



# Convention on Biological Diversity

Distr.  
GENERAL

UNEP/CBD/COP/13/7/Add.2  
UNEP/CBD/BS/COP-MOP/8/7/Add.2  
UNEP/CBD/NP/COP-MOP/2/7/Add.2  
16 October 2016\*

ORIGINAL: ENGLISH

CONFERENCE OF THE PARTIES TO THE CONVENTION ON BIOLOGICAL DIVERSITY  
Thirteenth meeting  
Item 8 of the provisional agenda \*\*

CONFERENCE OF THE PARTIES SERVING AS THE MEETING OF THE PARTIES TO THE CARTAGENA PROTOCOL ON BIOSAFETY  
Eighth meeting  
Item 10 of the provisional agenda \*\*\*

CONFERENCE OF THE PARTIES SERVING AS THE MEETING OF THE PARTIES TO THE NAGOYA PROTOCOL ON ACCESS TO GENETIC RESOURCES AND FAIR AND EQUITABLE SHARING OF BENEFITS ARISING FROM THEIR UTILIZATION  
Second meeting  
Item 9 of the provisional agenda \*\*\*\*

**Cancun, Mexico, 4-17 December 2016**

## REPORT ON THE FUNCTIONAL REVIEW OF THE SECRETARIAT

*Note by the Executive Secretary*

### I. INTRODUCTION

1. In its decision XII/32, paragraph 3, the Conference of the Parties (COP) requested the Executive Secretary to complete the functional review of the Secretariat of the Convention on Biological Diversity in consultation with the Executive Director of the United Nations Environment Programme (UNEP). In paragraph 4 of the same decision, the Conference of the Parties also requested the Executive Secretary to notify the Parties when each of steps 1, 2, and 3 as set out in the annex to document [UNEP/CBD/COP/12/28](#), is completed and consult the Bureau on the progress of the functional review.

2. The Conference of the Parties, in paragraph 5 of decision XII/32, also requested the Executive Secretary to submit the final report of the in-depth functional review of the Secretariat, including individual post analysis, in time for discussion at the first meeting of the Subsidiary Body on Implementation, with a view to preparing a decision for the thirteenth meeting of the Conference of the Parties.

3. Furthermore, the Conference of the Parties authorized the Executive Secretary, on an exceptional basis and within the United Nations rules and regulations, and without prejudice to the decision of the thirteenth meeting of the Conference of the Parties on the in-depth functional review and the classification of staff positions, to adjust the staffing levels, numbers and structure of the Secretariat in the light of the

\* Reissued for technical reasons on 4 November 2016.

\*\* UNEP/CBD/COP/13/1.

\*\*\* UNEP/CBD/BS/COP-MOP/8/1.

\*\*\*\* UNEP/CBD/NP/COP-MOP/2/1/Rev.1.

continuing outputs of the functional review, provided that the overall cost of the Secretariat remains within that of the indicative staffing table, and to report on the adjustments made at the thirteenth meeting of the Conference of the Parties.

4. The steps as set up in the annex to document [UNEP/CBD/COP/12/28](#) are aimed at putting in place at the Secretariat new managerial tools and an updated organizational structure through an iterative process and to sharpen the results focus of the Secretariat to ensure the optimization of the use of the human and financial resources allocated by the Parties. The three steps outlined actions in fulfilment of the functional review of the Secretariat are as follows: Step 1: Planning of the biennial work of the Secretariat based on the Strategic Plan of the Convention and its Aichi Targets, the Strategic Plan of the Biosafety Protocol and decisions from COP 12 of the Convention, COP-MOP 7 of the Cartagena Protocol and COP-MOP 1 of the Nagoya Protocol; Step 2: Organizational design based on the Medium-term Operational Results Framework (MTORF) and Article 24 of the Convention, design of work plans (results-based framework), development of internal operating policies, operationalization of the result-based frameworks and policies and new Secretariat-wide approaches; and Step 3: Reorientation and/or design of functions (posts) to address new approaches which involves post descriptions for all positions, regularization of functions according to United Nations rules and regulations in collaboration with the UNEP/United Nations Office at Nairobi (UNON), preparation of report on lessons learned on progressive evolution and post-by-post organizational design based a proactive design targeted toward strengthening the capacity of the Secretariat for the balance of the decade, presentation of budget based on the renewed Secretariat and report to COP and COP-MOPs.

5. At its first meeting, held in Montreal, Canada, from 2 to 6 May 2016, the Subsidiary Body on Implementation took note of the progress made under the functional review process, the Medium-term Operational Results Framework and the emerging new organizational structure of the Secretariat and requested the Executive Secretary to report on the adjustments made to the Conference of the Parties at its thirteenth meeting for its consideration.

6. The Subsidiary Body on Implementation also requested the Executive Secretary to: (a) ensure that the main functions of the Secretariat, as established in Article 24 of the Convention, Article 31 of the Cartagena Protocol and Article 28 of the Nagoya Protocol, remain firmly at the core of the completion of the functional review and are reflected in the structure of the Secretariat; (b) share with the Bureau of the Conference of the Parties the full report of the independent consultant on the analysis of individual posts of programme staff in an appropriate manner and consistent with the relevant rules and regulations of the United Nations; (c) notify the Parties when the remaining steps of the functional review, as set out in the annex to the note submitted by the Executive Secretary for the twelfth meeting of the Conference of the Parties<sup>1</sup> are completed and to consult the Bureau on progress; and, finally, (d) improve the flow of information on the activities of the Secretariat through the Bureau of the Conference of the Parties.

