CONFERENCE OF THE PARTIES TO THE
  CONVENTION ON BIOLOGICAL DIVERSITY
Fifteenth meeting, part 2
Montreal, Canada, 7-19 December 2022
Agenda item 7

PRELIMINARY ANALYSIS OF THE STRUCTURE AND STAFFING OF THE SECRETARIAT IN VIEW OF THE ORIENTATION OF ACTIVITIES UNDER THE CONVENTION AND ITS PROTOCOLS, INCLUDING THE POST-2020 GLOBAL BIODIVERSITY FRAMEWORK

Note by the Executive Secretary

I.   INTRODUCTION

1.   In decision 14/37 paragraph 13, the Conference of the Parties (COP) requested the Executive Secretary to analyse the structure and staffing of the Secretariat to ensure streamlined reporting arrangements, optimal functionality, and effectiveness in the implementation of the approved work programme for the biennium and in view of the expected post-2020 orientation of activities under the Convention, and to report the results of this analysis to the Conference of the Parties at its fifteenth meeting.

2.   In decision 14/34, the Conference of the Parties expressed its commitment to developing a transformative post-2020 global biodiversity framework that would put biodiversity on a path to recovery towards achieving the 2050 vision of living in harmony with nature. The Secretariat anticipates new mandates and an increased workload to support the implementation of this ambitious agenda. The growing prominence of biodiversity issues globally and their linkages to other critical issues such as climate change and health is also expected to have additional workload implications. Even without such additional demands, the Secretariat is already facing a situation of acute overstretch.

3.   Adding to these challenges, the pandemic created additional workload for the Secretariat staff, including through several online meetings and the addition of extra sessions of the Open-ended Working Group on the Post-2020 Global Biodiversity Framework.

4.   With demands and mandates set to increase, the ability of the Secretariat to deliver on these requests will become more precarious without significant new and additional resources beyond those provided for in the budget scenarios presented in CBD/COP/15/7.

5.   Furthermore, since the fourteenth meeting of the Conference of the Parties, the Secretariat has been subject to three audits, one by the Office of Internal Oversight Services (OIOS) in 2019[1] and two by the United Nations Board of Auditors (BOA),[2] in 2020 and 2021 respectively.

6.   It is against this background that the Secretariat has undertaken this preliminary analysis and is proposing that additional needs be considered beyond the scenarios requested by the Conference of the Parties in the budget proposal for the biennium 2023-2024.

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[1] 2019/095

[2] A/75/5/Add.7 and A/77/5/Add.7

7.   The present document consists of a preliminary analysis of the staffing and structure of the Secretariat, taking into consideration the evolution of processes under the Convention and organizational challenges. In addition to the analysis, the document presents a proposal for staffing based on actual needs and taking into consideration the ambitious agenda of the post-2020 global biodiversity framework. As such, this report aims to provide information with regard to (a) an overview of the current structure and staffing of the Secretariat; (b) brief overview of the evolution of the Secretariat, (c) ongoing and emerging challenges and risks; (c) actual resource requirements for the Secretariat to effectively support the post-2020 global biodiversity framework; (d) phased approach and medium to long-term strategic outlook; and (e) conclusion and way forward.

8.   This analysis of the staffing and structure of the Secretariat should be taken as provisional pending finalization of agreement on the global biodiversity framework. A more complete review of the Secretariat's organizational structure and post distribution will be possible after the completion of the fifteenth meeting of the Conference of the Parties. The results of this preliminary analysis will feed into the process.
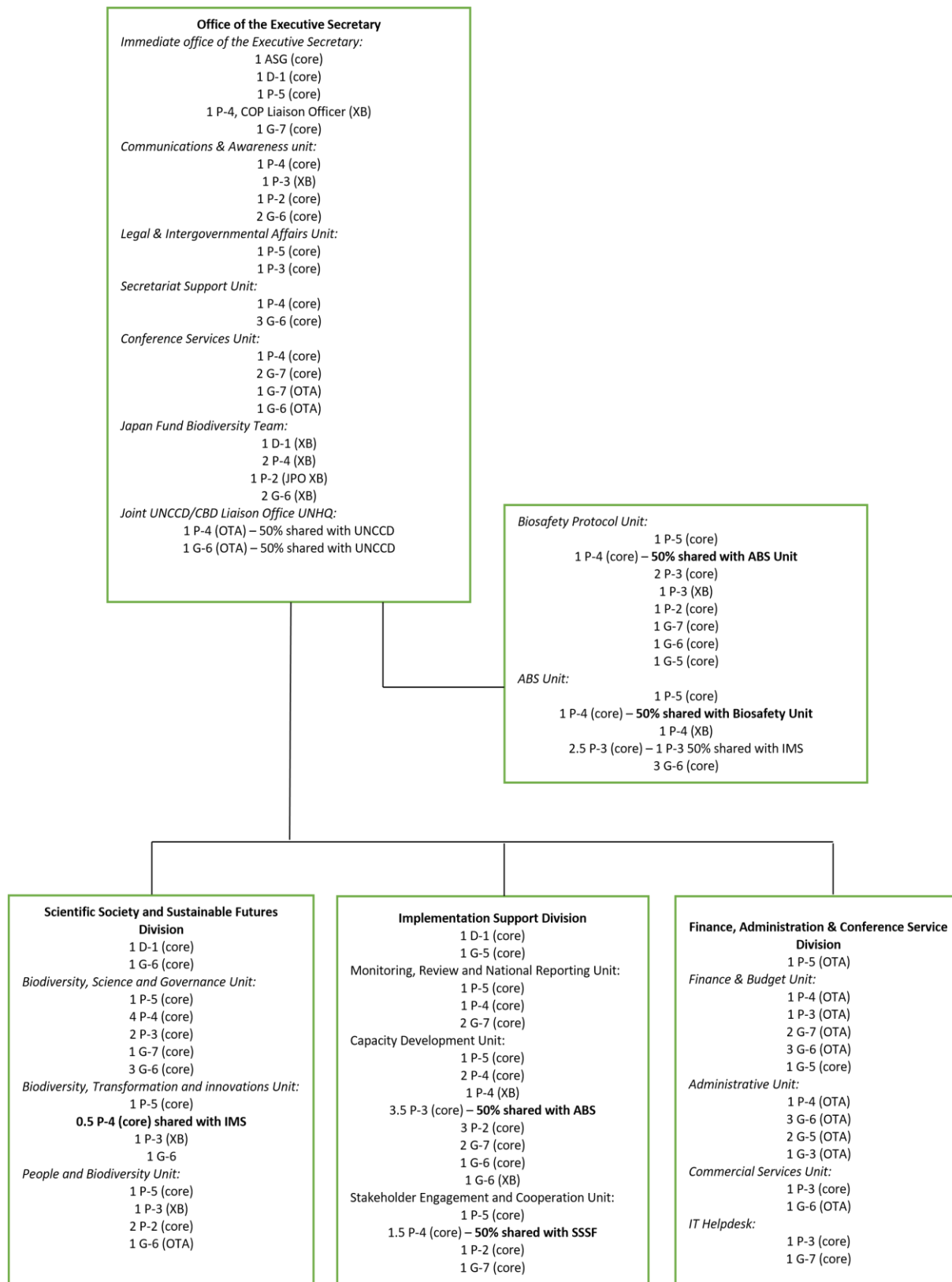
9.   The present preliminary analysis draws on the three audits mentioned above, the work undertaken to develop the Secretariat's results-based framework, an internal enterprise risk assessment done in accordance with the United Nations' Enterprise Risk Assessment (ERM) Policy and the draft post-2020 global biodiversity framework. The intention is to take the first steps in carrying out a review that will help ensure that the Secretariat is adequately resourced to effectively support the implementation of the existing mandates and previous decisions of the Conference of the Parties, as well as additional work to be requested by the Conference of the Parties in relation to the post-2020 global biodiversity framework.

II.   CURRENT STRUCTURE AND STAFFING OF THE SECRETARIAT

10.   The structure of the Secretariat comprises the Office of the Executive Secretary (OES), a Science, Society and Sustainable Futures Division, an Implementation Support Division, and an Administration, Finance and Commercial Services Division. Its staffing comprises 78 posts, 49 being at Professional and higher level and 28 General Service posts. The staffing component is supplemented by 35 posts funded through extrabudgetary resources, of which 15 are funded by voluntary contributions on a temporary basis and the remaining 20 from programme support costs. The organigramme of the Secretariat is provided in figure 1 below, which also depicts the subdivisions of the office of the Executive Secretary (OES) and the Divisions in terms of their structural Units. The functions of the OES and the Divisions and their constituent Units are described in section IV of document CBD/COP/15/7.

Figure 1: **Current org chart with post distribution for the Secretariat (1 Oct 2022)**

Note: This figure includes current posts

Office of the Executive Secretary
Immediate office of the Executive Secretary:
1 ASG (core)
1 D-1 (core)
1 P-5 (core)
1 P-4, COP Liaison Officer (XB)
1 G-7 (core)
Communications & Awareness unit:
1 P-4 (core)
1 P-3 (XB)
1 P-2 (core)
2 G-6 (core)
Legal & Intergovernmental Affairs Unit:
1 P-5 (core)
1 P-3 (core)
Secretariat Support Unit:
1 P-4 (core)
3 G-6 (core)
Conference Services Unit:
1 P-4 (core)
2 G-7 (core)
1 G-7 (OTA)
1 G-6 (OTA)
Japan Fund Biodiversity Team:
1 D-1 (XB)
2 P-4 (XB)
1 P-2 (JPO XB)
2 G-6 (XB)
Joint UNCCD/CBD Liaison Office UNHQ:
1 P-4 (OTA) – 50% shared with UNCCD
1 G-6 (OTA) – 50% shared with UNCCD

Biosafety Protocol Unit:
1 P-5 (core)
1 P-4 (core) – **50% shared with ABS Unit**
2 P-3 (core)
1 P-3 (XB)
1 P-2 (core)
1 G-7 (core)
1 G-6 (core)
1 G-5 (core)
ABS Unit:
1 P-5 (core)
1 P-4 (core) – **50% shared with Biosafety Unit**
1 P-4 (XB)
2.5 P-3 (core) – 1 P-3 50% shared with IMS
3 G-6 (core)

Scientific Society and Sustainable Futures Division
1 D-1 (core)
1 G-6 (core)
Biodiversity, Science and Governance Unit:
1 P-5 (core)
4 P-4 (core)
2 P-3 (core)
1 G-7 (core)
3 G-6 (core)
Biodiversity, Transformation and innovations Unit:
1 P-5 (core)
0.5 P-4 (core) shared with IMS
1 P-3 (XB)
1 G-6
People and Biodiversity Unit:
1 P-5 (core)
1 P-3 (XB)
2 P-2 (core)
1 G-6 (OTA)

