



Management Review of the Secretariat to the CBD  
Implementation Support to the Parties for Enhanced  
Implementation of the Convention



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Implementation of the Convention

Submitted to:

**Executive Secretary  
Convention on Biological Diversity**

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# Management Review of the Secretariat to the CBD Implementation Support to the Parties for Enhanced Implementation of the Convention

## 1 Introduction

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1. Stratos Inc. was commissioned by UNEP/the Secretariat to the Convention on Biological Diversity (SCBD) to undertake a management review of the Secretariat. The purpose of the review is to assist the Executive Secretary to identify management actions to better equip the SCBD to undertake its functions more effectively and efficiently in meeting the needs of the enhanced implementation phase of the convention. The results of the management review will be submitted by the Executive Secretary to the Executive Director of UNEP, with his comments, as well as to the Ninth Meeting of the Conference of the Parties to be held in May 2008.
2. Decisions adopted by the Parties at the Eight meeting of the COP held in March 2006 opened an enhanced phase of implementation of the Convention. In Decision VIII/31 adopting the budget for the Secretariat, the Conference of the Parties mandated the Executive Secretary to adjust the structure of the Secretariat to meet the needs of the new implementation phase of the Convention.
3. The management review provides an analysis of the existing functions and capacities of the Secretariat and the structure needed to better support the Parties in implementation of the Convention. The review follows up on the May 2006 Audit of the UNEP Secretariat to the Convention on Biological Diversity (AA2006/220/03) conducted by the UN Office of International Oversight Services (OIOS). The review focuses on two key findings of the Audit:
  - i. "The current organizational structure (of the Secretariat) dates back to the development phase of SCBD, which was primarily focussed on servicing meetings. SCBD is now entering the implementation phase and OIOS is of the opinion that the current structure may not be capable of sustaining the current meeting schedule plus additional monitoring activities that will be required as part of the implementation phase."
  - ii. "SCBD sought and was granted, by COP 5 in 2000, approval to establish a conference services section costing approximately \$500,00 per annum at the time of the audit. The need for a specialist function dealing with organising meetings has been established, but a review of whether this function should be outsourced or supplemented by external assistance

needs to be undertaken to establish the cost effectiveness of having a conference services section in house.”

4. The Convention Article 24 of the Convention establishes the Secretariat to the Convention on Biological Diversity with the following functions:
  - a) To arrange for and service meetings of the Conference of the Parties provided for in Article 23;
  - b) To perform the functions assigned to it by any protocol;
  - c) To prepare reports on the execution of its functions under this Convention and present them to the Conference of the Parties;
  - d) To coordinate with other relevant international bodies and, in particular to enter into such administrative and contractual arrangements as may be required for the effective discharge of its functions; and
  - e) To perform such other functions.

While this Article makes no explicit provision for implementation support activities by the Secretariat, it is not limiting, and is subject to elaboration through decisions of the COP. The Secretariat has been directed by a number of COP decisions over the years to undertake activities directly related to implementation of the Convention.

## **2 Methods**

5. Stratos reviewed – publicly available documents including Articles of the Convention, COP Decisions and Executive Secretary and Working Group documents prepared for the COP decision, reports of the Executive Secretary, terms of reference and PAS of Secretariat staff. A list of documents reviewed is provided in Annex 3. Stratos interviewed 14 staff members of the Secretariat. The questionnaire used is provided in Annex 4. A list of people interviewed in provided in Annex 5. The Review was also informed by the work of the Internal Management Task Force established by the Executive Secretary.

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### 3 Findings and Conclusions

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#### 3.1 Secretariat Role

6. Decisions of the Conference of Parties (COP) to the Convention on Biological Diversity have provided direction to the Executive Secretary giving the Secretariat to the Convention a mandate to undertake a number of functions and specific activities to support implementation of the Convention. The most recent decisions include COP 8 decisions (e.g. VIII/2, VIII/10, VIII/14, VIII/16, and VIII/31). These decisions have drawn on recommendations of the Working Group on Review of Implementation of the Convention (WGRI), and on a substantial number of decisions of previous meetings of the COP which directed the Executive Secretary to carry out activities to support Parties in implementation of provisions of the Convention. The focus of these decisions has been on implementation of specific obligations of the Parties under the Convention - Articles 6, 13 and 26, in particular; and, on implementation of thematic and cross-cutting programmes of work which have been adopted by the Parties.
7. The Executive Secretary has demonstrated through his actions that implementation support is a main focus of the work of the Secretariat. The Secretariat staff have a general shared understanding that enhanced implementation means a shift toward more action, and less new policy; and a focus on implementation of existing decisions and achievement of concrete biodiversity results.
8. However, uncertainty and differences in interpretation exist across the staff with respect to the role of the Secretariat in supporting implementation and what this means for the Secretariat's activities.

#### 3.2 Competing Demands

9. The Secretariat is being driven in two, often competing, directions. The first is to continue to service meetings. The second is the increasing demand to support the Parties in implementation of the Convention. For example,
  - The number of mandated (COP approved) meetings has risen from 54 in the inter-sessional period COP 7 – 8, to 62 in period COP 8 - 9, with no increase in staff;
  - The Biosafety MOP has added to the demands – particularly on the Executive Secretary and Conference Services; while at the same time,
  - The Parties to the CBD have emphasized implementation of the Convention in the CBD Strategic plan, adoption of the 2010 target on reducing the rate of biodiversity loss, and the work of the Working Group on Review of Implementation of the Convention.

10. COP decisions since the mid 1990s show that a substantial number of CBD programs of work are now "mature". This means that the COP has provided sufficient policy guidance to allow Parties to be implementing them at the national level. Some of them are well into the implementation phase. The same is true for key implementation provisions of the Convention including on NBSAPs (Article 6), national reports (Article 26), and public education and awareness (Article 13), which require no further policy to be set by the COP but rather need guidance and support in their implementation by Parties.
11. A disproportionate level of effort is devoted to meetings of the Parties which prepare or take new decisions, given the policy decisions which have already been taken to guide implementation of the Convention. The servicing of meetings of the Parties and its subsidiary bodies - including research, drafting of documents, attendance at meetings, and documentation of meetings results - occupies a large portion of the time of the Secretariat staff. Estimates of meeting workload for staff vary from 60% (SEL), to 50% (STTM), to 30% (OMG) to 10% (ITS), annually. Some meetings can serve to support implementation of the convention, for example those which help to build capacity of the Parties or mobilize financial resources. However, most meetings continue to be for the purpose of preparing new decisions of the Parties.
12. The Management Review has noted the overly demanding workload which the Secretariat staff face at all levels. Contributing factors include:
- Insufficient staff posts to meet the dual demands of servicing meetings and managing program activities/implementation support;
  - Delays in recruitment;
  - Insufficient planning – processes and priority setting;
  - Inadequate coordination among Secretariat divisions; and
  - Inadequate staff accountability in some cases for how time is spent.