7. Furthermore, the Subsidiary Body on Implementation requested the Executive Secretary to prepare, for consideration by the concurrent meetings of the Parties to the Conference of the Parties and the Parties to Cartagena and Nagoya Protocols the following: (a) a proposal for the review and updating of the guidelines for the apportionment of funds for the participation of developing county Parties, in particular the least developed countries and small island developing States as well as countries with economies in transition, in the meetings of the Convention and its Protocols with a view to promoting full and effective participation in meetings of the Conference of the Parties, concurrent meetings of the Parties of the Cartagena and Nagoya Protocols and meetings of subsidiary bodies; (b) a proposal for the review of the manner in which the costs of the core budgets of the Secretariat are shared among the Convention, the Cartagena Protocol and the Nagoya Protocol in order to develop cost scenarios in the light of the

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<sup>1</sup> UNEP/CBD/COP/12/28.

functional review of the Secretariat, including the increased integration of work and proportional to the number of Parties to the respective instruments and their respective contributions.

8. The present report on the functional review of the Secretariat to the Conference of the Parties to Convention and its Protocols provides an introduction and the mandates within which the functional review was undertaken. Section II outlines the details of the functional review process as outlined in the mandates and the results of each step. Section III provides suggested elements for a draft decision.

## **II. THE FUNCTIONAL REVIEW PROCESS AND OUTPUTS**

### **Step 1: Planning of the biennial work of the Secretariat**

9. The Secretariat-wide planning of the biennial work was initiated immediately after the meetings of the Convention and its Protocol in Pyeongchang, Republic of Korea. All staff of the Secretariat were tasked to formulate activities derived from mandates from COP and COP-MOPs for the biennial period 2015–2016, in a participatory manner, using the result-based management framework tool.

10. The planning exercise was organized in an iterative and transparent manner with the involvement of all staff. The process enabled all staff to identify the respective (a) mandates by Parties for their work, (b) expected outcomes, and (c) their specific contributions to the overall programme of work of the Secretariat, based on the Strategic Plan for Biodiversity 2011–2020, the Strategic Plan for the Cartagena Protocol on Biosafety 2011–2020, decisions emanating from COP 12, COP-MOP 7 of the Cartagena Protocol, COP-MOP 1 of the Nagoya Protocol and any continuing mandates from previous meetings.

11. The activities formulated also facilitated the development of the Medium-term Operational Results Framework of the Secretariat (MTORF) by the management of the Secretariat. The MTORF highlights areas where the Secretariat has a comparative advantage and where, given its capacities, the Secretariat can best support Parties and facilitate their work in their long-term strategic mission to achieving the goals of the Strategic Plan for Biodiversity 2011–2020, the Strategic Plan for Biosafety and the attainment of the Aichi Targets.

#### **A. Results-based Management Framework (RBMF)**

12. The Result-based Management Framework (RBMF) tool was adopted to enable the Secretariat to ensure consistency in Secretariat-wide integrated approach to the decisions of the Parties, measure performance and guarantee transparency in the reporting of results. The RBMF articulated the roles and responsibilities of the Secretariat based on the biennium programmes of work. The tool provides a framework that strengthens the Secretariat as a whole, based on its comparative advantage and mandate, and helps to facilitate decision-making within the Secretariat.

13. Furthermore, the RBMF helps to ensure understanding among the staff on what they aim to achieve, how they plan to work together to achieve it, and how they will measure and report on outcomes on the Secretariat-wide formulated activities during the biennium. The tool also facilitated better management, learning, accountability and maximum use of both material and human resources throughout the biennium to help improve efficiency at the Secretariat. It provided an early indication on how the activities were set up logically — with a strong commitment to results across the Secretariat — and with a good chance to succeed.

#### **B. Medium-term Operational Results Framework of the Secretariat**

14. As a result of the activities formulated by staff in response to mandates by the Parties, a Secretariat-wide MTORF of its functions leading up to the year 2020 was developed by the management. The framework is composed of a vision, a mission statement for the remainder of the United Nations Decade on Biodiversity and six operational goals of Secretariat functions. Each operational goal has its operational objectives and indicative activities.

15. The MTORF was not only designed to strengthen the management and delivery capacity of the Secretariat but also to recommend to the Parties the comparative strengths of the Secretariat so that Parties may take these strengths into account in making their decisions as to how best to utilize these existing strengths. The MTORF with its complementary biennium result-based management framework also facilitates an organizational redesign that enhances effectiveness of the Secretariat.

16. The outputs of the planning phase are available as the MTORF (UNEP/CBD/COP/13/INF/6) and the Results-based Management Framework for the biennium, 2015-2016. The Results-based Management Framework Tool exercise also facilitated the integrated approach to Secretariat work programmes which resulted in a comprehensive proposed voluntary budget for the consideration of the Parties covering two biennia, 2017-2020.

## **Step 2: Process towards an organizational design**

### **Secretariat-wide approach to programmes of work**

17. As part of the evolving functions of the Secretariat since its establishment, from the core functions of meeting preparations and operations (as stipulated in Article 24 of the Convention), to the functions that support Parties and facilitate implementation, an exercise was conducted by all staff to identify linkages, synergies and commonalities among the formulated activities for the biennium programmes of work. This exercise also identified overlaps or duplications and facilitated mergers or deletions among Secretariat-wide activities.

18. As a result of this exercise, taking into account the operational goals and functional objectives of the MTORF of the Secretariat, cross-cutting Secretariat-wide activities were identified and clustered into following eight Secretariat-wide cross-cutting categories for an integrated Secretariat-wide implementation, bearing in mind the priority the core Secretariat functions of meeting preparation and operation (as stipulated in Article 24 of the Convention):

- (a) Legal and intergovernmental affairs;
- (b) Capacity-building;
- (c) Knowledge management;
- (d) Resource mobilization;
- (e) Cooperation and mainstreaming;
- (f) Communication;
- (g) Monitoring;
- (h) Information and communications technology.