Implementation Support Division
1 D-1 (core)
1 G-5 (core)
Monitoring, Review and National Reporting Unit:
1 P-5 (core)
1 P-4 (core)
2 G-7 (core)
Capacity Development Unit:
1 P-5 (core)
2 P-4 (core)
1 P-4 (XB)
3.5 P-3 (core) – **50% shared with ABS**
3 P-2 (core)
2 G-7 (core)
1 G-6 (core)
1 G-6 (XB)
Stakeholder Engagement and Cooperation Unit:
1 P-5 (core)
1.5 P-4 (core) – **50% shared with SSSF**
1 P-2 (core)
1 G-7 (core)

Finance, Administration & Conference Service Division
1 P-5 (OTA)
Finance & Budget Unit:
1 P-4 (OTA)
1 P-3 (OTA)
2 G-7 (OTA)
3 G-6 (OTA)
1 G-5 (core)
Administrative Unit:
1 P-4 (OTA)
3 G-6 (OTA)
2 G-5 (OTA)
1 G-3 (OTA)
Commercial Services Unit:
1 P-3 (core)
1 G-6 (OTA)
IT Helpdesk:
1 P-3 (core)
1 G-7 (core)

A. Brief overview of the evolution of the Secretariat

11.   The functions of the Secretariat are established in Article 24 of the Convention. Its main task is to prepare for, and service, meetings of the Conferences of the Parties (COP) and other subsidiary bodies of the Convention which originally included only the Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA). The Secretariat represents the day-to-day focal point for the Convention and its two Protocols, organizes all meetings under the Convention and its Protocols, prepares background documentation for those meetings and facilitates the generation and dissemination of information on implementation. It also plays a significant role in coordinating the work carried out under the Convention and its Protocols with that of other relevant institutions and conventions and represents the Convention at meetings of relevant bodies. In addition, it performs other functions requested in decisions of the COP and the meetings of the Parties to the Protocols.

12.   In 1996, two years after the Convention entered into force, the Secretariat was operating with 28 staff members. As the Convention matured, the Secretariat's workload expanded, including the addition of two supplementary agreements (Cartagena Protocol on Biosafety in 2004 and the Nagoya Protocol on Access and Benefit-sharing in 2014) and two new working groups or subsidiary bodies (the Working Group on Article 8(j) and Related Provisions, established in 1996 and the Working Group on Review of Implementation of the Convention, established in 2004 and subsequently replaced by the Subsidiary Body on Implementation, established in 2014). Other important milestones in the history of the Convention include the adoption of the 2011-2020 Strategic Plan along with the Aichi Biodiversity Targets at the tenth meeting of the Conference of Parties and the preparation of the post-2020 global biodiversity framework. In addition, the Nagoya–Kuala Lumpur Supplementary Protocol on Liability and Redress was adopted in 2010 as a supplementary Protocol to the Cartagena Protocol on Biosafety. This supplementary Protocol came into effect in 2018.

13.   The evolution of the core posts authorized by the Conference of the Parties since its third meeting is summarized in figure 2 below. The number of core posts has increased over time but has only marginally changed since the eleventh meeting of the Conference of the Parties and has remained unchanged since its thirteenth meeting. Further details on core funded posts are summarized in annex I below.

Figure 2: **Evolution of core funded posts at the Secretariat from COP 3 (1996) to date**
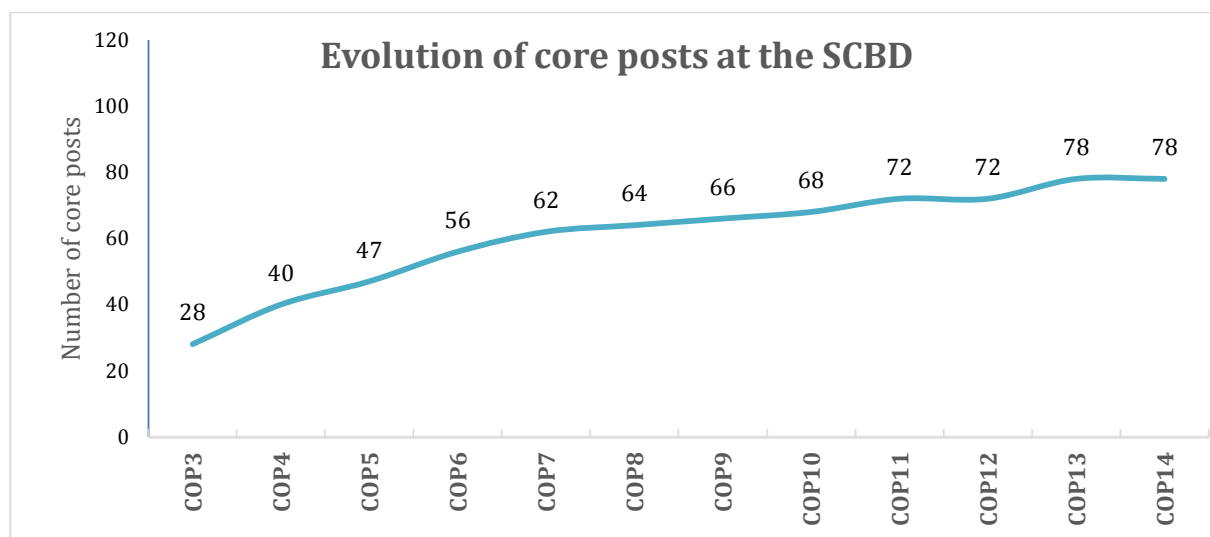
14.   Meanwhile, there has been a steady expansion in mandates whereby the nature, scope, and complexity of the demands on the Secretariat have increased over time without the commensurate resources needed to carry out the work effectively. The various thematic and cross-cutting areas that form the basis of the Secretariat's programme of work have been identified and adopted by the successive meetings of the Conference of the Parties and the meetings of the Parties of its two Protocols without systematic assessment of Secretariat-wide resource needs and organizational implications. Annex II summarizes the major areas of work that were launched or expanded as a result of the various COP decisions taken at its last five meetings and the human resources made available to the Secretariat during the same period.

15.   The Secretariat's programme of work is based primarily on the requests made to the Executive Secretary in decisions adopted during major meetings and, these requests have grown significantly over time from 43 in 1996 (COP-3) to 262 in 2018 (COP-14). The requests made by the Parties can range from simple activities such as requesting the Executive Secretary to liaise with other international agreements, to very complex and resource intensive activities, such as supporting an intergovernmental process to develop the post-2020 global biodiversity framework. It is equally important to keep in mind that several requests made to the Executive Secretary can span more than one COP cycle, which means there is a cumulative effect that impacts resources and workload which is often not taken into consideration during the decision-making process of the COP. It is worth noting that an important number of requests are subject to the availability of funds which means the Secretariat staff needs to fundraise, which is a time consuming and labour-intensive endeavour on top of all their regular duties.

Requests made to the Executive Secretary
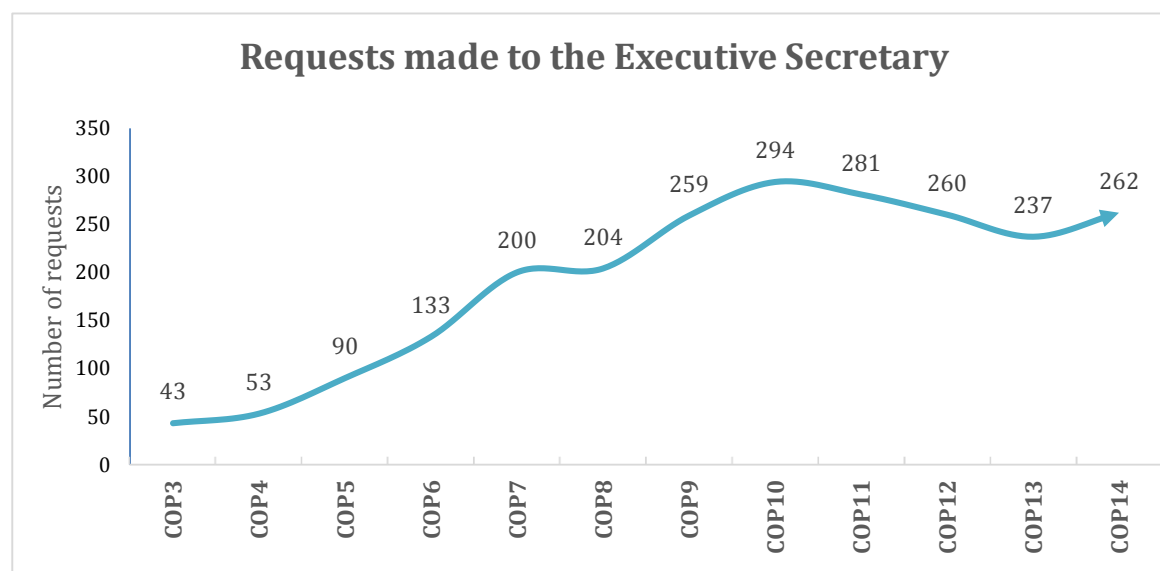
Note: This graph does not capture the cumulative workload from prior COP and COP-MOP decisions that have not been retired.

B. Overview of past organizational strengthening efforts

16.   After the adoption of the Strategic Plan for Biodiversity 2011-2020 at the tenth meeting of the Conference of the Parties, which was accompanied by 294 requests to the Executive Secretary (see figure 3 above), the Secretariat functions were expanded to include more emphasis on catalyzing action by engaging a growing number of international, regional and national stakeholders best situated to assist Parties with implementation. In recognition of the need to strengthen the Secretariat, considering the Strategic Plan and renewed vision to support Parties and other stakeholders in their implementation of the Convention, the Conference of the Parties requested that an in-depth functional review of the Secretariat be undertaken (XI/31, para. 25) and to provide a report to the twelfth meeting of the Conference of the Parties. The objective of the exercise was to update the Secretariat's structure and the grading of posts to the Strategic Plan's focus on implementation by Parties. Despite the growing requests and demands placed on the Secretariat with the adoption of the Strategic Plan in 2010, and the recognition that the Secretariat needed strengthening, only four additional posts were approved, raising the total number of core funded posts from 68 to 72 (see figure 2 above).

17.   The functional review was initiated in December 2013 with the contracting of a team of management consultants. The exercise[3] highlighted a number of shortcomings at that time, inter alia, that the structure of the Secretariat did not optimally utilize professional level resources, that the organizational design of the Secretariat in terms of the units involved in scientific, technical or professional matters was based on a subject matter-driven paradigm, and that no particular element of the Secretariat appeared to have cross-cutting corporate responsibilities which are needed to build the organizational capacity to develop strategic approaches to Secretariat-wide planning, priority setting and management. The consultants also pointed out that the level of administrative, financial and human resource management services available at the time was inadequate to meet growing demands.