The recently introduced timesheets will provide one useful tool and source of information for helping to manage this issue.

13. The Review has found that there is a growing discrepancy between the activities assigned to the Secretariat by the Parties and the resources approved for their execution, and that it will be difficult for the Secretariat to maintain this pace of activity. The Secretariat's resources, as well as its capacities and structure, are inadequate to meet the two growing demands of servicing meetings and implementation support. There is a need for better setting of priorities to reduce the demands on the Secretariat, including resolving the question of the large number of meetings, and for augmenting the staffing of the Secretariat.

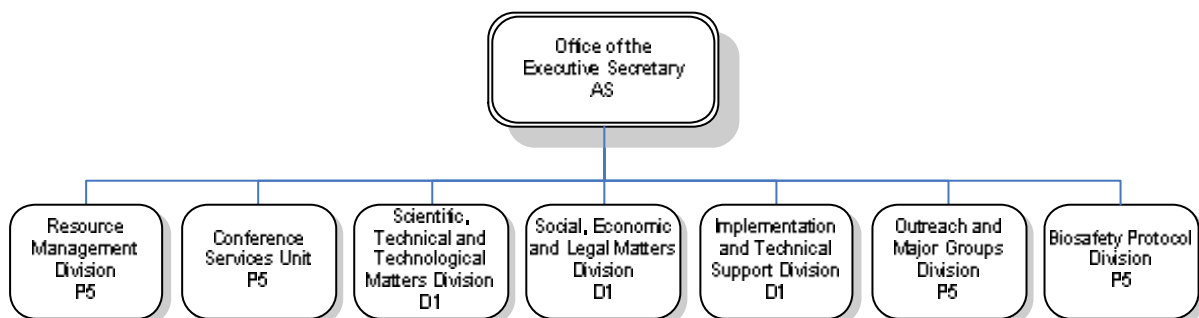
### 3.3 Secretariat Functions to Support Implementation of the Convention

14. COP decisions requesting the Executive Secretary to act on implementation include a number of functions. A sampling of these includes: facilitate, in cooperation with partner organizations, provision of training and technical support; scientific and technical cooperation as well as technology transfer; compilation of a range of instruments, including toolkits and documentation of best practices; strengthen collaboration with the FAO and ICARDA; secure more resources for programme support to fund convention activities; liaise with the conventions, organizations and initiatives with a view to advancing implementation; review implementation of the programme of work and to build capacity using tools; report to the Parties on progress made in implementation; make existing conservation-finance tools available through the clearinghouse mechanism; include the private sector as a target audience for its outreach materials; enhance the facilitation of support to Parties and promote capacity building for the preparation of national reports; organize training workshop in the preparation of fourth national reports; and elaborate a limited number of measureable indicators to measure progress in the implementation of the (CBD) strategic plan.
15. Staff descriptions of the implementation role of the Secretariat include the following: to catalyze, leverage, convene, engage actors in governments and other sectors; communicate and raise awareness; facilitate capacity building and access to information, mobilize donor resources, provide advice and technical assistance, interaction with national governments– in support of Parties efforts.
16. Based on a review of decisions of the Parties, and of the Secretariat's activities, the Management Review has identified the following 10 implementation support functions carried out by the Secretariat:
  1. Facilitating and providing technical support to the Parties, including development of guidance and tools;
  2. Facilitating and providing capacity building including training and institutional support to the Parties;
  3. Knowledge management and information sharing including compiling and disseminating lessons learned and functioning of the CHM;
  4. Facilitating technology transfer and technology cooperation;
  5. Leveraging and mobilizing financial resources for national implementation;
  6. Facilitating and leveraging other organizations actions through inter-agency cooperation and partnerships with UN agencies and other international organizations;
  7. Facilitating South-South collaboration;
  8. Engaging major groups/stakeholders in implementation of the Convention;
  9. Promoting the Convention through communication, awareness building and outreach; and
  10. Reviewing and reporting on progress in implementation of the Convention.

### 3.4 Secretariat Structure

17. The Executive Secretary has put in place a Secretariat structure which provides an initial step to increasing the focus on implementation support, in response to the Decision COP VIII/31. Figure 1 below shows this structure including the post level for the head of each division/unit. The Divisions for Implementation and Technical Support (ITS), and Outreach and Major Groups (OMG) are devoted in large part to supporting enhanced implementation. For example ITS responsibilities currently focus on support to Parties for National Biodiversity Strategies and Action Plans, National Reporting, and on financial resources and liaison with the Financial Mechanism. The job description of the recently advertised DI position for Principal Officer of ITS provides the clearest example of the range of implementation responsibilities which have been assigned to the Secretariat by the Conference of Parties.

**Figure 1**  
**Organization Chart of the Secretariat to the Convention on Biological Diversity - 2007**



18. A review of job descriptions for Scientific, Technical and Technological Matters Division (STTM) and Social, Economic and Legal Matters Division (SEL) staff from D1 to P-level and G-level showed that implementation support responsibilities are included only in general terms in job descriptions. In a few examples of annual PAS Performance Plans for STTM and SEL staff, more specific implementation support functions have been specified. (See Annex 1).

At the activity level, the Secretariat has undertaken in the last two years a substantial number of actions directed to supporting parties in implementation. Annex 2 provides a sampling of these.

### **Post Terms of Reference**

19. Responsibilities for implementation support activities are divided. ITS and OMG have well defined implementation responsibilities. A number of staff in STTM and SEL play a larger or lesser role in implementation support activities, but through more ad hoc arrangements – such as special assignments or undertaking occasional activities such as organizing workshops. While clearly specified in individual job descriptions, the role of ITS and OMG as implementation support units are not well understood in the other Divisions of the Secretariat. Nor does ITS or OMG draw sufficiently on the expertise available in STTM and SEL.
20. While the formal implementation support responsibilities rest with ITS and OMG, key aspects of implementation support – particularly related to thematic and cross-cutting programmes of work which have been adopted by the COP, rest with STTM and SEL. However, these responsibilities have not been clearly specified in the job descriptions of the Principal Officers, professional and general service staff.
21. In summary, the review finds that the current Secretariat structure does not fully reflect the set of implementation support functions required for the enhanced implementation phase of the Convention. The current structure represents only an interim step to the enhanced implementation phase.
22. The experience of other environmental conventions whose programmes have entered into implementation shows the need for the Secretariat structure to reflect implementation needs. For example, CITES has established a Capacity Building Unit, and the Vienna Convention for the Protection of the Ozone Layer has the Montreal Protocol Unit which supports implementation.