### **Matrix (integrated) approach to Secretariat-wide activities**

19. The pilot phase was used to implement some of the Secretariat-wide selected projects on cross-cutting issues in order to better understand how the matrix approach of the Secretariat might operate and also to ensure a smooth and effective change management at the Secretariat. It was also intended to provide lessons that could feed into the reorganization/redesign of the Secretariat.

20. A pilot phase of the matrix approach was executed from 1 July to 30 September 2015 and was aimed at maximizing the efficient use of both human and material resources that exist at the Secretariat. As a first step in the approach, projects were selected and developed based on identified interlinkages and synergies among activities mandated by the Conference of the Parties and the Conference of the Parties serving as the meetings of the Parties to the Protocols in the RBMF. The pilot phase also provided the opportunity for staff to modify their individual work plans at the mid-point review of the United Nations performance assessment cycle of 1 April to 30 March according to their newly identified roles and duties.

21. The matrix approach also took into account the biennial working cycle, whereby the first year immediately after the meetings of the Conference of the Parties and of the Conference of the Parties serving as the meetings of the Parties to the Protocols is mostly used by the Secretariat in executing

implementation support functions, such as design, formulation and execution of mandated activities, while in the second year of the biennium, the work of Secretariat shifts to core meeting support functions as established in Article 24 of the Convention, Article 31 of the Cartagena Protocol and Article 28 of the Nagoya Protocol, such as document preparation, logistics arrangements for the meetings of the Conference of the Parties and the Conference of the Parties serving as the meeting of the Parties to the Protocols.

### **Matrix approach teams**

22. A core team of 2-6 staff members from across the Secretariat led by middle-level staff (P-3 to P-5 levels) and contributing staff (10–20 staff members who remain subject specialists working in a mutually supportive manner with the core team) were established to execute projects under each of the cross-cutting clusters.

### **Matrix approach projects**

23. Projects that were deemed executable within the biennium with specific timelines and targets were selected with additional criteria such as having: (a) identified linkages and synergies among Secretariat-wide formulated activities from the RBMF with direct links to the MTORF; (b) cross-sectoral input and coordination from staff (breaking silos); (c) ownership by middle level staff; (d) deliverables within the biennium; and (e) focus to clarify mandates of the clusters on the cross-cutting areas.

24. The project teams were tasked to prepare (a) common approaches to achieving targets; (b) initiate development of standard operational procedures (SOPs) and guidelines between implementation support delivery staff and subject specialist staff in a mutually supportive manner; and (c) identify in-house skill sets to achieve targets.

25. At the end of the pilot phase, project teams were requested to present their achievements as follows: (a) statement on the work of the cluster that clearly states its matrix function, for example mandate, duties and responsibilities; (b) practical outputs/status of the strategically selected deliverables (projects) during the pilot phase; (c) remaining work of the cluster as derived from the RBMF for the biennium; (d) draft SOPs and guidelines; (e) core staff of each cluster; (f) contributing staff (subject specialists); and (g) challenges/any possible solutions.

### **Pilot Phase Matrix (integrated) Approach Outputs**

#### *A. Legal and Intergovernmental Affairs*

26. The Legal and Intergovernmental Affairs cluster identified its mandate as “Promote the overall legal consistency of processes and workflow of the Secretariat, in particular, in areas that need legal expertise and in managing intergovernmental processes. The cluster provides legal support to the Secretariat in carrying out its functions and to Parties in their efforts to implement the Convention and the Protocols.” This is a key integral component of the meeting support functions as established in Article 24 of the Convention, Article 31 of the Cartagena Protocol and Article 28 of the Nagoya Protocol.

27. The cluster identified its core functions as (a) assisting in the preparation of the provisional agendas, annotations, including organization of work for meetings of COP and COP-MOPs and advising on the choreographies and the conduct of business; (b) coordinating the planning of meetings organized in preparation for COP and COP-MOPs, including the meetings of subsidiary bodies, with a view to maximizing coherence and integration; (c) reviewing draft recommendations and draft decisions with a view to promoting coherence and consistency, including with procedures and any existing guidelines; as well as complementarity with previous decisions.

28. The following projects were initiated during the pilot phase under the Legal and Intergovernmental Affairs cluster for completion in the biennium: (a) preparation of the plan for the

concurrent organization of COP 13, Cartagena Protocol COP-MOP 8 and Nagoya Protocol COP-MOP 2; (b) reviewing of the workflow for all intersessional activities; (c) review of draft recommendations in all Secretariat documents for complementarity, consistency and coherence.

### *B. Capacity-building*

29. The identified mandate of the Capacity-building cluster is to “Coordinate, facilitate and support the planning, delivery, monitoring and evaluation of the Secretariat’s capacity-building support to Parties for the effective implementation of the Convention and its Protocols, in accordance with the decisions of COP and COP-MOPs”.

30. The Secretariat aims to focus its efforts on developing tools, including training and guidance materials, mechanisms and facilities, to facilitate Parties in developing their capacities for the effective implementation of the Convention and its Protocols and minimize its direct involvement in the delivery of capacity-building activities.