18.   A report on the functional review was provided to the Conference of the Parties at its twelfth meeting.[4] 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 on the in-depth functional review and the classification of staff positions to be taken during the thirteenth meeting of the Conference of the Parties, to adjust the staffing levels, numbers and structure of the Secretariat in light of the 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.

19.   The report of the in-depth functional review was provided to the Conference of the Parties at its thirteenth meeting,[5] including information on the lessons learned using a matrix approach to implement some of the Secretariat-wide selected projects on cross-cutting issues and to ensure a smooth and effective change management at the Secretariat. The new structure, comprising of the Office of the Executive Secretary, Administration and Finance, and three programmatic divisions: (a) Scientific and Policy Support, (b) Mainstreaming and Outreach Support and (c) Implementation Support with their various units and their mandates, was reported in an information document.[6] The Report of the Individual Programme Post Analysis was provided in document UNEP/CBD/COP/13/INF/8. The Medium-Term Operational Results Framework of the Secretariat of the Convention on Biological Diversity was provided in document UNEP/CBD/COP/13/INF/6.

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[3] https://www.cbd.int/doc/meetings/cop/cop-12/information/cop-12-inf-26-en.pdf

[4] UNEP/CBD/COP/12/INF/26.

[5] 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.

[6] UNEP/CBD/COP/13/INF/7.

20.   In decision XIII/32, the Conference of the Parties took note of the outcome of the functional review and the downgrading of one D-1 to P-5, upgrading of a P-3 post to P-4 and four P-4 posts to P-5 managerial positions. It also welcomed the new structure of the Secretariat, which was intended to lead to further synergies and efficiencies. The Conference of the Parties also took note of the indicative staffing table 2 of the Secretariat for the biennium 2017-2018 used for costing purposes to set the overall budget, and authorized the Executive Secretary, within the rules and regulations of the United Nations and without prejudice to any decision by the Conference of the Parties at its fourteenth meeting, to adjust the staffing levels and numbers, and structure of the Secretariat, provided that the overall cost of the Secretariat of the Convention and its Protocols remained within that of the indicative staffing table and that there were no consequent increases in the staff costs in the integrated budget in future biennia, and to report on the adjustments made to the Parties of the Convention and its Protocols at their next meetings.

21.   The incoming Executive Secretary implemented organizational adjustments that came into effect on 10 October 2018. These were presented to the Conference of the Parties in document CBD/COP/14/4 along with a request for a total of nine new posts (under scenario 1). It is important to note that despite the critical agenda and considerable additional workload to develop the post-2020 global biodiversity framework, the Conference of the Parties in decision 14/37 did not approve any additional posts, however, the adjustments that the former Executive Secretary made to the organizational structure de facto led to the downgrade of a D-1 position to the P-5 level, upgrades of two P-4 posts to the P-5 level and of one P-2 post to the P-3 level respectively.

22.   In decision 14/37 the Conference of the Parties noted the new organizational structure and post distribution as presented in CBD/COP/14/4, annex VII, and requested the Executive Secretary to analyse the structure and staffing to ensure streamlined reporting arrangements, optimal functionality and effectiveness in the implementation of the approved work programme for the biennium 2019-2020 and in view of the expected post-2020 orientation of activities under the Convention, and to report the results of this analysis to the Conference of the Parties at its fifteenth meeting. The Conference of the Parties also recalled paragraph 9 of decision XIII/32, and noted with concern the adjustments by the Executive Secretary to the staffing structure of the Secretariat during the biennium 2017-2018 that entailed consequent increases in the staff costs in the integrated budget for the biennium 2019-2020, and authorized the Executive Secretary, within the rules and regulations of the United Nations and without prejudice to any decision by the Conference of the Parties at its fifteenth meeting, to adjust job descriptions and assignments within the present structure of the Secretariat provided that the overall cost of the Secretariat of the Convention and its Protocols remains within that of the staffing table and that there are no consequent increases in the staff costs in the integrated budget in future biennia, and to report on the adjustments made to the Conference of the Parties and the meetings of the Parties to the Protocols at their next meetings.

C.   United Nations audit observations

23.   The Conference of the Parties, in paragraph 22 of decision 14/37, requested the OIOS to conduct an audit of the Secretariat, which was carried out in June and July 2019. The audit was based on an activity-level risk assessment, covering risk areas such as strategic management, financial management, human resources management and performance management, and its report was published on 1 December 2019.[7] The audit showed that the Secretariat needs to strengthen resource management and ensure compliance with applicable rules and regulations. OIOS made 12 recommendations, of which the following five are most relevant:

(a)   Implement a results-based approach in its work programming and budgeting;

(b)   Implement the United Nations Enterprise Risk Management and Internal Control Policy to systematically manage risks and strengthen internal controls in implementing its mandated activities;

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[7] OIOS report 2019/095

(c)   Review the existing administrative arrangements and assess options and the feasibility of establishing service level agreements for provision of administrative services to the Secretariat and to the COP in an efficient and effective manner; and

(d)   Develop an evaluation policy and mechanism to facilitate evaluation of its multi-year programme of work.

24.   Three of these recommendations are currently considered under implementation by OIOS. One, which relates to the review of the existing administrative arrangement with UNEP and UNON and the feasibility of establishing a service level agreement for provision of administrative services is yet to start due to the challenges experienced both by UNEP and the Secretariat during the COVID-19 pandemic.

25.   In its report, OIOS highlighted the need for the Secretariat to develop a results-based workplan and budget as well as enhance its ability to effectively monitor and report on outcomes and outputs. An internal results-based working group was established in October 2019 that has prepared a detailed results-based budgeting (RBB) framework for the Secretariat. This RBB framework forms the basis for the integrated programme budget for the Convention and the Protocols for the biennium 2023-2024 that will be considered by the Conference of the Parties at its fifteenth meeting. The Secretariat expects that once the COP has taken a decision on the budget, OIOS will close this outstanding audit observation and the one pertaining to evaluation policy and mechanism, referred to above.

26.   The Secretariat will also request closure of the audit observation relating to the implementation of the United Nations Enterprise Risk Management (ERM) and Internal Control Policy to systematically manage risks and strengthen internal controls in implementing its mandated activities, as the Secretariat launched an internal task team to identify major risks that could negatively impact the Secretariat's overall ability to deliver on its mandate. The findings of the Secretariat's initial ERM analysis is presented in further detail in paragraphs 35-45 under section III below.

27.   In paragraph 65 of its report, OIOS highlighted the problems the Secretariat faced to deliver on requests made to the Executive Secretary in relation to the development of the post-2020 global biodiversity framework. OIOS also referred to the request for 9 additional posts (1 P-5, 3 P-4, 3 P-3, 2 GS) in the proposed 2019-2020 biennium budget, intended to strengthen the visibility and relevance of the Convention in anticipation of increased workload relating to development of the post-2020 global biodiversity framework to be adopted at COP 15. Despite no new posts being approved, the Conference of the Parties decided to establish an ad hoc open-ended working group on the post-2020 global biodiversity framework to be serviced by the Secretariat. This decision has generated a considerable amount of additional work, including several global and regional meetings, thereby adding to the existing workload.

28.   In addition, OIOS observed that there have been extended periods with many vacancies, especially from 2018 to 2021 when the Secretariat experienced high staff turnover and delays in recruitment. OIOS in its audit found that during the period 2016 to 2019, there were four different organizational structures in use at the Secretariat. During that same period 55 job reclassifications were completed (1 in 2016; 44 in 2017; 5 in 2018 and 5 in 2019). During the audit another 8 reclassifications were underway. The audit noted that the organizational structures did not provide for an evaluation function to facilitate evaluation and assessment of the efficiency, effectiveness, impact, and sustainability of the Secretariat's programming. In its report OIOS recommended that the Secretariat identify the causes of the high staff turnover and vacancy rate and assess the adequacy and appropriateness of its existing structure and propose necessary adjustments to effectively support the achievement of its expected results.

29.   The following year, a team from the United Nations Board of Auditors (BOA)[8] visited the Secretariat from 13 January to 5 February 2020. The audit focused on the management of the Secretariat and issues not covered by OIOS in its 2019 audit,[9] and inter alia, included issues related to the regulatory framework with

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[8] This audit was led by the Office of the Comptroller General of the Republic of Chile. For more info on the United Nations Board of Auditors visit https://www.un.org/en/auditors/board/

[9] A/75/5/Add.7, part 5.1, pages 36-51

UNEP, work planning within the Secretariat, reporting and reporting processes, management of trust funds, formulation of the long-term strategic framework for capacity-building beyond 2020, and the hiring process of consultants and individual contractors. The BOA stated, in paragraph 216 of the above-mentioned report that the Conference of the Parties in November 2018 had adopted 38 decisions on the work of the biennium 2019–2020, including, among other topics, the Aichi Biodiversity Targets, the process for the preparation for the post-2020 global biodiversity framework, capacity-building, resource mobilization and reporting and review mechanisms, and noted that 47 out of a total of 82 activities to be undertaken by the Secretariat had insufficient resources available, representing 57 per cent of the activities. The Board noted that the Secretariat required $6,539,000 in additional resources for the development of the activities, and that the costs of the activities deployed as a result of the decisions should be estimated prior to the presentation of the report of the Conference of the Parties, in order to analyse the financial feasibility of the development of the activities and to plan a more realistic programme of work.

30.   In October 2021, the Secretariat was subject to a second audit by another team of the United Nations BOA.[10] The Board reviewed the status of paragraphs in the various decisions and observed that 942 of 2,235 paragraphs (42 per cent) directed at the Executive Secretary remained "active" as of 30 September 2021 and that the average rate for those "active" paragraphs during the period from 2010 to 2020 (i.e., from the tenth to fourteenth meetings of the Conference of the Parties) was higher than 56 per cent. The audit also highlighted that Programme Support Costs were in deficit for more than four years and that there were delays in clearing up outstanding balances of closed grants.

31.   While the Secretariat has invested considerable time and effort to have these outstanding audit observations closed, there are still a few pending observations due to lack of resources to implement them. Information on the open BOA audit recommendations and status can be found in Annex II of the proposed integrated programme budget for the Secretariat of the Convention on Biological Diversity and its Protocols for the biennium 2023-2024 (CBD/COP/15/7).

III.   CHALLENGES AND RISKS

32.   The following section describes key challenges and risks faced by the Secretariat that affect its ability to effectively fulfil its functions and deliver its work programme. It presents the key findings of an internal enterprise risk assessment exercise undertaken in 2021 along with some reflections that arose during the development of the Secretariat's results-based workplan.