### **3.5 Executive Secretary Responsibilities**

23. The terms of reference for the Executive Secretary, drafted in 1998, contains general responsibilities directly related to implementation of the Convention, including:
  - Liaison with specialized agencies, other IGOs and NGOs to involve them in the work of the convention;
  - Negotiating with the institutional structure operating the financial mechanism;
  - Advancing awareness and understanding of the Convention; and,
  - Facilitating technical cooperation among the Parties.

24. These general responsibilities continue to be important, however they do not provide specific accountability of the Executive Secretary to the Parties, for the enhanced phase of implementation of the Convention. In practice the Executive Secretary is in fact devoting substantial time to implementation support functions including facilitating and leveraging other agencies' actions to support implementation, through partnership agreements with other UN Agencies and non-governmental actors; and, promoting the Convention through active outreach and communication. Further, he has taken on the informal role of the champion of implementation of the Convention.
25. The Executive Secretary's office has no senior person assigned to support the governance functions of the Secretariat – e.g. support to the Bureau. Thus the Executive Secretary has been required to be directly involved in all aspects of governance support to the Parties. The Executive Secretary has recently established the post of Secretary to the CBD mandated bodies – COP, SBSTTA – to assist him in governance support functions.
26. The Office of the Executive Secretary does not have a senior staff member assigned to address day-to-day operational matters. Unlike other international environmental organizations and Convention secretariats, the Secretariat has no formal deputy. Strategic leadership and day-to-day management represent two distinct functions. In the absence of a deputy, the Executive Secretary has had to play a more hands-on role. This has included giving direction and assignments to individual staff members in Divisions and occasionally being involved in solving operational problems. Such a situation can create conflicting priorities for Secretariat junior staff.
27. Experience has shown that it is difficult for a head of agency/secretariat to carry out the necessary external functions of representation and outreach, and oversight of the management of the organization, when he/she also has day-to-day management responsibilities. The Review has found that the Executive Secretary currently has too many responsibilities.

### **3.6 Staffing and Resources**

#### **3.6.1 Posts**

28. COP 8 approved 60 posts for the Secretariat, compared to 69 posts requested by the Executive Secretary to carry out the activities mandated by the COP (see Figure 2), and to 59 posts available in 2005 and 2006. COP 8 adopted a full schedule meetings but did not provide additional posts put forward by the Executive Secretary to service them.
29. The Secretariat also has available to it additional posts:

- 10 through UNON, under the SCBD's administrative agreement with UNON, 9 of which are for administrative functions + 1 devoted to implementation support – the fund officer for biosafety)
- 6 for biosafety approved by Cartagena Protocol MOP
- 1-2 interns (UN JPOs) on average
- 2 assigned from formal partnerships – 30% of Geneva liaison officer (UNEP), 100% Global Conservation officer (Botanic Garden Conservation International)

30. The SCBD has also used program partnerships to access supplementary resources to maintain its work on implementation support, including two positions at UNESCO; one at the Secretariat of the Convention to Combat Desertification; and posts to support the Wetlands Partnership with RAMSAR Convention Secretariat which are filled by existing staff in each organization.

31. The number of vacancies in the Secretariat has been a long-standing problem. Filling posts with qualified personnel remains a cumbersome process, in part because of the demands of the UN Galaxy personnel system. However, at the time of writing of this report the number of vacant posts had been reduced to 1 post or a 1.5% vacancy rate, compared to a 27% vacancy rate at the time of the 2006 audit, which commented on the need to address the rate of vacancies.

**Figure 2**  
**COP8 Approved Staffing Level for CBD Secretariat**

	2007	2008
<b>Professional category</b>		
ASG	1	1
D- 1	3	3
P- 5	4	4
P- 4	17	17
P- 3	8	8
P- 2	1	1
<b>Total professional category</b>	<b>34</b>	<b>34</b>
<b>Total general service category</b>	<b>26</b>	<b>26</b>
<b>TOTAL</b>	<b>60</b>	<b>60</b>

Source: COP Decision VIII/31

### **3.6.2 Budget**

32. COP 8 approved a core budget for the Trust Fund for the Convention on Biological Diversity (BY) of \$10,956,700 for 2007 and \$11,390,600 for 2008, similar to the levels requested by the Executive Secretary. COP 8 also approved for the Special Voluntary Trust Fund for Additional Voluntary Contributions in Support of Approved Activities (BE) at a level of \$3,519,500 in 2007 and \$2,190,400 in 2008. It further approved \$3,390,000 and \$5,480,500 for 2007 and 2008, respectively, for the Special Voluntary Trust Fund for Participation of Parties in the Convention Process (BZ). Funds for the BE and BZ need to be raised separately by the CBD Secretariat before the activities can be undertaken.
33. A substantial portion of the BY (staff positions and activities) and all of the BZ budgets are dedicated to the organizing, conduct and reporting of CBD meetings. A substantial portion of the BE budget is dedicated to implementation support activities – and therefore needs to be raised separately from the core budget approved by the COP. This hinders implementation support planning, adds a large measure of uncertainty to implementation support efforts of the Secretariat, and creates additional demands on staff time to raise funds.
34. Based on interview results and review of the object of expenditure of the COP core (BY) approved budget, it is estimated that approximately 35% of the Secretariat budget in 2007 and 2008 is allocated for implementation support activities. An alternate, more direct figure, which likely excludes budget allocated to some staff and activities supporting implementation, is 31% (2007) and 23% (2008) for implementation support activities. This is derived from the core budget lines in the approved core budget (BY) for the Implementation and Technical Support and Outreach and Major Groups divisions of the Secretariat.

### **3.7 Work planning**

35. There is no harmonized work planning process across secretariat, for the biennium between meetings of the COP nor on an annual basis. However, the systematic application of the PAS performance planning and appraisal process which has been implemented across all Secretariat Divisions is an important step in the right direction. This process is now being used to develop annual or longer-term work plans for senior staff, and for some Divisions, through the roll up of objectives and priority activities in staff PAS performance plans.
36. The introduction of staff timesheets in mid 2006 provides an important tool for the Executive Secretary, Principal Officer/Division heads, and individual staff members to track their time against priorities agreed in PAS plans and Divisional work plans.

37. Although not formally part of work planning, the Executive Secretary has encouraged staff to identify and work on cross-cutting implementation support initiatives. A small number of staff including in ITS, STTM and SEL have responded, demonstrating a willingness to take on additional responsibilities beyond their program and technical responsibilities. This is an encouraging measure but one which needs to be made more systematic through an annual work planning process.

