	40
Nigeria	0.2090%	4,180
Niue	no UN assessment	N/A
Norway	0.8490%	16,980
Oman	0.1130%	2,260
Pakistan	0.0930%	1,860
Palau	0.0010%	20

IPPC Contracting party	UN Scale of assessments (percentage)	USD
Panama	0.0340%	680
Papua New Guinea	0.0040%	80
Paraguay	0.0140%	280
Peru	0.1360%	2,720
Philippines	0.1650%	3,300
Poland	0.8410%	16,820
Portugal	0.3920%	7,840
Qatar	0.2690%	5,380
Republic of Korea	2.0390%	40,780
Republic of Moldova	0.0040%	80
Romania	0.1840%	3,680
Russian Federation	3.0880%	61,760
Rwanda	0.0020%	40
Saint Kitts and Nevis	0.0010%	20
Saint Lucia	0.0010%	20
Saint Vincent and the Grenadines	0.0010%	20
Samoa	0.0010%	20
Sao Tome and Principe	0.0010%	20
Saudi Arabia	1.1460%	22,920
Senegal	0.0050%	100
Serbia	0.0320%	640
Seychelles	0.0010%	20
Sierra Leone	0.0010%	20
Singapore	0.4470%	8,940
Slovakia	0.1600%	3,200
Slovenia	0.0840%	1,680
Solomon Islands	0.0010%	20
South Africa	0.3640%	7,280
South Sudan	0.0030%	60
Spain	2.4430%	48,860
Sri Lanka	0.0310%	620

IPPC Contracting party	UN Scale of assessments (percentage)	USD
Sudan	0.0100%	200
Suriname	0.0060%	120
Swaziland	0.0020%	40
Sweden	0.9560%	19,120
Switzerland	1.1400%	22,800
Syrian Arab Republic	0.0240%	480
Tajikistan	0.0040%	80
Thailand	0.2910%	5,820
Togo	0.0010%	20
Tonga	0.0010%	20
Trinidad and Tobago	0.0340%	680
Tunisia	0.0280%	560
Turkey	1.0180%	20,360
Tuvalu	0.0010%	20
Uganda	0.0090%	180
Ukraine	0.1030%	2,060
United Arab Emirates	0.6040%	12,080
United Kingdom of Great Britain and Northern Ireland	4.4630%	89,260
United Republic of Tanzania	0.0100%	200
United States of America	22.0000%	440,000
Uruguay	0.0790%	1,580
Vanuatu	0.0010%	20
Venezuela (Bolivarian Republic of)	0.5710%	11,420
Viet Nam	0.0580%	1,160
Yemen	0.0100%	200
Zambia	0.0070%	140
Zimbabwe	0.0040%	80
Gambia	0.0010%	20
<i>Non-assigned percentage</i>	<i>0.1210%</i>	<i>2,420</i>
Total (183 IPPC CPs)	100%	2,000,000

Source: <http://www.un.org/en/ga/contributions/budget.shtml>; www.ippc.int