31. The core functions of the capacity-building cluster are as follows: (a) coordinate the SCBD capacity-building strategy to support Parties and stakeholders in the implementation of the Strategic Plan for Biodiversity 2011-2020, including its Aichi Biodiversity Targets, and the Strategic Plan for the Cartagena Protocol on Biosafety 2011-2020 with a view to fostering consistent approaches to capacity-building across the Secretariat; (b) coordinate the development and implementation of the Secretariat’s biennial work plans on capacity-building after each COP and COP-MOP meetings to facilitate strategic, structured and coordinated implementation of the capacity-building mandate given to the Secretariat to ensure maximum synergy, efficiency, effectiveness and impact of the Secretariat’s activities; (c) coordinate the development of standard operating procedures, guidelines and Quality Assurance Standards for capacity-building based on best practices and lessons learned and promote their consistent application across the Secretariat; (d) provide support to programme officers, as required, in the implementation of capacity-building activities, in accordance with the agreed standard operating procedures and guidelines; (e) organize trainings for staff to improve their skills in key areas (e.g. design and delivery or coordination of e-learning courses and webinars, train-the-trainers methodology, etc.) in order to be able to effectively support capacity-building efforts. (f) identify opportunities for outsourcing the design and delivery of capacity-building activities to suitable international, regional and subregional partners and coordinate with the respective Programme Officers to ensure effective and efficient delivery by the partners, in accordance with the agreed standard operating procedures and guidelines and the quality assurance standards; (g) establish and maintain a Learning Management System to facilitate the hosting and administration of e-learning courses on various thematic areas; (h) develop and administer online searchable repositories for capacity-building tools and resources, initiatives, opportunities, and support Parties and relevant organizations in registering and updating information about their capacity-building tools, initiatives, needs and other relevant information; (i) develop and maintain a capacity-building web portal to serve as a one-stop-shop or user interface for accessing available capacity-building information, tools and resources, including access to e-learning courses in the Learning Management System, the searchable repository of capacity-building tools and resources, the matchmaking facility, discussion forums, and other tools; and (j) monitor and assess the performance and impact of capacity-building activities co-designed by the Secretariat and delivered by partners in accordance with the mandate given to the Secretariat by COP and COP-MOPs.

32. The following projects were initiated during the pilot phase under the Capacity- building cluster for completion in the biennium. (a) establishment of a CBD-branded learning management system (LMS) to facilitate the hosting, delivery, administration, tracking and assessment of e-learning offerings (including e-learning courses/modules and webinars) for Parties, which is accessible at: <http://scbd.unssc.org/>; (b) development of a repository and a user-interface for capacity-building resources to facilitate the capture and structured access to information on a wide range of capacity-building

initiatives, tools and resources, and opportunities for supporting the implementation of CBD and its Protocols.

### *C. Knowledge management*

33. The Knowledge Management cluster identified its mandate as “Manage and facilitate access to knowledge and information relevant to biodiversity and biosafety”.

34. The core function identified by the knowledge management cluster is to provide innovative and effective knowledge sharing and information services to facilitate the implementation of the Convention and its Protocols.

35. The following projects were initiated during the pilot phase under the knowledge management cluster for completion in the biennium: (a) Web strategy to ensure the CBD website and the various clearing-houses are centrally accessible to ensure that all information common or relevant to the clearing-house mechanism (CHM), the Access and Benefit-sharing Clearing-House (ABS-CH) and the Biosafety Clearing-House (BCH), as well as other platforms developed under the Convention, can be accessed centrally to avoid duplication of efforts; and (b) information sharing between the central and national CHMs through an interoperability mechanism.

### *D. Resource mobilization*

36. The resource mobilization cluster identified its mandate as “Facilitate resource mobilization for the implementation of the Convention and its Protocols”.

37. The core function identified by the resource mobilization cluster is to provide technical guidelines on financial reporting, the identification of funding needs, gaps and priorities, and the development of national resource mobilization strategies.

38. The following projects were initiated during the pilot phase under the resource mobilization cluster for completion in the biennium: (a) online financial reporting framework (FRF); (b) further advancement of policy development and guidance on reporting methodologies and on reporting on collective action of ILCs and non-market approaches.

### *E. Cooperation and mainstreaming*

39. The Cooperation and Mainstreaming cluster identified its mandate as “Facilitate the integration of the biodiversity and biosafety agenda into all relevant international intergovernmental processes under the United Nations and others, and support efforts to include biodiversity and biosafety in other relevant global initiatives of nongovernmental stakeholders”.

40. The core functions identified by the cooperation and mainstreaming cluster are: (a) plan/manage/coordinate all activities related to cooperation and mainstreaming of biodiversity agenda; (b) undertake research and analysis related to key strategic processes, issues and sectors and to the preparation of inputs to United Nations and other international processes, both global and regional; including on linkages between biodiversity and specific sectors in support of policy development and joint programming; (c) lead and coordinate the preparation, compilation and provision of information/inputs from the Convention and its Protocols to United Nations and other international processes, including regional processes, in support of mainstreaming; (d) develop, maintain and enhance relationships with relevant organizations, initiatives and cooperative mechanisms, including those related to specific sectors, regions and to the private sector (business), in support of mainstreaming and/or implementation and the reciprocal exchange of information between processes; (e) liaise and engage towards increased cooperation/synergies among the conventions and relevant instruments, including serving as the secretariat to interagency cooperative mechanisms established under the auspices of the Convention and its Protocols.

41. The following projects were initiated during the pilot phase under the cooperation and mainstreaming cluster for completion in the biennium: (a) conceptualization of an IT tool to monitor/track/report on processes, activities, and projects related to mainstreaming and cooperation as part of a holistic secretariat database linked to several currently fragmented initiatives/tools, including those related to contacts/mail lists, registration, reporting, decision tracking, meetings and calendar. This would maintain and provide access to data on external and partner organizations, and the status of cooperation and mainstreaming (and other) activities. It would also contribute to greater coordination and efficiency of partnerships, cooperation and mainstreaming efforts in support of implementation, including planning/resourcing; (b) development of a draft mainstreaming strategy including CBD contribution to international processes to enhance the capacity of the secretariat to coordinate its efforts at mainstreaming biodiversity; and (c) development of draft partnerships/cooperation strategy and procedures to enhance the capacity of the secretariat to enter into and maintain partnerships that contribute to the objectives of the MTORF, the Convention and its Protocols.