33.   In addition, the COVID-19 pandemic caused unforeseen increases in workload in the form of remote work, including the organization of numerous online meetings, in particular those to support the Open-ended Working Group on the Post-2020 Global Biodiversity Framework and the Subsidiary Bodies. Moreover, in addition to not being able to adequately address all the prior requests made to the Executive Secretary as referred to by OIOS and BOA in paragraphs 23-31 above, the Secretariat's chronic management and resource challenges resulted in existing staff having to take on extra responsibilities that require time and attention beyond the normal workload. This situation was further aggravated by the impacts of the COVID-19 pandemic and contributed to added stress and, in some cases, burn-out and periods of extended sick leave. Also, within a four-month period, two colleagues passed away prematurely.

34.   The pandemic also exposed the Secretariat's overreliance on programme support costs (PSC) for the provision of core administrative functions. Programme support costs of 13 per cent are levied on all the Convention and Protocol actual incurred. The 13 per cent PSC generated on the expenditures incurred in one calendar year becomes the programme support income for the next calendar year. Of this income, one third remains with UNEP Corporate Services Division and the remaining two-thirds are issued as an allotment to the Secretariat to ensure proper funding of corporate services in operational management, i.e., most of the staff in the Administration, Finance and Commercial Services Division. They are also supposed to cover half of the staff costs for a P-4 and one GS position in the joint SCBD-UNCCD Liaison Office in New York.

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[10] This audit was led by the Office of the Auditor General of the People's Republic of China see A/77/5/Add.7

While the OTA account was in surplus through the first half of the decade, largely due to PSC on activities funded through the Japan Biodiversity Fund, as the BOA pointed out, the Secretariat has sustained over-expenditures under programme support costs for more than four years[11] and the funding gap reflects inadequate funding for operational activities provided by the Administration, Finance and Commercial Services Division, which may have an impact on the continuity and efficiency of work provided by the Division, especially taking into consideration that more than 80 per cent of posts were funded through programme support costs and the recruitment was frozen as of 31 December 2021. Consequently, greater stress levels, extended periods of sick leave and cases of staff burnout were observed in the Division in addition to the accumulated workload. Moreover, the General Assembly, in paragraph 24 of its resolution 67/226, stressed the need for adequate quantity and quality of funding for operational activities and the need to make funding more predictable, effective, and efficient.

A.   Enterprise Risk Analysis

35.   In February 2022, in follow-up to audit recommendations and as part of the ongoing budget preparation for the biennium 2023-2024, the Secretariat launched a task team to identify major risks that could negatively impact the Secretariat's overall ability to deliver on its mandate. In accordance with the UN's Enterprise Risk Management (ERM) policy, which is based on the "Three lines of Defense" model of the Institute of Internal Auditors, the first line of defense is the line managers, i.e., Head of Units, who own various risks and execute corresponding measures to manage them. The second line of defense is management controls, which in the absence of an ERM unit or an institutional risk focal point with specific responsibility for ERM, is the Senior Management Team. The third line of defense provides independent assurance and assessment of the effectiveness of risk management to senior management and legislative/governing bodies. In some organizations, the internal auditors (OIOS) provide advisory and consulting services to strengthen the first and second lines of defense in promoting and enhancing the implementation of ERM.

36.   In line with this policy, each Head of Unit was requested to identify the most significant risks based on the Unit's goals and objectives given his or her responsibility for the financial risk management for the Unit, according to the following three (3) categories:

a) *Operational risks-* related to the implementation and delivery of the results-based framework, such as business processes, business continuity, challenges, and uncertainties with internal procedures, staffing and personnel constraints, organizational culture, financial and budgetary limitations, donor dependency

b) *Strategic risks* – critical and high-level risks that may be barriers to achieving strategic goals and objectives risks related to the mandate, decisions etc, risks related to organizational alignment-integration of the Protocols, shared services and staff

c) *Emerging issues in a changing environment* – requirements for a virtual working system, the post-2020 global biodiversity framework, the need to address interlinked global crises including biodiversity loss, climate change, pollution, global health and food security, in a holistic and synergistic manner, etc.

37.   Based on the input from all the Divisions, operational risks were further divided into **four** different categories: **(1) Human Resources, (2) Document planning, preparation and information management, (3) Project and Programme Management, and (4) Support Services**, and assessed according the following three criteria:

(a)   Organization-wide impact and therefore affect normal business operations across the SCBD;

(b)   Reputational impact – external relations with Parties and UN standards;

(c)   Cannot be fully addressed through internal management interventions alone.

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[11] A/77/5/Add.7, para 52-59

38.   Operational risk was scored as high if all three criteria were present and there was still residual risk after mitigation strategies were applied. If two of the criteria were present, then the risk was considered medium, and if only one of the criteria was present then the risk was deemed low. Based on this analysis, the following two key areas scored high.

39.   **Human Resources**: The risk analysis found that there is a lack of core programmatic staff and an overreliance on short-term project staff, consultants and interns to support core functions related to the existing programme of work of the Convention and its Protocols. These areas include finance, conferencing services, taxonomy, area-based conservation and spatial planning, sustainable wildlife use/management, biodiversity and health, Cartagena Protocol information and monitoring [officer who will address the expanded monitoring role and the coordination of the Biosafety Clearing-House (BCH)], Digital Sequence Information (DSI), communications, business and biodiversity, biodiversity mainstreaming, cooperation, stakeholder engagement, capacity-development, technical and scientific cooperation (TSC), monitoring, review and reporting (MRR), project management, fund management, and RBB planning and management. This shortage of core funded staff within the Secretariat is affecting the quality and sustainability of the work. While every attempt has been made to address the essential elements of the programme of work, this has been done at the expense of the limited staff available. As a result, many programmes have only one staff member effectively deployed to cover an extensive programme of work or staff are split into dual roles and servicing multiple programmes.

40.   To address important emerging areas of work such as DSI, biosafety information management, technical and scientific cooperation, biodiversity and health, and the business and biodiversity interface, project posts have been introduced on a temporary basis, funded through voluntary contributions. The longstanding implementation support provided through the initiatives of the Japan Biodiversity Fund and the legacy projects of the Republic of Korea has also been delivered through project-based staff. Project staff, in addition to carrying out the duties they were hired for, are often requested to carry out other functions related to programmes of work and cross-cutting issues, such as monitoring, review and reporting, as well as to supportive activities, such as donor relations, fund management and, more recently, the development of the Secretariat's results-based framework. In addition, GS staff are often required to perform functions of a programmatic nature that go beyond their regular duties because of the absence of a professional post to fulfil such necessary functions.

41.   Moreover, there are functions essential to the organization of meetings that are performed by loosely organized teams of staff members which carry out these duties on an as-needed-basis on top of their regular work. A case in point is the registration team which has been in existence for more than 10 years and is responsible for one of the Secretariat's core functions. The team consists of approximately eight General Service staff members from different divisions and the Office of the Executive Secretary (OES). This team does not officially form part of the Conference Services Unit and the work is often undertaken after normal working hours and during weekends to register participants to all the major meetings of the Convention and its Protocols including the Subsidiary Bodies. The registration team prepares invitation letters in English, French, and Spanish, assists funded participants prior to and during the meetings (e.g., travel requirements, visa assistance, logistical arrangements, etc.) as well as responds to hundreds of e-mails queries and provides logistical information for the meetings. As the workload fluctuates considerably, it is especially heavy about six weeks prior to a meeting and then eases off once the meeting has started. Without adequate support, supervision and accountability for this function, the registration team has not had the opportunity to systematically review and modernize the registration processes and systems to make them more efficient and less labour-intensive.

42.   Another example is the remote translation team, also managed in a similar manner, coordinated by a general service staff member at the G-7 level in the Conference Services Unit. This team is responsible for coordinating all the translations of all CBD documents, both pre-session and in-session, and making sure these are sub-contracted out to up to six translators per language depending on the length and urgency of the document to make sure deadlines are met. The remote translation team is supported by up to 4 general service staff on a voluntary basis who, like the registration team, are often paid on an overtime basis. Subject to the size of the meetings, the remote translation team is required to coordinate and verify the work of somewhere

between 40 to 60 translators at any given time. The Secretariat is exploring the possibility of leveraging United Nations systems contracts for translation services to streamline the process to reduce transactional costs and the burden on already overstretched colleagues in the Administration Division.

43.   **Programme and project management**: During the analysis it was determined that the lack of dedicated programme and project management functions and Results Based Management (RBM) (including Secretariat-wide programme monitoring and reporting, project management and monitoring, fund management, donor relations, etc.) as well as evaluation and monitoring functions, which are mandated by the United Nations General Assembly was a major risk. Current practices are adversely impacting the implementation of the Secretariat's work with projects repeatedly being extended, funds being underspent, weak reporting on results, and all this causing high transaction costs and sub-optimal programme support income (OTA) generation. Mandatory Umoja modules for project management and monitoring have also not been rolled out and only a few people distributed over different units know how to use them, resulting in these staff members having to support colleagues, on top of their regular workload. When Parties or other donors make pledges and request the Secretariat to prepare project proposals, these tasks are of necessity, tasked to individuals or groups of staff members who do not necessarily possess the required project formulation skills and experience and /or the time to work on such additional tasks. Furthermore, project fund raising is not centralized, leading to individual directors, unit heads and programme officers raising their own funds, resulting in uneven funding levels for different programmatic areas and sub-optimal funding for the Secretariat as a whole. There is no central and optimized matchmaking of fund-raising efforts and available funding on the one hand with existing Secretariat-wide funding needs on the other. Also, Programme Officers are not usually aware of the planning of capacity development activities by colleagues and the opportunities this provides for coordination, cooperation and increased efficiency. The RBB framework clearly facilitates a central Secretariat-wide approach to fund raising, planning, project formulation, and matchmaking. There is also a strong need for centralized communication and cooperation with the Secretariat's Finance Unit by trained project managers who understand project management and know how project data and information relate to the financial figures in the UN Secretariat's accounting system.

44.   A summary table of key risks and proposed mitigation strategies is presented as annex IV and serves as the basis for the additional posts requested in section IV of this document. This risk assessment exercise represents a first step in going forward. Heads of divisions will be requested to develop their own risk assessment matrices as part of their regular programme planning and management based on the results-based framework. As ERM focuses on managing uncertainty, which includes both threats and opportunities, it is an organization-wide process of structured, integrated and systematic identification, analysis, evaluation, treatment and monitoring of risks towards the achievement of organizational objectives.

45.   The enterprise risk analysis was a useful exercise that pointed to the lack of human resources and specific programme and project management functions as major risks. In addition to the proposed mitigation strategies presented in annex IV, it is concluded that these risks can only be effectively addressed through adequate staffing.

B. Reflections on the development of the Secretariat's results-based framework

46.   In response to the OIOS audit observation on the need to enhance its ability to effectively monitor and report its impact on the support it provides to Parties by implementing a results-based approach in its work programming and budgeting, the Secretariat established an internal working group to develop a results-based budget framework, initially for the biennium 2021-2022.