### **3.8 Staff Attitudes**

38. There remains among many Secretariat staff a familiarity and comfort with serving the Convention through new meetings. Examples include a secretariat staff member, who is asked to prepare a realistic and manageable draft list of meetings for the inter-sessional period COP 9 - 10, and prepares a standard long list of meetings as in the past. Another example involves a secretariat staff member seeing the need for continuing meetings of CBD bodies to provide more guidance on implementation of the 2010 target, before the emphasis can be placed on implementation. This attitude is translated into draft decisions for Parties to decide on new meetings (rather than focusing on meeting existing obligations and supporting implementation), creating a vicious cycle of ever-increasing demands to service meetings while the implementation requirements of the Convention continue to grow.

39. On the other hand, there are good examples of staff members who are innovative in understanding the needs for implementation support of the Convention. They interpret requests by the Parties to the Executive Secretary in ways which promote implementation activities, as long as the work helps implement the decisions of the Parties. Specific recent examples have been on donor coordination for capacity building, and cities and biodiversity. Other secretariat staff have worked on facilitating and mobilizing funds with NGO and international organization partners to provide capacity building workshops – for example on implementation of the protected areas programme of work, and for Access and Benefit Sharing.

40. However, overall, Secretariat staff tend to be conservative in their interpretation of COP decisions in terms of the Secretariat's role in implementation support while some are more proactive.

### **3.9 Capacities and Skills**

41. It is essential for the Secretariat to maintain scientific (biophysical and social) and technical expertise among its staff – for credibility of the Convention and to support the Parties. However, this is no longer sufficient. Not many of the current staff complement have been trained or have specific experience in implementation although some from government agencies of Parties, or from international organizations have worked on implementation activities in their former positions.

Those with longer term tenures in the Secretariat have gained experience mainly with preparing technical and policy analysis to support meetings of the Parties. In some cases they also have relevant experience with facilitation of partners and others to catalyze implementation of programs of work. However, overall the Secretariat staff are mostly not trained to help Parties with implementation activities.

42. The Review has found that the expertise and skill of staff filling posts at all levels is weak in key areas essential to effective implementation - training and capacity development, networking, communication, fund mobilization, and technical assistance skills and expertise are lacking.

### **3.10 Accountabilities**

43. While responsibilities of staff members have become more clearly articulated in the last two years with the attention paid to the application of PAS process (staff performance plans with objectives and priority activities, and annual performance reviews), accountabilities of senior staff in the Secretariat are not clearly established. As is too common in international organizations, all accountabilities are seen as resting with the Executive Secretary. This constrains the ability of senior officers to focus the activities of their divisions and carry out their responsibilities effectively. It also further burdens the Executive Secretary.

### **3.11 Information and Knowledge Management**

44. Although the review did not look into detail at the information and data management systems of the SCBD, it did find that, with the exception of the Clearinghouse Mechanism which is managed for use by the Parties and other stakeholders, that these systems are still at a rudimentary stage of development for internal use by SCBD staff in managing their activities. Additionally, for information with respect to reviewing and analyzing the information from national implementation strategies and progress reports, the appropriate tools are lacking.
- The lack of internal knowledge management systems may drive a silo approach to supporting the Convention and put the Secretariat at risk for loss of knowledge.

### **3.12 Conference Services**

45. The provision of Conference services is seen by secretariat staff in all units as a critical function. These services are fundamental to the work of a Convention Secretariat and provide a "face" of the Secretariat to the Parties. The 2006 Audit called for a review of the conference services function and whether it should be outsourced or supplemented.

46. The current management review has found that, despite years of providing logistical, translation and interpretation services to meetings of the Parties, this core secretariat function is not managed efficiently nor effectively enough to meet the large and on-going demands placed on the Secretariat.

47. Key observations made by the Management Review on the current functioning of the services are:

- There is no experienced manager responsible for Conference Services; this responsibility has rested with the Chief Editor for several years, by default; recently the Executive Secretary has assigned one of the experienced D1s to serve as acting manager of Conference Services, on a part time basis;
- The demands on conference services, and for translation services in particular, are very high and time-pressured, including the servicing of two instruments (the CBD and the Cartagena Protocol), the preparation of materials for a large number of meetings of the Parties and technical meetings, and an increasing demand for translation of materials for implementation support;
- Interpretation services:
  - Decisions on hiring of interpreters for specific assignments have, until very recently, been made on a case-by-case basis by a contracted "coordinator", drawing on a pre-set roster;
  - the process is seen as being efficient by some members of the Secretariat, and as closed and not assuring quality by others;
  - The contracting of interpretation services is timing consuming and increasingly uncertain
  - a recent agreement being signed by the Secretariat with the International Civil Aviation Organization (lead UN agency in Montreal), but the CBD has not been able to obtain the services it needs to service recent meetings in Montreal;
- Translation services:
  - An established process is used to identify translators, including selection criteria and testing of candidates
  - Maintenance of a roster of translators for each language, and a standard document stating hiring conditions for free-lance translators
  - Decisions on the translators to use from the roster are made by one individual in the Conference Services Unit, matching the level of difficulty of text with the time available to conduct the translation and availability of translators from the roster
  - A number of bottlenecks in translations services have been identified by the Secretariat including late availability of documents from other Divisions, tight deadlines, lack of a CBD glossary of terms, lack of quality reviewers within the Secretariat
  - There is no mechanism for setting priorities across divisional and meeting demands for translations;

- The quality of both interpretation and translation provided at meetings of the Parties has been questioned by a number of Parties; the quality of internal translation products has been questioned by senior officers including the Executive Secretary;
- There is no formal quality control procedure for translation nor for interpretation services – in part because of the pressures of time involved in servicing meetings on a real-time basis;
- The provision of translation services has not been managed systematically; for example, no written contracts are used for the hiring of translators from the roster, instead assignments are confirmed by e-mail; word counts for payment are tracked manually; however, work is currently underway to put in place a Documents Translation Management System.
- Data collection and management for meeting registrations are weak, and contact data are considered by some staff to be of poor quality; and
- Reporting lines are not clear – while the Conference Services Unit is nominally part of Resources Management Division, it appears to report directly to the Executive Secretary.

48. At the same time, there are external factors constraining effective solutions to some of these problems. There is a limited pool of qualified international translators, and interpreters who are knowledgeable with the CBD and the language of biodiversity conservation. Another constraint is the heavy demand for these services across the range of conservation-related conventions and international organizations, which is exacerbated by the large number, and close spacing, of meetings conducted by the CBD.