#### *F. Communication*

42. The Communications cluster identified its mandate as “Provides guidance, establishes standards, and implements support activities relating to communication to the Secretariat and the Parties as they implement the Strategic Plan for Biodiversity 2011-2020 and the Strategic Plan on Biosafety, and seek to achieve the Aichi Biodiversity Targets”.

43. The core functions identified by the Communications cluster are: (a) develop and keep under review, the corporate communications strategy for the Secretariat and its relationship to any global communication strategies for the Strategic Plans under the Convention; (b) ensure that activities of the Secretariat are communicated using common formats, branding and messaging, and that strategic communication opportunities are identified and seized; (c) assist divisions in the Secretariat in maximizing the impact of their communications activities, through editing, branding and message harmonization, and identifying external partners who could be multipliers for such efforts; (d) use the most up-to-date communication tools such as social media, social marketing, IT and messaging design to improve the impact and reach of secretariat communications; (e) ensure the most efficient use of resources for communication, and reducing redundancies and production time for Secretariat communication products.

44. The following projects were initiated during the pilot phase under the communications cluster for completion in the biennium: (a) branding and visual identity guidelines to help CBD Staff and third parties present material in a consistent way to reflect the CBD identity, mission, and culture; (b) social media guidelines were developed as a set of standards for the CBD social media focal points to ensure accurate and high-quality content that communicates the CBD’s core messages; (c) communication strategy to define clearly the issues that need to be addressed, and how the Secretariat should go about addressing them in a clear and focused way in order to ensure the greatest outreach and enhance biodiversity awareness across all sectors; and (iv) communications Opportunity Assessments - international meetings and United Nations Days, 2015–2016, that allows for the Secretariat to plan structured and targeted messaging well in advance of relevant meetings for CBD (meetings important for biodiversity and for achieving the Aichi Biodiversity Targets) as well as the United Nations Days, in addition to providing a timeframe for which to launch reports/guidelines etc.

#### *G. Monitoring*

45. The Monitoring cluster identified its mandate as: “Facilitate the review of implementation and the evaluation of the effectiveness of the Convention and its Protocols”.

46. The core functions identified by the monitoring cluster are: (a) facilitate the submission of information on implementation by Parties and the gathering, analysis and dissemination of the information; (b) promote coherent submission and analysis of information, optimized use of all



information gathered, and Secretariat-wide access to, and use of, this information for the preparation of documents as well as the development of further guidance and tools related to monitoring implementation with the ultimate goal of further supporting the implementation of the Convention and its Protocols.

47. The following projects were initiated during the pilot phase under the monitoring cluster for completion in the biennium: (a) coherent reporting system across the Convention and its Protocols; (b) coherent approach towards analysis of country information; (c) analysis documents prepared for bodies under the Convention and its Protocols on issues related to monitoring; and (d) methods, procedures and tools developed to support the review and evaluation of the convention and its protocols.

48. The main activities undertaken include: (a) finalization and testing of the online reporting tool for assessing progress towards the Aichi Biodiversity Targets, (b) preparation of draft guidelines for the sixth national report, (c) review of progress towards the achievement of targets established in the framework of the Strategic Plan for Biodiversity 2011-2020, (d) analysis of the revised national biodiversity strategies and action plans and the assessment of the contribution of national and regional targets towards the global targets; and (e) further development of a methodology for a voluntary peer-review process of NBSAPs.

#### *H. Information and Communications Technology*

49. The Information and Communications Technology cluster identified its mandate as: “Develop, manage and maintain the information technology infrastructure and architecture of the Secretariat, covering the needs of the Convention and its Protocols. The core group also develops technological strategies to increase the organization’s efficiency and the quality of products offered to Parties, the Secretariat and other stakeholders”.

50. The core functions identified by the Information and Communications Technology cluster are: (a) develop and maintain platforms through the CHM for online forums and real time/virtual conferences on topics relevant to the implementation of the Convention and its Protocol; (b) develop and maintain the central portal, its clearing-houses and databases to facilitate access to, and sharing of, biodiversity, biosafety and access and benefit-sharing related information in a user-friendly, searchable, and understandable manner; (c) operates the organization’s internal and external IT processes using modern project management tools and visual Gantt Charts to ensure an optimal and timely completion of projects; (d) works to streamline business processes with technology and focuses on the needs of Parties, staff and other stakeholder needs; and (e) identifies, collaborates and manages vendors and contractors that supply infrastructure solutions and aligns the organization’s IT infrastructure and product architecture to strategic priorities within the United Nations rules and regulations.

51. The major project initiated during the pilot phase under the information and communications technology cluster for completion in the biennium is the integration and consolidation of the architecture and infrastructure of the CBD websites and the enhancement of the user-friendliness of the CBD clearing-house mechanisms. A single user interface is proposed to all CHM users with a unique password to enable interaction with any part of the CBD website and its CHMs.

52. The main activities undertaken include: (a) CHM online reporting tools that allows Parties to report on progress made on their national targets and on their financial framework; (b) CHM application programming interface (API) that allows open sharing of public data stored in CBD’s databases. This enables any external application to retrieve public data for further analysing and presenting. The best external example of this automatic information exchange is the UNEP InforMEA application that harvests CBD related information from the API to show on its website; (c) deployment of web and database servers on the Internet cloud, in strategic geographical locations, to offer optimal response when navigating CBD sites; (d) servicing of all other clusters: (i) capacity-building common format (Capacity-building); (ii) Decision Tracking System (Legal and Intergovernmental); (iii) API for interoperability (Knowledge management); (iv) InforMEA (Knowledge management); (v) IT tool to track mainstreaming and cooperation activities, processes and projects (Cooperation and Mainstreaming); (vi)

visualization and display of reporting results, including statistical analysis, and map and list view of information (Monitoring); (vii) Financial reporting – Enhancement of the reporting tool (temporary access to partner agencies) (Resource Mobilization); (viii) integrated and coherent financial reporting and subsequent analysis (Resource Mobilization); (ix) Capacity-building Portal (Capacity-building); (x) meeting document page including agenda (Legal and Intergovernmental); and (xi) Advice on social media integration (Communication).