47.   Developing the results-based framework has been a labor-intensive and important exercise that helped create the space for systematic inquiry and reflection on the organizational development of the Secretariat. The following reflections have emerged from the experience of working collaboratively with colleagues across the Secretariat to create its results-based workplan:

(a)   The creation of the results-based workplan is merely the first step for strengthening management at the Secretariat. To properly benefit from this accountability tool, the framework needs to be optimized and updated, especially after major meetings, to ensure that planning is aligned and adjusted based on the actual decisions of COP and MOPs. Another important aspect is to ensure that its implementation is monitored on an ongoing basis, evaluated and reported on;

(b)   Through the elaboration of the RBB, the Secretariat has identified four substantive outcomes along with the key outputs and sub-outputs. In turn, the framework has been used to develop unit workplans and staff members have aligned their own individual workplans to clearly show how they are contributing to their unit workplan, and thus to the implementation of the Secretariat-wide framework;

(c)   The exercise revealed that important functions necessary for the effective implementation of the Secretariat's work were under resourced or entirely missing. These include organizational support for monitoring and evaluation, project and programme management function, and the delivery of key conferencing services among others;

(d)   It also became clear that while mandates have continually been added, there has been no analogous mechanism by the Conference of the Parties to determine what older mandates still needed to be worked on, or could be retired, replaced, or phased out. This has resulted in an accumulation of workstreams that are under resourced and whose relevance has not been monitored in a systematic way;

(e)   Finally, the exercise made clear that Secretariat-wide resource implications are often not considered when decisions are adopted (and vice-versa). For example, a decision that requests the Executive Secretary to carry out an activity on a specific theme, to be implemented by one of the substantive divisions, may require resources and support from other divisions, units and the Secretariat's administration, which are not considered at the time of the decision making, and/or budget decisions are made without fully taking negotiated decisions into account. Moving forward, the RBB can be used to anticipate these resource implications and determine their feasibility, rather than just mentioning the decision needs to be implemented "subject to the availability of resources". This practice has led to some of the requests to the Executive Secretary not being implemented, a fact that was also observed during both the OIOS and BOA audits.

48.   In addition to the above, the introduction of the results-based budgeting methodology in the Secretariat has brought to light several issues, relating not only to the current structure, accountability, and transparency in internal decision-making but also to the constraints caused by existing budgetary practices and procedures of the integrated programme budget for the Convention and its Protocols. More specifically, the existing practice first introduced by the Parties in COP decision X/45, paragraph 24, whereby the Executive Secretary is requested to prepare and submit a budget for the programme of work for the biennium with three alternatives and include explanations of the differences in staffing and activities between the alternatives as well as their consequences, proved to be very complex and difficult, and not compatible with the result-based budgeting process nor able to address the unforeseen price and cost increases such as those experienced due to the pandemic.

49.   While the original intention may have been to curb operational costs, the practice has inadvertently prevented the Secretariat from presenting its real resource requirements, and over time, this has led to the current mismatch between the workload and the resources necessary to effectively implement the requests made by the Parties. This is now becoming increasingly apparent. Furthermore, the current size and structure of the Secretariat does not anticipate emerging roles required for the implementation of post-2020 global biodiversity framework.

IV. RESOURCE REQUIREMENTS FOR THE SECRETARIAT TO EFFECTIVELY SUPPORT THE CONVENTION AND PROTOCOLS AND THE POST-2020 GLOBAL BIODIVERSITY FRAMEWORK

50. The integrated budget for the 2023-2024 programme of work of the Convention and the Protocols is presented in document CBD/COP/15/7 pursuant to COP decision 14/37 and MOP decisions 3/16 and 9/16, respectively. It contains different alternatives in line with prior practice that has been in effect since 2010 when the practice was first introduced by the COP in decision X/45, paragraph 24. However, as articulated under section II, the Secretariat is faced with a number of challenges and enterprise risks due primarily to a lack of adequate resources. To be "fit for purpose" and support the implementation of the post-2020 global biodiversity framework, which will require additional capacity as well as skills, capabilities, and approaches for enhancing partnerships and engagement with new sectors and stakeholders, the Secretariat has identified additional requirements that due to the limitations under the scenarios requested by the Parties could not be included in the budget proposals provided in document CBD/COP/15/7. The following section outlines the actual needs of the Secretariat based on the analysis presented in the previous sections.

51. The immediate additional staffing requirements to the core budget have been placed in the following three categories:

(a) Existing administrative posts supporting crucial human resource and financial management services that must be transferred from the voluntary to the core budget;

(b) Posts dedicated to organizational development, project cycle monitoring and evaluation to enhance strategic planning and performance through the roll out and implementation of the RBB;

(c) Programmatic and technical posts related to strategic programme areas and functions of the Secretariat that are critical to the Convention and the Protocols and to the post-2020 global biodiversity framework.

52. The post resources identified have been informed by an assessment which considered a number of factors including reorganization of work, redeployment of existing staff resources and concluded that residual risks remain and are best addressed through additional human resources.

53. By articulating and presenting these resource needs without the imposed constraints by consecutive COP budget decisions, the Secretariat would like to provide the Conference of the Parties with an understanding of its actual needs to effectively support the advancement of the global biodiversity agenda while continuing to serve the increasing requests from COP and COP-MOPs. At the same time, the Secretariat is mindful of the prevailing global and national economic climate and have attempted to address the bare minimum for the three critical priorities mentioned above.

A. Core Budget Requirements

54. The Secretariat's Theory of Change and the accompanying results-based budget framework is presented under section III, paragraphs 30-45, of the proposed integrated programme budget for the Secretariat of the Convention on Biological Diversity and its Protocols for the biennium 2023-2024 (CBD/COP/15/7). The same document also contains details on the respective objectives for the biennium, expected accomplishments, indicators of achievement and performance measures and outputs under Executive Direction and the programme of work, and therefore not reproduced here.

55. Moreover, this section mirrors the presentation in document CBD/COP/15/7 for consistency and comparison purposes and provides details on the resources requested under four distinct components: (a) Governing and Subsidiary Bodies; (b) executive direction and management; (c) delivery of work programme, which covers the substantive work of the Secretariat, and (d) administrative support. As stated in paragraph 50 of document CBD/COP/15/7, it attempts to align the budget document with the format of the biennial programme of work and budget of UNEP to better support decision-making and increase the transparency. In line with this format, the resources required for the Secretariat's planned and scheduled meetings, such as COP, SBSTTA, SBI, WG8J, other expert meetings, informal advisory meetings, and bureau meetings are presented under section V, subsection A (Governing and Subsidiary Bodies), the resource requirements for

management and coordination are presented under subsection B (Executive Direction and Management), the resources requested for substantive units and divisions are contained under subsection C (Programme of work) and for administrative support under subsection D.

56.   The five tables below provide an overview of the actual resources required, based on the preliminary risk analysis and needs assessment described in detail above, that the Secretariat believes needs be considered beyond the scenarios requested by the Conference of the Parties in the budget proposal for the biennium 2023-2024 to ensure the development of a transformative post-2020 global biodiversity framework that would put biodiversity on a path to recovery towards achieving the 2050 vision of living in harmony with nature.

57.   The Secretariat has therefore updated table 1 on the financial resources, presented in document CBD/COP/15/7 with the real growth scenario for the biennium 2023-2024, for ease of reference and comparison purposes. As stated in paragraph 15 of that document, the provision for posts was calculated using United Nations common standard salary costs for 2023, using the newly established post adjustment multiplier for Montreal of 55.8 for 2023 referred to above and an estimated post adjustment multiplier of 58.0 for 2024 for Secretariat staff during the biennium 2023-2024 with the application of a vacancy rate of 5 per cent for Professional posts and zero per cent for General Service positions for existing posts.

Table 1. Financial resources: Budget scenarios

(Thousands of United States Dollars)

Approved Core Budget for 2019-2020	38,844.1 a/
Approved Interim Core Budgets for 2021-2022	35,212.2 b/
Zero-real Growth Scenario for 2023-2024	40,443.8 c/
Zero-nominal Growth Scenario for 2023-2024	37,181.2 d/
Real Growth Scenario for 2023-2024	50,646.2e/

a/ Includes $1,310.000 for extraordinary meetings on post-2020 as per decision 14/37
b/ Interim budgets for 2021 and 2022 at the maintenance level to ensure SCBD operations during COVID-19 pandemic.
c/ Reflects 8 per cent increase above approved core budget for 2019-2020 less provision for extraordinary meetings on post-2020.
d/ Reflects 0 per cent increase above approved core budget for 2019-2020 less provision for extraordinary meetings on post-2020.
e/ Reflects the proposals in the current document

58.   Similarly, table 2 has been also updated to reflect the total number of posts requested under the real growth scenario, based on the analysis and preliminary risk assessment referred to above. Table 3 presents the updated resource request by component and table 4 the detailed staffing table by levels and provide an overview of the staffing resources requested compared with the authorized staffing table for the biennium 2019-2020 and the biennium 2021-2022, as amended and reported in the report of the Executive Secretary on the income and budget performance for the Convention on Biological Diversity, the Cartagena Protocol on Biosafety and the Nagoya Protocol on Access and Benefit-sharing for the biennium 2019-2020 and 2021 (CBD/COP/15/6). The detailed justification for each of these posts are presented below under sections B, C and D.

Table 2. Approved and requested post resources by biennium

Core budget		
Approved for the biennium 2019-2020	78	1 ASG, 3 D-1, 10 P-5, 12 P-4, 14 P-3, 9 P-2/1, 29 GS
Approved for the biennium 2021-2022	78	1 ASG, 3 D-1, 10 P-5, 13 P-4, 13 P-3, 9 P-2/1, 29 GS
Zero-real Growth Scenario for 2023-2024	86 a/	1 ASG, 1 D-2, 2 D-1, 10 P-5, 17 P-4, 17 P-3, 9 P-2/1, 29 GS
Zero-nominal Growth Scenario for 2023-2024	78 b/	1 ASG, 1 D-2, 2 D-1, 10 P-5, 13 P-4, 13 P-3, 9 P-2/1, 29 GS
Real Growth Scenario for 2023-2024	107 c/	1 ASG, 1 D-2, 3 D-1, 12 P-5, 18 P-4, 23 P-3, 10 P-2/1, 39 GS

a/ 8 new posts requested as follows: 4 P-4, 4 P-3 and upgrade of D-1 to D-2

b/ Upgrade of D-1 to D-2

c/ Reflects upgrade of D-1 to D-2, 29 new posts (1 D-1, 2 P-5, 5 P-4, 8 P-3, 3 P-2 and 10 GS) and two P-2 upgrades to P-3 for TK and Gender respectively.