49. The function needs immediate attention as the Secretariat prepares for a heavy schedule of meetings including COP 9 and subsidiary body and working group meetings in preparation for the COP.

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## 4 Recommendations

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### **Recommendation 1: Secretariat Role to Support Implementation**

50. *The Review recommends that the Executive Secretary make clear to all Secretariat staff his understanding and interpretation of the Secretariat's role in supporting the Parties to implement the convention.*

This can most effectively be done through an annual work planning exercise which rolls up individual PAS objectives and priorities into divisional work plans and into an overall consolidated Secretariat work plan. These work plans can be structured into activities which are for: 1) Operations of the Convention; and, 2) Implementation Support.

Implementation support activities can be categorized in the workplans as:

- Technical support;
- Capacity building;
- Knowledge management and information sharing;
- Facilitating technology transfer and technology cooperation;
- Mobilizing financial resources for national implementation;
- Inter-agency cooperation and partnerships;
- Facilitating South-South collaboration;
- Engaging major groups;
- Communication, awareness building and outreach; and
- Reviewing and reporting on progress in implementation of the Convention.

Incorporating implementation activities explicitly into individual and divisional works plans will help bring clarity to staff on their role in supporting implementation of the Convention and help to structure such activities.

### **Recommendation 2: Office of the Executive Secretary**

51. *The Review recommends that the Secretariat establish a new post of Deputy Executive Secretary (DES), at the level of D2, reporting to the Executive Secretary.*

The principal functions of the DES would be:

- Day to day management of Secretariat activities – essentially as a chief operating officer;
- Ensuring all administrative and service functions operate efficiently;
- Coordinating an annual work planning exercise, and monitoring its implementation by each Division against agreed results;
- Officer-in-charge when the Executive Secretary is on travel duty;
- Administrative reporting of each division head;

- Functional reporting of the Principal Officer of Resource Management and Services Division, and Conference Services Division (see Recommendation 3); and,
- Managing conflicts in priorities/demands among Principal Officers.

The establishment of such a post will allow the Executive Secretary to delegate hands-on management activities and will free him to devote the necessary time to: 1) liaison with the Parties; 2) representation and serving as "Ambassador" for the Convention; 3) be active in strategic implementation support activities; and, 4) focus on strategic oversight of the Secretariat.

The newly created post of Secretary to official CBD bodies would continue to report to the Executive Secretary in meeting his obligations to serve Parties in the Convention bodies.

This proposed post of Deputy Executive Secretary can be most efficiently established by the Executive Secretary recommending to the Conference of the Parties to upgrade one of three existing D1 posts to a D2 post.

*52. The Review recommends that the job description for the Executive Secretary be reviewed and updated to reflect the needs of the enhanced implementation phase.*

Key functions for the Executive Secretary to support implementation of the Convention include:

- Mobilizing financial resources for national implementation;
- Inter-agency cooperation and partnerships;
- Facilitating South-South collaboration; and
- Communication, awareness building and outreach.

Other on-going responsibilities of the Executive Secretary include:

- Oversight of and accountability to the Parties for the operations of the Secretariat;
- Representation;
- Secretary to the COP – supported by Secretary to the other mandated bodies;
- Functional reporting by the Principal Officers of the proposed Implementation Support Facility, Scientific and Legal Affairs, Communications, and Biosafety divisions; (see Recommendation 3); and,
- Chair Secretariat Management Committee.

### **Recommendation 3: Secretariat Structure for Enhanced Implementation Phase**

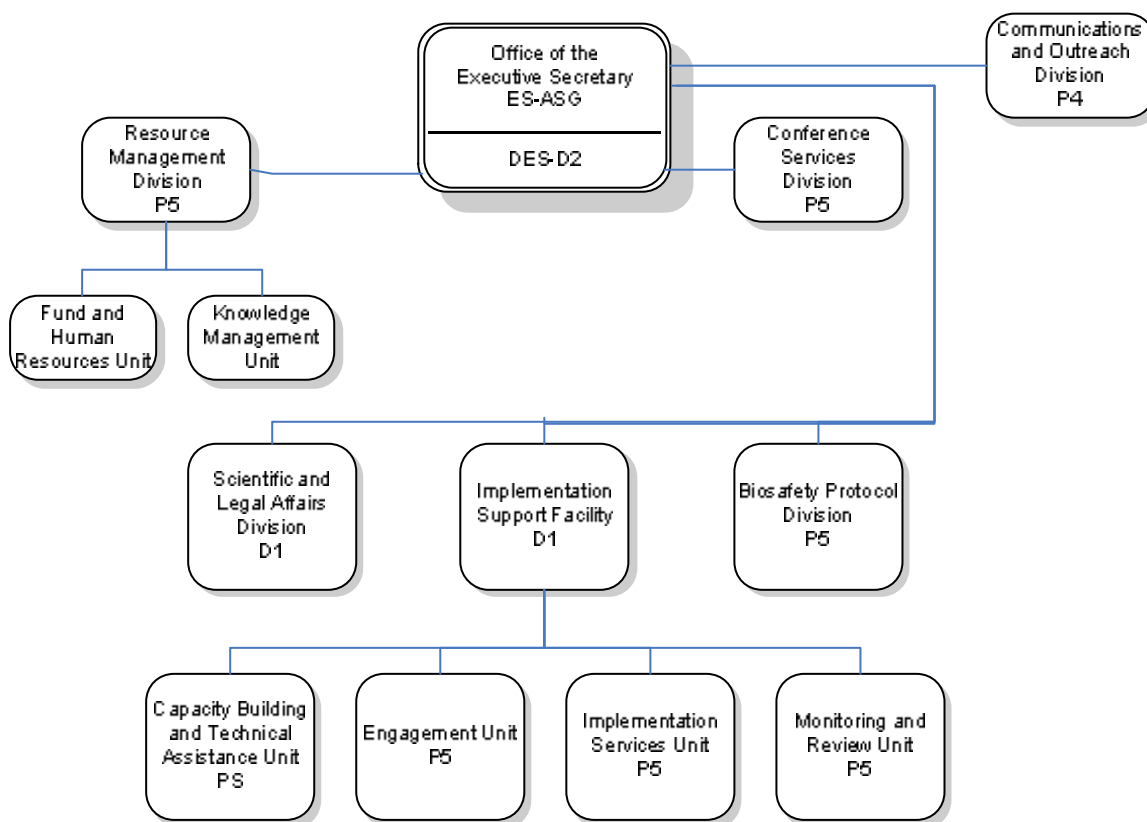
*53. The Review recommends the restructuring of the Secretariat of the Convention on Biological Diversity, to ensure that it is equipped to more effectively and efficiently meet the needs of the enhanced implementation phase of the convention.*

Specifically, the Review recommends the organization of the Secretariat into 7 Divisions, with a substantial proportion of staff positions assigned to a new Implementation Support Facility. The suggested number of staff posts are shown in brackets (see Recommendation 5 on resource levels):

- Office of the Executive Secretary (OES) (7)
- Scientific and Legal Affairs Division (SAL) (15 in 2009, 12 in 2010)
- Implementation Support Facility (ISF) (21 in 2009, 24 in 2010)
- Resource Management and Services Division (RMSD) (12)
- Conference Services Division (10)
- Communications and Outreach Division (4) plus
- Biosafety Division, resourced under decision of the Meeting of the Parties of the Cartagena Protocol.