### **Pilot Phase Matrix (integrated) Approach - Lessons learned**

53. The Secretariat-wide matrix approach to work has demonstrated the potential benefits in fostering inter-divisional collaboration and coordination. Such an integrated approach is expected to result in a more coordinated, efficient and effective service delivery to the Parties and other stakeholders while maximizing the use of both available human and material resources of the Secretariat.

54. Work within and among the core teams require ongoing and simultaneous cooperation. In order to manage overall workload and to minimize the scattering of responsibilities, it was found that the Secretariat needs to maintain flexibility/fluidity in particular with regard to defining the standard operating procedures of the contributing staff who work with the clusters. While interaction and collaborative action among staff in various divisions is good, it also places considerable demand on some staff members' time. The staff is expected to contribute to the various core teams of the various clusters. It was recommended that a system be put in place to equitably distribute work through standard operating procedures.

55. The Pilot Phase Matrix approach also provided lessons on advance planning and budgeting, which resulted in the proposed voluntary budget for mandated activities of the Secretariat covering the period 2017-2020 to enable Parties prioritize and provided the necessary predictable funds for activities.

### **New structure of the Secretariat**

56. The planning phase of the function review articulated the roles and responsibilities of the Secretariat based on the biennium programme of work in response to the decisions of the Parties to the Convention and its Protocols. The Medium-term Operational Results Framework with its complementary Result-based Management Framework of activities has summarized the functions of the Secretariat and facilitated an organizational redesign that enhances effectiveness of the Secretariat support to the Parties.

57. In developing a new organizational design of the Secretariat, the following guidelines were taken into consideration: (a) breaking silos of related sets of responsibilities; (b) optimizing the use of human resources to avoid overlaps and duplications; (c) ensuring that the organizational design fits purpose; “form (organizational design) follows function (niche or comparative advantages)”; (d) improving cross-sectoral coordination; (e) finding innovative ways of structuring the Secretariat to enable staff to work across subject matter areas; (f) optimizing use of available skill sets; (g) taking cognizance of the organizational learning phase; and (h) ensuring managerial responsibility for these cross-cutting teams.

58. Three options were considered in developing a new organizational design of the Secretariat: (a) functional structure; (b) process structure and (c) hybrid structure.

59. A hybrid structure was chosen as the most feasible for the Secretariat. The hybrid design combines both process and functional structures in a matrix structure. The model prioritizes an organizational management based on cross-cutting processes while preserving some level of the functional structure by subject/thematic matter. This offers the necessary flexibility to the Secretariat for better use of its resources. Functional leaders are responsible for managing programmes, whereas process leaders are responsible for managing projects.

60. A project is usually triggered by one of the thematic units and is enabled by the different process units working together or in sequence. Internal operating policies are essential to ensure standardization

and successful completion of projects. This structure combines many of the advantages of both functional and process structures. In the hybrid design, the aim is to improve cross-sectorial coordination and integration of the Secretariat activities to improve efficiency. The establishment of Planning and Monitoring unit reporting directly to the Executive Secretary is to ensure that any lag in activity execution will be quickly brought to the attention of the Executive Secretary for redress.

61. The new Secretariat structure comprising of the Office of the Executive Secretary and three divisions: 1. Scientific and Policy Support, 2. Mainstreaming and Outreach Support and 3. Implementation Support with their various units and their mandates is available as (UNEP/CBD/COP/13/INF/7).

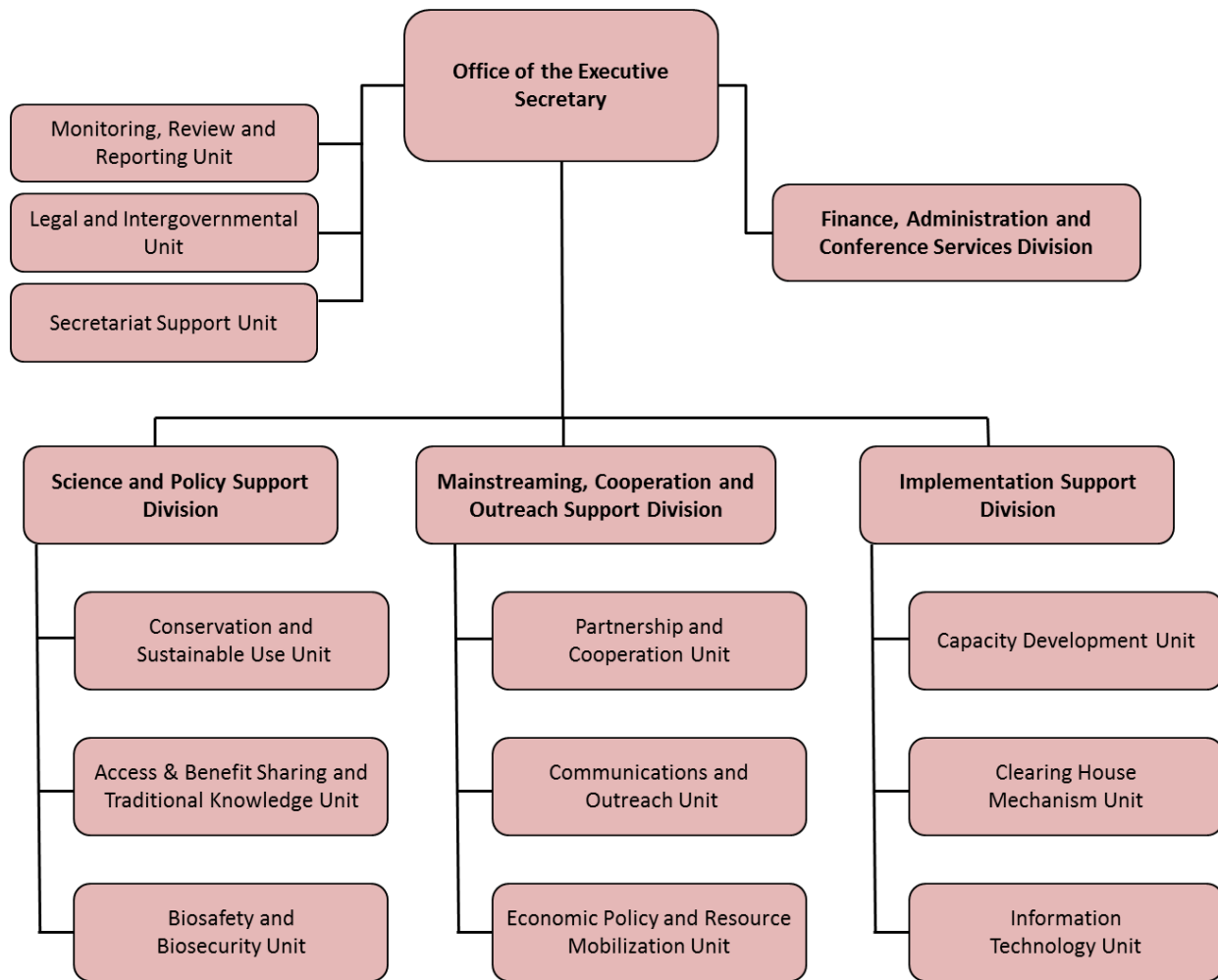
62. The mandates of the Office of the Executive Secretary and the three divisions are as follows:

(a) **Office of the Executive Secretary:** The Executive Secretary, assisted by the Deputy Executive Secretary and the Management Committee provides strategic planning and management of the Secretariat to ensure its effectiveness in support of the Parties. The Office of the Executive Secretary will ensure effective coordination of the Secretariat's activities and monitor progress in the implementation of the Secretariat's work programme, in line with the Medium-term Operational Framework and decisions of the Conference of the Parties and meetings of the Parties. The Management Committee, chaired by the Executive Secretary, is made up of the Heads of Divisions and any co-opted members, will advise the Executive Secretary through a collective decision-making process on strategic planning, operational issues and setting priorities for the effective management and execution of the work at the Secretariat. The Office of the Executive Secretary will also house the corporate legal services and ensure the coherence of the concurrent meetings, organization of work and consistency of procedures with the aim of improving the efficiency and the effectiveness of processes and structures under the Convention and the Protocols. The Administration, Finance and Conference Services Division, the Legal and the Intergovernmental Unit, the Secretariat Support Unit and the Monitoring, review and reporting Unit will function directly under the Office of the Executive Secretary. The office will also house the Monitoring, Review and Reporting Unit to help integrate reporting across the Convention and the Protocols and focus on improving the monitoring and review of implementation of the Convention;

(b) **Scientific and Policy Support:** Provide support for the Convention and its Protocols through (a) provision of scientific and technical analyses to facilitate decision-making and implementation; (b) provision of support for the implementation of the Protocols; (c) integrating access and benefit sharing (ABS) and biosafety in the work of the Convention; and (d) provision of inputs to Secretariat-wide integrated processes;

(c) **Mainstreaming, Cooperation and Outreach Support:** Provide support for the Convention and its Protocols by (a) coordinating the Secretariat's work on mainstreaming of biodiversity, (b) providing policy and technical expertise on cross-cutting mainstreaming issues, (c) coordinating the collaboration of the Secretariat with partners in support of the Convention and its Protocols, and (d) carrying out and coordinating the Secretariat's communications and outreach activities. Its work will include the Secretariat's work related to economics and resource mobilization as well as the financial mechanism of the Convention;

(d) **Implementation Support:** Provide support to Parties in the implementation and review of the Convention and its Protocols by (i) facilitating the design, implementation, monitoring, evaluation and follow-up of the Secretariat's capacity-building activities (ii) catalysing and supporting technical and scientific cooperation among Parties (iii) supporting the clearing-house mechanisms to advance knowledge management for the implementation of the Convention and its Protocols; (iv) facilitating and service meetings of the Subsidiary Body on Implementation and other relevant intergovernmental processes; (v) managing the ICT services in the Secretariat and (vi) providing inputs to Secretariat-wide integrated processes to support the implementation of the Convention and its Protocols.