Table 3. Financial resources by component

(Thousands of United States Dollars)

	2019-2020 COP 14/37	2021-2022 EM-2/1 & COP15/1	2023-2024		
			2023	2024	2023-24
Staff costs					
International staff	23,080.5	24,156.8	15,754.0	15,787.0	31,541.0
General temporary assistance	200.0	200.0	100.0	100.0	200.0
Subtotal	**23,280.5**	**24,356.8**	**15,854.0**	**15,887.0**	**31,741.0**
Meetings costs					
Bureau meetings	365.0	—	138.9	140.0	278.9
Expert meetings	320.0	—	160.0	160.0	320.0
meetings of intergovernmental bodies	3,688.0	1,469.8	2,156.4	2,156.4	4,312.7
Extraordinary meetings on post-2020	1,310.0	350.0	0.0	0.0	0.0
Subtotal	**5,683.0**	**1,819.8**	**2,455.3**	**2,456.4**	**4,911.6**
Operational costs					
Consultants	100.0	100.0	50.0	50.0	100.0
Expert studies	—	—		250.0	250.0
Official travel	800.0	550.0	400.0	400.0	800.0
Rent and associated costs	2,652.9	2,839.4	1,445.7	1,473.0	2,918.7
Training	10.0	10.0	25.0	25.0	50.0
Information technology	—	—	377.5	450.0	827.5
General operating expenses	1,453.2	1,453.2	996.7	996.7	1,993.5
Public awareness material	100.0	100.0	100.0	100.0	200.0
Translation of CHM websites/website projects	130.0	130.0	65.0	65.0	130.0
Subtotal	**5,246.1**	**5,182.6**	**3,459.9**	**3,809.7**	**7,269.7**
Total requirements	**34,209.6**	**31,359.2**	**21,769.2**	**22,153.1**	**43,922.3**

Programme Support (13%)	4,447.2	4,076.7	2,829.99	2,879.90	5,709.9
Total	**38,656.8**	**35,435.9**	**24,599.2**	**25,033.0**	**49,632.2**
Working Capital Reserve	**187.3**	**-223.7**	**948.98**	**65.07**	**1,014.1**
Total requirements	**38,844.15**	**35,212.2**	**25,548.2**	**25,098.1**	**50,646.2**

a/ reflects the application of 5% vacancy rate used in the Standard Salary Cost for Professional posts. No vacancy rate has been applied to General Service posts.

b/ it is anticipated that meeting costs for COP will be higher than the budgeted amount, but it has been kept at 2019-2020 approved level on the assumption that the additional costs would be borne by voluntary contributions from the Parties

Table 4. Authorized and requested post resources

	Authorized core budget	*Authorized core budget*	*ZRG*	*ZNG*	*RG*
	2019-20	*2021-22*	*2023-24*	*2023-24*	*2023-24*
Professional and higher					
ASG	1	1	1	1	1
D-2	–	–	1	1	1
D-1	3	3	2	2	3
P-5	10	10	10	10	12
P-4	12	13	17	12	18
P-3	14	13	17	14	23
P-2/1	9	9	9	9	10
Subtotal	**49**	**49**	**57**	**49**	**68**
General Service	29	29	29	29	39
Subtotal	**29**	**29**	**29**	**29**	**39**
Total	**78**	**78**	**86**	**78**	**107**

59.   Tables 5 and 6 have been also updated to reflect the total resources under the real growth scenario by component and percentages respectively.

Table 5. Distribution of resources by component

	2019-2020 approved budget	*2023-2024 ZRG*	*2023-2024 ZNG*	*2023-2024 RG*
A. Governing and Subsidiary bodies	4,373.0	4,568.9	4,568.9	4,911.6
B. Executive direction and management	5,304.3	6,206.2	5,481.6	8,531.6
C. Programme of work	18,552.5	18,737.8	17,145.6	22,408.1
D. Administrative support	5,979.7	6,028.6	5,659.8	8,070.9
Subtotal	**34,209.5**	**35,541.5**	**32,855.9**	**43,922.3**
PSC	**4,447.2**	**4,620.4**	**4,271.3**	**5,709.9**
Working Capital Reserve	187.4	281.9	54.0	
Total requirements	**38,844.1**	**40,443.8**	**37,181.2**	**49,632.2**

Table 6. Distribution of resources by component in percentage

	Authorized	*ZRG*	*ZNG*	*RG*
	2019-20	*2023-24*	*2023-24*	*2023-24*
A. Governing and Subsidiary bodies	12.8	12.8	13.9	11.2
B. Executive direction and management	15.5	17.5	16.7	19.4
C. Programme of work	54.2	52.7	52.2	51.0
D. Administrative support	17.5	17	17.2	18.4
Total	100	100	100	100.0

B. Extrabudgetary resources

60.   As described in document CBD/COP/15/7 (paras 21-30), and above in paragraph 34, the Secretariat continues to depend on voluntary contributions for the delivery of its mandates. The Secretariat had a total of 13 posts funded from extra budgetary resources as of 1 October 2022, of which 5 (1 D-1, 2 P-4 and 2 GS) are funded from the Japan Biodiversity Fund (JBF), established by the Government of Japan as the Presidency of the tenth meeting of the Conference of the Parties. The JBF funds and facilitates capacity-building activities organized or led by the Secretariat, as stated in paragraph 24 of the above-mentioned document. The number of extrabudgetary funded posts and their location are presented in table 7a below. Extrabudgetary resources will continue to play an essential role in the delivery of the mandates of the Secretariat, for activities of a defined and timebound nature. However, it is unsustainable and ineffective to rely on them to fulfil core responsibilities of an ongoing and continual nature.

Table 7a. Distribution of extrabudgetary posts by Office/Division

Extrabudgetary funded	*Number of posts*
Office of the Executive Secretary:	4
Japan Biodiversity Fund	5
Implementation Support Division	2
SSSF Division	2
Total	13

61.   The Secretariat continues to depend on the OTA funded positions, which also are considered extrabudgetary in nature. As can be seen from table 7b below, most of these positions are in the Administration, Finance and Commercial Services Division and these are described in detail in paragraphs 102 to 107 below. In addition, as stated in paragraph 68 of document CBD/COP/15/7, the Office of the Executive Secretary also includes and relies upon the joint Liaison Office of the United Nations Convention to Combat Desertification (UNCCD) and CBD at the Headquarters of the United Nations (UNHQ) in New York that comprises (for the purposes of CBD) two half-time staff for strategic engagement and reporting, among other normative aspects, under the Economic and Social Council (ECOSOC), the second Committee of the General Assembly and other aspects related to the SDGs. These two half-time staff members at the P-4 and G-6 levels are funded by programme support costs. However, the classification levels of these posts have remained unchanged since 2007 and does not reflect the current level of responsibilities, which has increased exponentially as biodiversity has gained traction.

Table 7b. Distribution of OTA (PSC) posts by Office/Division

OTA (PSC)	Number of posts
Office of the Executive Secretary incl NYC Liaison Office:	3
SSSF Division	1
AFC Division	16
Total	20

62.   The preliminary estimates for resources required developed for the three trust funds (BE, BZ and VB) in the context of the results-based management framework were presented in document CBD/COP/15/7 (paras 21-30), and therefore not reproduced here.

V.   BUDGET PROPOSAL BY COMPONENTS

63.   This section provides details on the budgeting of resources. The resources required for the Secretariat's planned and scheduled meetings, such as COP, SBSTTA, SBI, WG8J, other expert meetings, informal advisory meetings, and bureau meetings are presented under subsection A (Governing and Subsidiary Bodies) below. Similarly, the resources required for management and coordination are presented under B (Executive direction and management), the resources required for substantive units and divisions are contained in subsection C (Delivery of the work programme), and subsection D contains information on administrative support.

A. Governing and Subsidiary Bodies

Resource allocation: $4,911,600

64.   While the Secretariat requested $4,568,900 in the Integrated Programme Budget for the biennium 2023-2024 to provide for inter alia, rental of premises, interpretation, report writers, translation and other conference services related costs including hospitality to support the work of COP, MOPs, SBI, SBSTTA, Article 8(j) and other smaller expert meetings such as Informal Advisory Committees and Compliance Committees, it is anticipated, in the light of recently available information, that the actual costs of the meetings may be higher due to inflation and currency projections. Given that global inflation is expected to increase 7.5 per cent by the end of 2022, driven by food, energy and supply chain disruptions, the Secretariat recommends an increase in the allocation for meeting costs. It is therefore estimated that an amount of $4,911,600 will be required to cover the meeting costs for the biennium 2023-2024.

B.   Executive direction and management

(Office of the Executive Secretary)

Resource allocation: $8,531,600

65.   The executive direction and integrated management of the Secretariat is vested in the Office of the Executive Secretary under the leadership of the Executive Secretary. The Office of the Executive Secretary includes the post of the Deputy Executive Secretary, whose responsibilities include supervising the work of the Nagoya and Cartagena Protocols and since 1 January 2021, and the Conference Services Unit. The Office also includes the Legal and Intergovernmental Affairs Unit headed by the Senior Legal Officer, the Japan Biodiversity Fund (JBF) team, the Special Advisor, the Secretariat Support Unit in addition to the Communications and Awareness Unit. The detailed descriptions of these entities are provided in paragraphs 62-71 of document CBD/COP/15/7.

Table 8: Resource allocations: Office of the Executive Secretary

	Resources (thousands of United States dollars)				Posts		
	2019-2020	*2023-2024 ZRG*	*2023-2024 ZNG*	*2023-2024 RG*	*2019-20*	*2021-22*	*2023-24 RG*
Core budget							
Post	4,304.3	5,666.2	4,981.6	7,831.6	14	17	28
Non-post	1,000.0 a/	540.0	500.0 b/	700.0			
Subtotal	**5,304.3**	**6,206.2**	**5,481.6**	**8,531.6**	**14**	**17**	**28**
PSC (OTA)					1 c/	3 e/	3
XB					7 d/	8 f/	6 g/
Total	**5,304.3**	**6,206.2**	**5,481.6**	**8,531.6**	**22**	**28**	**37**

a/ includes travel ($800,000), consultants ($100,000) and public information materials ($100,000).

b/ includes travel ($400,000), consultants ($100,000) and public information materials ($200,000).

c/ represents 50% of P-4 and 50% of GS in UNCCD-SCBD Liaison Office at UNHQ

d/ represent JBF (1 D-1, 2 P-4, 2 GS) and 1 JPO (Japan) and 1 P-3 Communications Officer (EU)

e/ represents 50% of P-4 and 50% of GS in UNCCD-SCBD Liaison Office at UNHQ and 2 s/m in the Conference Services Unit

f/ represent JBF (1 D-1, 2 P-4, 2 GS), 1 P-4 COP15 Liaison Officer and 1 JPO (Japan) and 1 P-3 Communications Officer (EU)

g/ represent JBF (1 D-1, 2 P-4, 2 GS) and 1 JPO (Japan)

66.   Resources in the immediate office of the Executive Secretary, the Legal and Intergovernmental Affairs Unit, the Conference Services Unit and the Communications and Awareness Unit, amounting to $5,666,400 would provide for the continuation of 17 core funded posts (1 ASG, 1 D-1, 2 P-5, 3 P-4, 1 P3, 1 P-2 and 8 GS), the proposed upgrade of the Deputy Executive Secretary from D-1 to D-2 and 11 new posts (2 P-5, 1 P-4, 1 P-3 and 7 GS). These are further described below.