Figure 3 shows the proposed revised organization chart including the post level for the head of each division/unit.

**Figure 3**  
**Proposed Organization Chart for the CBD Secretariat**



54. *More specifically, the Review recommends the following structure for the Secretariat.*

- Office of the Executive Secretary to include the posts of Deputy Executive Secretary at the D 2 level, and Secretary to mandated bodies to support the Executive Secretary
- Scientific + Legal Affairs Division, with a D1 Principal Officer, responsible for:
  - Scientific (biophysical and social) and technical analysis to support the operations of the Convention, including
    - Development of new instruments and programs of work
    - Substantive servicing of meetings of the Parties including COP, SBSTTA and Working Group
- Implementation Support Facility, with a DI Principal Officer, and divided into 4 Units
  - Capacity Building and Technical Assistance Unit, organized by main programs of work which are in the implementation phase; the trigger to move staff and activities to implementation support from operations of the Convention would be COP approval of a program of work (thematic e.g. Jakarta Mandate or cross-cutting e.g. Protected Areas) or of a new instrument giving effect to a provision of the Convention (e.g. future International Regime on ABS)
  - Engagement Unit responsible for engagement with major groups, and for operation of the Clearinghouse Mechanism
  - Implementation Services Unit responsible for providing guidance and direct support to the Parties, including:
    - NBSAPs, National Reporting, Mainstreaming
    - Financial Resource Mobilization
    - Partnerships and Collaboration, with individuals assigned to serve as “relationship managers” for each institutional agreement/MoU signed by the Executive Secretary
  - Monitoring and Review Unit, including collection and analysis of national reports to report to the Parties and to assist the Capacity Building and Technical Assistance Unit; and, management of the process of review of implementation of the Convention by and for the Parties
- Conference Services Division
- Communications and Outreach Division, responsible for these strategic support functions
- Resource Management and Services Division divided into 2 units:
  - Fund and Human Resources Management Unit
  - Knowledge Management Support Unit including Secretariat IT functions
- Biosafety Division.

It will be important as the Secretariat moves to this structure to support enhanced implementation that it not duplicate or take on the roles better played by implementing organizations active on biodiversity, such as UNEP, UNDP, FAO, or international NGOs such as IUCN- The World Conservation Union.

55. *To give effect, the Review recommends that the COP give the ES the authority to review the ToR of existing posts to determine necessary adjustments to staffing to meet the qualifications required to implement the proposed revised Secretariat structure.*

An emphasis should be put on establishing more junior positions e.g. Program Assistants, who can be hired locally. Over a one-year period, a substantial number of staff would be transferred from the current STTM to the Implementation Support Facility, and a portion of current SEL staff would also be transferred, as programs of work mature from the policy to the implementation phase.

56. *The Review further recommends that "regional" coordinators be assigned within the Implementation Support Facility to facilitate Secretariat interaction with Parties and coordinate support from across the Secretariat as needed.*

**Figure 4**  
**Proposed Staffing Level for CBD Secretariat**

	2009/2010
<b>Professional category</b>	
ASG	1
D-2	1
D-1	2
P-5	6
P-4	15
P-3	10
P-2	2
<b>Total professional category</b>	<b>37</b>
<b>Total general service category</b>	<b>32</b>
<b>TOTAL</b>	<b>69</b>

#### **Recommendation 4: Conference Services**

57. *The Review recommends that an experienced manager of administrative services be assigned or hired as Chief of the Conference Services Division, reporting to the Deputy Executive Secretary.*
58. *The Review recommends the inclusion of specific translation and interpretation requirements in divisional work plans, to permit the corresponding inclusion of these requirements in the work plan of the Conference Services Unit, and better planning and resourcing of these services in a timely and effective manner.*
59. *For the provision of translation services, the Review recommends:*
- A. opening the provision of translation services for CBD meetings to a bid process on a biennial basis, learning from the travel services bid process; and*
  - B. establishment of internal quality control procedures*
  - C. hiring two permanent in-house translators for non-meeting related functions and preparation of meeting documents.*
60. *For the provision of interpretation services, the Review recommends preparation of a 2- year meeting plan which specifies interpretation requirements, as the basis for negotiation of:*
- A. a detailed Annex to the ICAO-SCBD MoU for services in Montreal;*
  - B. meeting-specific MoUs with UNEP and other UN agencies in locations which are serviced by UN interpreters; and/or*
  - C. contracts with private firms on the basis of an open bid process.*
61. *The review recommends modernizing the management of all conference services, including through the development of an electronic tracking system for the administration of service providers and deliverables; and, through the training of Conference Services staff.*

#### **Recommendation 5: Staff and Financial Resources**

62. *The Review recommends a 15% increase in the approved posts for the CBD funded from the core budget (BY) to 69 for the period 2009-2010.*
63. *The review recommends a restructuring of the core budget of the Trust Fund for the Convention on Biological Diversity (BY) to make explicit provision for approved priority implementation support functions, by dividing the budget for each Division (programme) into two categories:*
- A. Operations of the Convention; and*

*B. Implementation Support.*

64. *The Review recommends a structuring of the Special Voluntary Trust Fund for additional Voluntary Contributions (BE) along programmatic lines rather than by function and activity. Bilateral donors have experience in providing general program and program-restricted (e.g. targeted to a specific theme) funds to international organizations. In order to assure that the Secretariat continues to play a support rather than lead role in biodiversity implementation activities, a list of permitted functions is to be developed for the purposes of the BE Trust Fund, emphasising the Secretariat's catalyzing, facilitation and leveraging roles.*

**Recommendation 6: Capacities and Skills for Implementation**

65. *The Review recommends two strategies to ensure that the Secretariat has the necessary skills and expertise to support the enhanced implementation phase:*

- A. Development and implementation of training plans for the individual staff members working on key implementation functions, drawing on the annual PAS performance planning process to identify training needs*
- B. Emphasis in recruiting to fill vacant posts with individuals with the necessary qualification to fill gaps in the Secretariat's capabilities to support implementation.*

Key skills and areas of experience to be augmented include:

- Technical and technological cooperation;
- Capacity building program design;
- Delivery of training programs;
- Fundraising;
- Networking;
- Information management;
- Communications; and
- Engagement of stakeholders.