**Figure 1. New SCBD structure**

### **Step 3: Reorientation and/or design of functions**

#### **Review of programme staff posts**

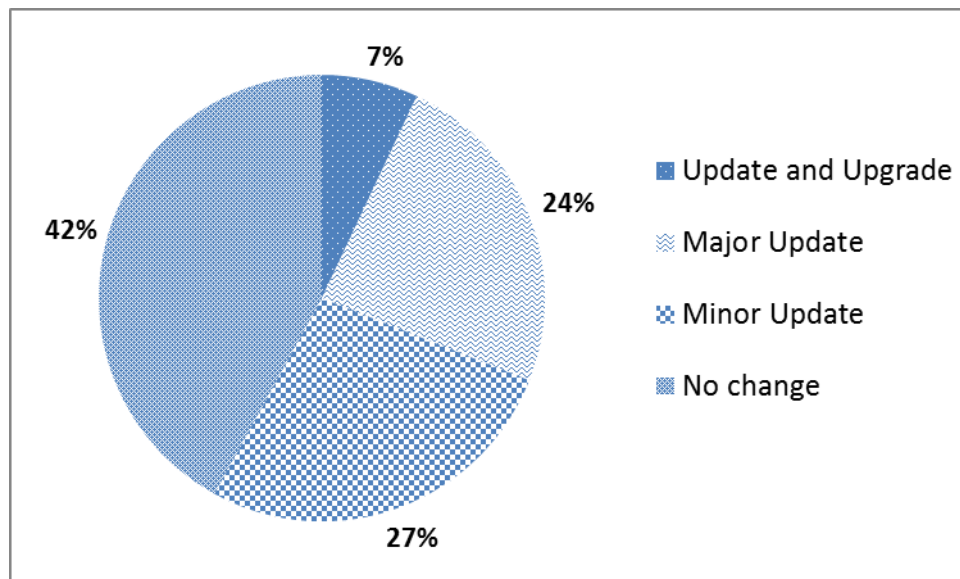
63. As requested by the Conference of the Parties, an analysis of individual posts of programme staff was conducted by a human resources management consultant with an extensive United Nations experience. The analysis took the form of a desk review to examine the functions of the various programme staff posts at the Secretariat within the overall framework of the Secretariat's core functions as envisaged in Article 24 of the Convention as well as the adopted Medium-term Operation Results Framework of the Secretariat. The exercise involved a review of the terms of reference of various posts at the Secretariat with a view to adjusting them in the light the new expanded responsibilities of the Secretariat and the challenges facing the Convention and its Protocols, and to also ensure the effective functioning of the Secretariat. The review helped to re-orient and update the Secretariat to provide the much needed support to the Parties in realizing their obligations to the treaties.

64. The scope of work of the analysis was to: (a) review and analyse the functions of each post at its establishment and compare these functions to the current functions of the incumbent, taking cognizance

of the last two performance appraisal reports on the incumbent; (b) consider relevance/linkages of the functions of each post to providing the core functions of the Secretariat as envisaged in Article 24 of the Convention, as well as to the functions of the Medium-term Operation Results Framework; (c) identify any gaps or expanded responsibilities in the functions of each post as they currently exist; (d) identify whether the current duties and responsibilities of each post are commensurate with the level of the post; (e) provide advice on the level of the posts required to lead on the eight clusters identified as the emerging Secretariat-wide matrix work in the functional review; (f) make recommendations on the findings keeping in view the Medium-term Operation Results Framework and the core functions of the Secretariat.

65. The analysis of the 41 Professional and higher category posts have yielded the following four types of recommendations: (a) update and upgrading of posts (7 per cent - three posts); (b) update of the job description to reflect significant changes in duties and responsibilities, however, no change in grade, (24 per cent - 10 posts) or (c) a review of the job description and evaluation of the post with a view to reflecting minor changes such as changes in reporting relationships or change in emphasis of the task (27 per cent - 11 posts); (d) no significant change 42 per cent (17 posts).

66. The pie chart below depicts the broad results of the individual programme post analysis. The full report of the analysis is available in document UNEP/CBD/COP/13/INF/8.



**Figure 2. Results of the individual programme post analysis**

67. It is noted, however, that, with the recent renumbering exercise of the General Service posts, these positions were not included in the review.

68. In follow-up actions, and to ensure smooth change management at the Secretariat, the recommendations of the desk review were implemented in a consultative manner through workshops and discussions with the incumbents on the posts, taking into account the new structure of the Secretariat and the Medium-term Operational Results Framework of the Secretariat.

69. As requested in decision XII/32, paragraph 3, the Secretariat updated and reviewed all job descriptions of the programme posts per the results of the individual post analysis, as appropriate, to reorient and/or design them to address the new approaches of the Secretariat. The final regularization of the new job descriptions by the United Nations rules and regulations is in process with UNEP and the United Nations Office at Nairobi (UNON).

## **Budget**

70. As requested by the Subsidiary Body on Implementation, a proposal for the review of the manner in which the costs of the core budgets of the Secretariat are shared among the Convention, the Cartagena Protocol and the Nagoya Protocol in order to develop cost scenarios in the light of the functional review of the Secretariat, including the increased integration of work and proportional to the number of Parties to the respective instruments and their respective contributions is available in document UNEP/CBD/COP/13/7.

### **III. SUGGESTED ELEMENTS FOR A DRAFT DECISION**

71. Taking into account the information provided above, the Conference of the Parties may wish to consider adopting a decision along the following lines:

*The Conference of the Parties to the Convention on Biological Diversity,*

*Recalling* decisions XI/31, paragraph 3, and XII/32, paragraph 3,

*Noting* the steps taken in the reorientation and organizational design of the functions of the Secretariat in strengthening its capacity to ensure its support to Parties in an integrated manner for the implementation of the Convention and its Protocol,

*Welcoming* the updated organizational structure of the Secretariat and the new managerial tools aimed at sharpening its results-orientated focus to optimize of the use of the human and financial resources,

*Recognizing* the new structure and its new managerial tools, such as the Medium-term Operational Results Framework (MTORF), the Results-based Management Framework tool (RBMF), the development of internal operating policies, policies and new Secretariat-wide approaches,

*Requests* the Executive Secretary:

(a) To adopt and institutionalize the biennial planning phase after all future concurrent meetings of the Parties to the Convention and its Protocols and to identify synergies among activities of the Conference of the Parties and the Conference of the Parties serving as the meeting of the Parties to the Protocols in order to formulate and execute these activities in an integrated and cost effective manner;

(b) To continue to ensure efficiency and optimization of the use of both human and financial resources allocated by the Parties;

(c) To ensure that Article 24 of the Convention, Article 31 of the Cartagena Protocol and Article 28 of the Nagoya Protocol of the Convention remains its core business;

(d) To continue to strengthen the management and delivery capacity of the Secretariat.

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