67.   The post resources for the continuation of 15.5 core funded posts for the ABS and Biosafety units (2 P-5, 1 P-4, 4.5 P-3, 2 P-2 and 6 GS) and the request for the conversion of two posts at the P-4 and P-3 levels funded from voluntary contributions to the core and the addition of 5 new posts (1 P-4, 3 P-3, and 1 P-2). These are presented under the delivery of the programme of work under subsection C below.

68.   As explained in paragraphs 74 and 75 of document CBD/COP/15/7, the *upgrade of the Deputy Executive Secretary position from the D-1 to the D-2 level* is requested to reflect the increased level of responsibilities since the reorganization that came into effect on 10 October 2018, related to the management and oversight of two Protocols and the Japan Biodiversity Fund, and since 1 January 2021, the oversight of the Conference Services Unit.

69.   *The Communications and Awareness Unit's* responsibilities are presently conducted by two Professional staff and two General Service posts (1 P-4 Communications Officer and Head of Unit, 1 P-2 Public Information Officer, and 2 Public Information Assistants at the G-6 and G-7 levels respectively). In addition, these are supported by a project-based staff member at the P-3 level, short-term consultants and interns. Enhanced communication and awareness efforts will be critical to the success of the post-2020 global biodiversity framework and the Secretariat plays an essential role in supporting Parties and all stakeholders in this regard. It is therefore proposed to establish a position at the level of P-5 as head of unit commensurate with the enhanced responsibilities related to the post-2020 global biodiversity framework and to refocus the terms of reference of the existing P-4 post to support the programme of work on communication, education, and public awareness (CEPA) and the communications strategy for the post-2020 global biodiversity framework. In addition, a new P-3 post would be established under the core budget. The justification for this

proposed conversion of a *P-3 Communications Officer* post, currently funded from extra-budgetary resources received from the European Union is found in document CBD/COP/15/7 (para.78).

70.   To comply with United Nations General Assembly resolutions 72/303 and 74/271 aimed at strengthening accountability and transform the Secretariat into a results-based organization it is proposed that a dedicated Organizational Support Unit be established in the Office of the Executive Secretary to coordinate the Secretariat's programme of work based on the result-based budgeting (RBB) management framework to ensure that the expected results are delivered, and indicators of achievements are monitored and reported on in accordance with the framework. The establishment of the unit will also address the open OIOS audit observation from 2019, which stated that the Secretariat, in consultation with UNEP should develop an evaluation policy and mechanism to facilitate evaluations of its multi-year programme of work. As OIOS pointed out in its audit of the Secretariat (OIOS report 2019/095 of 31 October 2019), there are no defined mechanisms for evaluation at the Secretariat, and as the UNEP Evaluation Unit does not cover the activities of the Secretariat, the Secretariat has not systematically evaluated its activities to assure their relevance, efficiency, effectiveness, impact, and sustainability.

71.   Consequentially, a request is made in document CBD/COP/15/7 for a *Programme Management Officers (P-4)* who will be responsible for the programmatic coordination of the implementation of projects. The justification for the *Programme Management Officer (P-4)* is presented in further detail in document CBD/COP/15/7 (para. 77). In addition, it is proposed that this officer be assisted by *two general service staff* respectively to oversee the implementation and to monitor of the implementation of the new RBB framework. The Unit will be also responsible for assisting Divisions to develop measurable indicators of achievements, the continuing monitoring, implementation and related reporting and evaluation of progress in accordance with the RBB framework and the Secretariat's overall workplan as well as for the rollout of the Umoja's Integrated Planning, Management and Reporting (IPMR) and Grantor modules.

72.   In addition, a request is made to strengthen the Conference Services Unit by adding a *Senior Programme Management Officer at P-5 level* to manage and supervise all the logistical aspects of the organization of conferences, meetings as well as oversee the editorial and translation services. This function was previously performed by the Editor at the P-4 level, but the workload has increased considerably since it was decided in 2014 (decision XII/27, para. 3) to hold the meetings of COP and of the two COP-MOPs concurrently. Given that registration is a key component of any conference or meeting, it is also proposed to further strengthen the Secretariat's Conference Services Unit by adding *five general service posts at G-5 level*, including the two posts proposed in document CBD/COP/15/7, to manage functions such as logistics, editorial and translation services and registration, which are currently chronically under-resourced or, until now, have been handled by General Service staff as a task additional to their regular functions, to ensure that core functions of the Secretariat are carried out in a sustainable, efficient and dependable manner. It should be noted that such staff would not remove the need for additional staff to supplement the core team ahead of major meetings, but would allow core tasks, including registration, to be managed on a more sustainable footing.

73.   With regard to the request for non-post resources for the Office of the Executive Secretary, these remain unchanged as presented in document CBD/COP/15/7 (para. 80).

C. Delivery of the work programme

74.   The distribution of resources by Division is reflected in table 9 below.

Table 9. Resource allocations by Division

	2019-2020 approved budget	2023-2024 ZRG	2023-2023 ZNG	2023-2024 RG
C. Programme of work				
ABS and Biosafety Protocols	4,698.5	4,927.8	4,278.1	6,181.8
SSSF Division	7,040.8	6,761.2	5,818.7	7,234.9
Implementation Division	6,813.2	7,048.8	7,048.8	8,991.3
Total	**18,552.5**	**18,737.8**	**17,145.6**	**22,408.1**

1.   Office of the Executive Secretary: Substantive Units

(Protocols, Communications and Japan Biodiversity Fund)

75.   The Office of the Executive Secretary includes several substantive units and staff that are responsible for the delivery of the Secretariat's work programme in a substantive manner, as stated in CBD/COP/15/7 (para. 83). The specific outputs that the Office is directly responsible for are outlined in table 15, and the responsible units include the ABS and Biosafety Units, the Communications Unit, the Conference Services Unit, the joint UNCCD/CBD Liaison Office at UNHQ in New York, the Special Advisor to the Executive Secretary, and the Legal and Intergovernmental Affairs Unit, headed by the Senior Legal Officer.

ABS Unit

76.   The Access and Benefit-sharing (ABS) Unit is responsible for matters related to access and benefit-sharing under the Convention and the Nagoya Protocol. The Unit was established to support the work related to the third objective of the Convention and provide Secretariat functions to the Nagoya Protocol. The protocol entered into force on 12 October 2014 and aims at sharing the benefits arising from the utilization of genetic resources in a fair and equitable way, thereby contributing to the conservation and sustainable use of biodiversity. The unit promotes and supports the ratification of the Nagoya Protocol by all Parties to the Convention and provides support to Parties, indigenous peoples and local communities, and relevant stakeholders in implementing access and benefit-sharing and the Nagoya Protocol.

77.   The unit initially had one P-3 post in 2015, which increased to two P-3 and one P-2 in 2016 funded from its Trust Fund. At present, the ABS Unit consists of three fulltime Professional posts and three fulltime General Service posts (1 P-5, 2 P-3 and 3 GS). Additionally, a P-4 works 50 per cent of the time as a legal officer and a P-3 works 50 per cent of the time as a Programme Management Officer focused on capacity development. This small team supports the Parties to the Nagoya Protocol, services all the meetings and works on ABS issues under the Convention, including emerging issues such as digital sequence information on genetic resources, provides relevant legal support, relevant capacity-building support, and manages the ABS Clearing-House.

78.   Given the increased work related to digital sequence information and related emerging scientific and technical issues, such as synthetic biology, as explained in CBD/COP/15/7 (para. 87), the Secretariat requested the conversion of a *Programme Officer post at the P-4 level* currently funded by extrabudgetary resources to core budget funding. In addition to the continuation of the seven core funded posts (1 P-5, 0.5 P-4, 2.5 P-3 and 3 GS) and the conversion of the DSI position referred to above, the Secretariat requests include two new posts (2 P-3), as follows:

(a)   A *Programme Management Officer* at the P-3 level to strengthen the capacity of the unit to support work related to implementing the ABS goals and targets of the global biodiversity framework and inter-governmental work related to digital sequence information;

(b)   Furthermore, Parties have acknowledged that much more work needs to be done to make the Nagoya Protocol operational and have called for greater efforts to support capacity-building and development and technical and scientific cooperation in support of the Nagoya Protocol. To respond to this, a full-time Programme Management Officer at P-3 is required for capacity-building and development activities of the ABS/Nagoya Protocol Unit. Presently the unit shares a position 50/50 with another Unit, (see para 99 below).

Biosafety Unit

79.   The Biosafety Unit, established to support the work of the Cartagena Protocol on Biosafety following its entry into force, effective 1 January 2005, had initially five posts (1 P-5, 1 P-4, 1 P-3 and 2 GS) funded from its Trust Fund. Over time, the staffing level of the Unit increased till 12.5 positions till its resources was merged as a result of the integration of the Protocols and the Convention that took place following the Structural Review that had started in 2014, and the integrated programme biennial budget that followed. At present, the Biosafety Unit has a total of 8.5 posts (1 P-5, 0.5 P-4, 2 P-3, 2 P-2 and 3 GS). The net result, however, has been a decline in the number of posts in the Unit, which has resulted in a number of strategic elements being under-resourced. It should also be noted that the programme of work on synthetic biology under the convention is serviced from the Biosafety Unit given the technical competence required as well as the need to maintain a complementary perspective on the discussions under the Convention and the Protocol. In addition, adoption of the Nagoya –Kuala Lumpur Supplementary Protocol on Liability and Redress entailed the development of an additional work programme for the Unit with no additional staffing allocations. The table below shows the post evolution in the Biosafety Unit for a twelve-year period, from 2005 till 2016.