**Recommendation 7: Management Processes and Systems**

66. *The Review recommends that the Secretariat put in place improvements to its management processes and systems to support implementation of the other recommendations of the Management Review.*

- A. Work planning: The Review recommends that the Executive Secretary put in place a Secretariat-wide annual work plan, with Divisional work plans and*

*individual PAS aligned to it, and with a clear differentiation of activities related to 1) Operations of the Convention and 2) Implementation Support.*

The work planning process can build effectively on the PAS process which has been implemented effectively across the Secretariat. A review of staff time allocations, from time sheets, will provide valuable information for the annual work planning, including identification of potential efficiency gains. Divisional work plans can also be used to identify training needs, and in particular for implementation skills development.

- B. Staff Job Descriptions: *The Review recommends that the Secretariat undertake a systematic update of job descriptions, starting with the Executive Secretary and the Principal Officers, to reflect the key implementation support functions outlined in recommendation 1, in support of the Enhanced Implementation Phase.*

This will also help to establish clear accountabilities of the Executive Secretary, and through him of the Division Heads, to the Parties for implementation support.

- C. Accountabilities: *The Review recommends that the accountabilities of senior officers, and in particular the Principal Officers be made more specific in their job descriptions and PAS Performance Plans.*

This can be done as part of the exercise to update job descriptions.

- D. Coordination Across the Secretariat: *The Review recommends the establishment of a small Management Committee Chaired by the Executive Secretary, comprising Division heads, and the proposed Deputy Executive Secretary, as Secretary of the Committee. Others staff can be invited as needed. Among the key roles of the Management Committee would be the review of annual division work plans and the overall Secretariat work plan.*

- E. Information Management: *The Review recommends that the Secretariat undertake an Information and Knowledge Management Review with the purpose of upgrading and modernizing its information management systems.*

This review would involve the conduct of an internal user needs analysis; review of current systems; a gap analysis; and, recommendations for a knowledge management architecture and infrastructure. A cost estimate for implementation needs to be developed to be included in the core budget for COP 9

### **What the Parties Can Do to Enable the Secretariat to Support Them in Implementation**

A number of the recommendations above can be implemented by the Executive Secretary within his job description and decisions taken to date by the Conference of Parties. Others will require decisions to be taken by the Parties at COP 9 to authorize the Executive Director to take the necessary measures.

There are a number of essential conditions which will have to be met for the Secretariat to fulfill its proper role in supporting the Parties to more effectively implement the Convention. For these conditions to be in place, the COP will need to put in place other measures, as outlined below:

- Fewer mandated meetings under the CBD – for example inter-sessional SBSTTA meetings
- Establishment of new bodies only where essential to develop new policy in an area not yet defined as a program of work or as a new instrument under the convention;
- Phasing out of existing bodies which have discharged their policy making functions e.g. Ad Hoc Working Groups;
- Decisions providing clear guidance on the functions and expectations for implementation support by the Secretariat;
- Decisions on adequate resources and in particular on staff posts; this does not require a large escalation in levels of staff; indeed, D-level positions can remain the same; additional positions can be filled at professional and general support level; and
- Decisions on adequate core budget (BY) and voluntary trust fund (BE) – commensurate with the emphasis on the Enhanced Implementation Phase.



### Annex 1 – Sampling of SCBD Staff Job Descriptions and PAS Performance Plans for Implementation Support Functions

Position	Data	Proposed Secretariat Functions									
		Facilitating and providing <u>technical support</u> to the Parties, including development of guidance and tools	<u>Capacity building</u> including training and institutional support	<u>Knowledge management</u> and information sharing including compiling and disseminating lessons learned and functioning of the CHM	Facilitating <u>technology transfer and technology cooperation</u>	Leveraging and mobilizing <u>financial resources</u> for national implementation	Facilitating and leveraging other agencies' actions through <u>inter-agency cooperation and partnerships</u> with UN agencies and other international organizations	Facilitating <u>South-South collaboration</u>	<u>Engaging</u> major groups/ stakeholders in implementation of the Convention	Promoting the Convention through <u>communication and outreach</u>	<u>Review and report</u> on progress in implementation of the Convention
ES	TOR					O	O			O	
PrO STTM (D1)	TOR PAS (06/07)	O	X		O		O X	X	O X		
PrO SEL (D1)	TOR				X		X	X	O		
PrO ITS (D1)	TOR (03/07)	O	O	O		O					O
P4 STTM (JW)	TOR (01/01) PAS (07/08)			O X			O X				
P4 STTM (RH)	TOR										
P4 STTM (DC)	PAS		X				X		X		
PA STTM (LJ)	PAS (07/08)			X							X
PA STTM (JG)	PAS (07/08)			X							
P5 ITS	TOR (06/07) PAS (06/07)	O X									O X
P4 ITS	TOR (01/02) PAS (07/08)		X			O X	O				
P3 ITS	TOR (01/02) PAS (07/08)	X	X	O X		O X	O X				O X
P3 OMG	TOR			O					O	O	
PA OMG	PAS									X	
SEL	Work Plan (07/08)		W	W		W	W		W	W	
P5 Biosafety	TOR (2006)		O			O	O			O	

Implementation tasks in TOR: **O**

Implementation tasks in PAS: **X**

Implementation tasks in Work Plan: **W**



## **Annex 2 – Examples of Secretariat Activities to Support Implementation**

- Establishment of a Secretariat Task Force on Resource Mobilization to address enhanced resource mobilization activities requested by the COP and Subsidiary Bodies (August 2007)
- Tools and guidance to support national implementation Party obligations/provisions under the Convention e.g. “Guidance for the development, implementation and evaluation of national biodiversity strategies and action plans” (Document WG-R12/3, July 2007);
- Guidance to support implementation of Cross-Cutting Programs of Work and Thematic Programs of Work e.g. “Biological Diversity and Tourism – Development Guidelines for Sustainable Tourism in Vulnerable Ecosystems”; and “Towards Effective Protected Area Systems – An Action Guide to Implement the Convention on Biological Diversity *Program of Work on Protected Areas*”
- Partnerships with other Conventions - Joint Programme of Work (2007 – 2010) between the CBD and the Ramsar Convention on Wetlands – renewed MoU assigning the Ramsar Convention to act as the lead partner for wetlands for implementation of the CBD
- Four-Year Framework of Collaboration for Capacity Building (draft 2007 – 2010)
- Training workshop on NBSAPs for participants attending the Ad Hoc Open-Ended Working Group on Implementation - 2<sup>nd</sup> meeting (July 2007)
- Establishment of a group of experts to promote South-South Cooperation, in response to a written request from the Chairman of the Group of 77 (May 15, 2006).



### **Annex 3 – List of Documents Reviewed**

1. Text of the Convention on Biodiversity
2. UNEP/CBD/Cop/8/15 Progress towards implementation of the Convention and its strategic plan
3. UNEP/CBD/COP/8/28/Add.1 Proposed Budget for the Programme of Work of the Convention on Biological Diversity for the Biennium 2007-2008
4. Decision VIII/2 Biological diversity of dry and sub-humid lands
5. Decision VIII/8 Implementation of the Convention and its strategic plan
6. Decision VIII/10 Operations of the Convention
7. Decision VIII/14 National reporting and the next Global Biodiversity Outlook
8. Decision VIII/15 Framework for monitoring implementation of the achievement of the 2010 target and integration of targets into the thematic programmes of work
9. Decision VIII/16 Cooperation with other conventions and international organizations and initiatives
10. Decision VIII/17 Private Sector Engagement
11. Decision VIII/19 Forest biological diversity: implementation of the programme of work
12. Decision VIII/24 National reporting and the next Global Biodiversity Outlook
13. Decision VIII/31 Administration of the Convention and budget for the programme of work for the biennium 2007-2008
14. Strategic Plan of the Convention
15. Documents prepared and recommendations resulting from for the first and second meetings of the Ad Hoc Open-ended Working Group on Review of Implementation of the Convention, including UNEP/CBD/WG-R1/1/3 Review of processes under the Convention, UNEP/CBD/WG-R1/1/7 Cooperation with other conventions, organizations and initiatives, and engagement of stakeholders in the implementation of the Convention, and UNEP/CBD/WG-R1/1/10 Reporting mechanisms under the Convention and other conventions
16. Quarterly report on the administration of the Convention on biological diversity (October – December 2006)
17. 2006 Secretariat Annual Report
18. Final report on the audit of UNEP Secretariat to the Convention on Biological Diversity
19. Survey results and draft report from the internal management review task force
20. Calendar of mandatory meetings
21. Terms of Reference for Secretariat Staff across divisions and levels
22. PAS performance plans and performance review results for selected staff across divisions
23. Comparison of UN Convention Budgets June 2007
24. SCBD Procedures for the Recruitment of Translators
25. SCBD Hiring Conditions of free lance translators

26. SCBD Roster of translators (July 2007)
27. Records of official translations for selected meetings
28. Terms of the Resource Mobilization Task Force
29. Request for Proposal for the Provision of Travel Services to the SCBD – Montreal
30. Letter from Ambassador Dumisami S. Kumali, Chairman of the Group of 77 to the Executive Secretary, May 15 2006 on the topic of the Caracas Plan of Action on South-South Cooperation
31. CBD Four-Year Framework of Collaboration for Capacity Building (2007 – 1010) (Draft for Discussion)
32. Towards Effective Protected Area Systems – An Action Guide to Implement the Convention on Biological Diversity Programme of Work on Protected Areas – CBD Technical Series No. 18
33. Biological Diversity and Tourism: Development Guidelines for Sustainable Tourism in Vulnerable Ecosystems , CBD Secretariat
34. Joint Work Programme (JWP) 2007 – 2010 – The Convention on Biological Diversity (CBD) and the Ramsar Convention on Wetlands (Ramsar) (draft)
35. Notification to Parties on Training Programme prior to the second meeting of the Ad Hoc Open-ended Working Group on Review of Implementation of the Convention – on the topics of NBSAP preparation and update; mainstreaming biodiversity; integrating the 2010 target in NBSAPs; and Raising awareness and promoting support for the implementation of NBSAPs

## Annex 4 – Interview Questions

Review Issue:	Interview Questions
<b><i>Division Structure and Management</i></b>	What is your Division's mandate? Is your Division's mandate clear, documented and communicated within and outside your division?
	How does your division contribute to the Secretariat's mandate: a: with respect to enhanced implementation <sup>1</sup> ? b: with respect to other work <sup>2</sup> ?
<i>With a focus on enhanced impl.:</i>	Is there a work plan for your division, including objectives, activities to be carried out, and results to be achieved?
<i>With a focus on enhanced impl.:</i>	What facilitates implementation of your workplan, and what impedes it?
<i>With a focus on enhanced impl.:</i>	What resources do you have to carry out your mandate and address your priorities? Are they sufficient?
<i>With a focus on enhanced impl.:</i>	Are roles, responsibilities and accountabilities for staff within your division clear and acted on ?
<i>With a focus on enhanced impl.:</i>	Do people in your division have the necessary skills, expertise and experience?
<i>With a focus on enhanced impl.:</i>	What are the supporting structures, processes and tools in place, and what is missing?
	What portion of your division's budget is spent on enhanced implementation activities?
	What percentage of total staff time in your division is spent on preparing for, conducting of, and follow-up on meeting of the parties and other decision-making bodies of the convention
<i>Individual Scope of Work</i>	Is the scope of your work clear? What is it? What do you do that supports enhanced implementation?
	Do your TORs specifically address enhanced implementation?
	What portion of your time is spent on enhanced implementation activities?
	What percentage your time is spent on preparing for, conducting of, and follow-up on meeting of the parties and other decision-making bodies of the convention

<sup>1</sup> monitoring and reporting of/to parties, support to parties, leveraging agency support, enhancing collaboration with other financial mechanisms, engaging major groups/stakeholders, south-south cooperation, communication and outreach

<sup>2</sup> Arrange for and service meetings, functions assigned by protocol (biosafety), report on execution of functions, Secretariat operations, Representation



**Annex 5 – List of People Interviewed**

<b>Name</b>	<b>Division</b>
Ahmed Djoghlaif	OES
Nicholas Bertrand	OES (now OMG)
David Cooper	ITS
Franca D'Amico	OMG
John Fry	RMCS
Robert Hoft	STTM
Olivier Jalbert	SEL
Jo Mulongoy	STTM
Valérie Normand	ABS
Neil Pratt	OMG
Michele Rattray-Huish	RMCS
Jamie Webbe	STTM
Yibin Xiang	ITS
Aballache Yesli	RMCS
Tatiana Zavarzina	RMCS