Evolution of posts in the Biosafety Unit
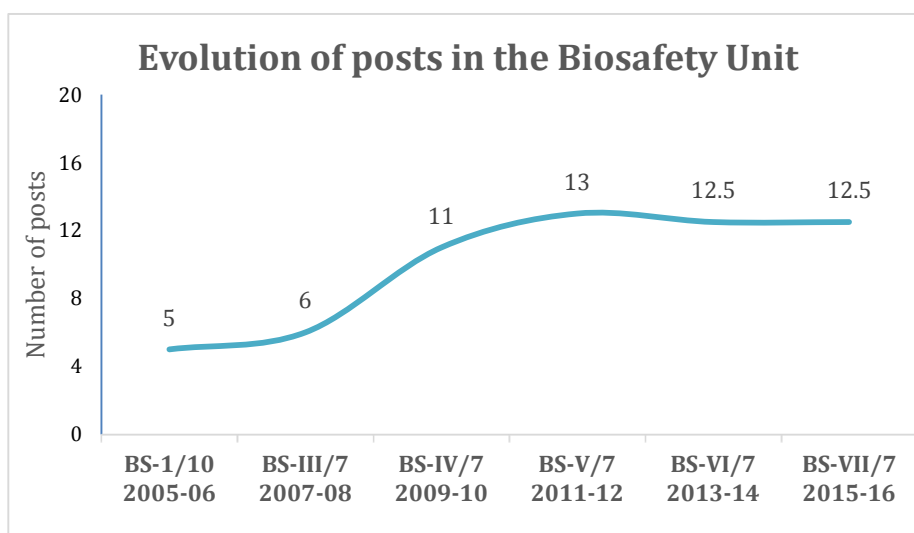
80.   The integration of the Convention and its Protocols continues to be a strategic priority for the Parties and the Secretariat. This was further emphasized in decision CP-9/7 of the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety adopting a comprehensive process for the development of a post-2020 implementation plan for the Protocol that is anchored in and complementary to the post-2020 global biodiversity framework. As a result, the Cartagena Protocol will need to align its own established processes to the institutional mechanisms proposed under the Convention. In particular, the enhanced planning, monitoring, reporting and review mechanisms will require the requisite capacity and capability to be included within the staff allocations for the Cartagena Protocol on Biosafety. A Cartagena Protocol information and monitoring function is therefore required to address these additional elements and align with the Convention processes using the Biosafety Clearing-House as a primary tool for managing information and reporting.

81.   Over the course of the years since the entry into force of the Cartagena Protocol on Biosafety the role of science and technology in the management of biodiversity continues to grow on the global agenda. Advances in science mean that it is now more important than ever to ensure that there are global standards and safeguards in place to support the deployment of modern technologies to solve biodiversity challenges.

82.   In the past, the Secretariat focused its core Biosafety functions and capabilities on the legal aspects of legal frameworks and risk assessment. However, in order to continuously adapt to the developments in modern biotechnology and their applications in biodiversity management, dedicated technical capacity that operates at the interface of science and policy is required. This capacity will be based within the unit responsible for the Biosafety protocol but offer transversal support to the overall secretariat where biotechnology applications are addressed (invasive species management, agricultural biodiversity and geoengineering). The core skills required to advance the elements anticipated in Article 16 of the Convention include bioinformatics and biotechnology.

83.   In addition to the continuation of 8.5 core funded posts (1 P-5, 0.5 P-4, 2 P-3, 2 P-2 and 3 GS) and the conversion of one P-3 post for *Biosafety Clearing-House* currently funded from voluntary contributions as requested in CBD/COP/15/7 (para. 88), the Secretariat requests one new post at the P-2 level for a *Programme Officer/Scientific Officer for Biotechnology* to support the emerging biotechnology focus area and, in particular, to assist the Environmental Affair Officer in the process of information gathering and systematization for the horizon scanning by among other things: identifying stakeholders to be consulted, propose a systematic information gathering process, carry out information gathering.

84.   The next meeting of the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety 10 (COP-MOP 10) is expected to adopt a specific action plan for capacity-building for the implementation of the Cartagena Protocol and its Supplementary Protocol (capacity-building action plan) that is aligned with the implementation plan and complementary to the long-term strategic framework for capacity-building beyond 2020. Effective implementation and support for this action plan will require additional staff resources for coordination, outreach, and monitoring.

Table 10. Resource allocations: ABS and Biosafety Protocols

	Resources (thousands of United States dollars)				Posts		
	2019-2020	*2023-2024 ZRG*	*2023-2024 ZNG*	*2023-2024 RG*	*2019-20*	*2021-22*	*2023-24 RG*
Core budget							
Post	4,255.3	4,827.8	4,178.1	5,871.8	15.5	15.5	20.5
Non-post	0.0	100.0	100.0 a/	310.0 b/			
Subtotal	**4,255.3**	**4,927.8**	**4,278.1**	**6,181.8**	**15.5**	**15.5**	**20.5**
PSC (OTA)							
XB						2 c	
Total	**4,255.3**	**4,927.8**	**4,278.1**	**6,181.8**	**15.5**	**17.5**	**20.5**

a/ includes travel ($100,000)

b/ includes travel ($100,000) and $210,000 for the maintenance of the BCH platform

c/ represents 1 P-4 for DSI and 1 P-3 for BCH

85.   Non-post resources provide for travel of staff ($100,000) considering that in future some travels will be replaced by virtual and hybrid engagement as much as possible. Thus, cost estimate is based on actual expenditure pattern for the biennium 2019-2020. In addition, an amount of $210,000 will be required to maintain the BCH platform, which has previously been funded by the UNEP GEF project.

2. *Science, Society and Sustainable Futures Division*

86.   The Science, Society and Sustainable Futures Division (SSSF) serves as the Secretary of the Subsidiary Body on Scientific, Technical and Technological Advice of the Convention on Biological Diversity and has provided scientific and technical support to the Open-ended Working Group on Post-2020 Global Biodiversity Framework, as stated in CBD/COP/15/7 (para. 91). The detailed descriptions of these entities are provided in document CBD/COP/15/7 (paras 92-98).

87.   For the fulfilment of the Secretariat's responsibilities commensurate with the requirements and ambition of the post-2020 global biodiversity framework and related COP decisions, that currently fall under its SSSF Division, critical needs are identified for additional posts related to Biodiversity and Business (P-3), Biodiversity Mainstreaming (P-4, replacing current 50 per cent P-4), Sustainable Use and Sustainable Wildlife Management (P-3), Programme Assistant (G-7) on financial reporting, as well as upgrade of some existing posts, including Gender Programme Officer (from P-2 to P-3) and Indigenous People, local communities and Traditional Knowledge (from P-2 to P-3). These requirements are explained below in further detail.

88.   The conversion of a *Programme Officer post at the P-3 level on Biodiversity and Business*, currently funded by extrabudgetary resources to core budget funding. Since adoption of the first decision on private sector engagement by the Conference of the Parties at its eighth meeting, in 2006 (decision VIII/17), significant progress has been made in engaging businesses for achieving the objectives of the Convention, including: the growth of national or regional partnerships on business and biodiversity and the establishment of the Global Partnership as a network of networks, with currently almost 25 initiatives; the regular holding of the Global Business and Biodiversity Forum back-to-back to the meetings of the Conference of the Parties; and the building of a collaborative global network of international partner organizations and initiatives which was instrumental for the development of various outreach and guidance products, such as on business reporting. Work on business engagement is therefore bound to continue and its ongoing importance is likely to further increase, also in the context on increased engagement of the financial sector (which includes private businesses). It is therefore critical to secure sustainability of ongoing work activities through the conversion of this post to core budget funding.

89.   In view of escalating need for mainstreaming various economic sectors for the implementation of post-2020 global biodiversity framework, the Secretariat also would like to request that the *Programme Officer (P-4) – Biodiversity mainstreaming*, which is currently covered by 50 per cent of P-4 post, be fully resourced. Work on integrating biodiversity considerations within and across economic sectors ("biodiversity mainstreaming") has intensified considerably since adoption of landmark decision XIII/3, bundling earlier work on economic sectors under thematic programmes of work and cross-sectorial work on incentives and on sustainable development. With decision 14/3 and its focus on key sectors not covered by existing programmes of work, the decision by Parties to establish a long-term strategic approach to mainstreaming, and the follow-up work already foreseen in the draft decision adopted by the Subsidiary Body on Implementation at tis third meeting, the mainstreaming work is likely to continue and further intensify and requires therefore full staffing capacity of a full-time programme officer at P-4 level.

90.   Likewise, in view of increasing reporting requirements relating to resource mobilization, the Secretariat would like to request that *Programme Assistant (G-7) on financial reporting* is provided by core budget funding. Extensive reporting against Goal D and the targets of pertinence to resource mobilization is already foreseen in the draft monitoring framework for the post-2020 GBF, requiring however still considerable work on indicators for some funding streams, both conceptually as well as in terms of data collection. While this work is expected to be undertaken mainly by implementing partners, experience in the past decade with the existing financial monitoring framework under the Strategic Plan for Biodiversity 2011-2020 and the financial targets under Aichi Biodiversity Target 20 clearly demonstrated the need for continuous inhouse capacity in order (a) to support Parties in their financial reporting, (b) to act as a conduit between Parties and the particular expertise in partner organizations, and (c) for data aggregation and analysis at global level. At the same time, the particular expertise required by financial indicators and analysis will be met only through the establishment of a dedicated post.

91.   Likewise, several areas of core functions under the Convention, including those relating to many key COP decisions, do not have dedicated staff support in the Secretariat and therefore need to rely on services provided by individual contractors and/or consultants. One of key core functions requiring dedicated staff support and resources include addressing the second objective of the Convention, Sustainable Use and Sustainable Wildlife Management, particularly in light of the fifth edition of the *Global Biodiversity Outlook* (GBO-5) and reports by the Intergovernmental Science-Policy Platform on Ecosystem Services (IPBES) pointing to the continued loss of biodiversity and the benefits from biodiversity to people. The Secretariat would like to request a *dedicated post at P-3 level on sustainable use and sustainable wildlife management*, which will allow the Secretariat to implement key decisions relating to these areas, to follow up on recommendations arising from GBO-5 and IPBES, and to provide adequate scientific, technical and policy support to Parties in their efforts to achieve draft targets 1, 3, 4, 5, and 9 of the post-2020 global biodiversity framework.

92.   Moreover, while addressing gender-sensitive approaches is critically required throughout all the programmes on biodiversity conservation and sustainable use, the Gender Programme Officer at the Secretariat is staffed only at a P-2 level. In view of the strong focus on gender responsive implementation of the post-2020 global biodiversity framework, and the need for implementation of a new and ambitious gender plan of action, the responsibilities of the post go well beyond P-2 level. Therefore, the Secretariat would like to request an upgrade of this post from P-2 to P-3.

93.   Furthermore, the Secretariat would like to request the upgrade of current P-2 post on IPLC/TK to P-3 programme management officer, and additional G-7 staff (currently only one G-7 staff supporting the entire Unit) to support the work on human-right based approaches and the joint programme on nature and culture biodiversity.

94.   Complementing the above requests, the Secretariat will also review and realign exiting portfolios to ensure that other programmes areas are adequately addressed including those related to protected areas and OECMS, species-based conservation, and taxonomy.

Table 11. Resource allocations: Science, Society and Sustainable Futures Division

	Resources (thousands of United States dollars)					*Posts*		
	2019-2020	*2023-2024 ZRG*	*2023-2024 ZNG*	*2023-2024 RG*		*2019-20*	*2021-22*	*2023-24 RG*
Core budget								
Post	5,842.1	6,661.3	5,718.7	7,084.9		18.5	18.5	22.5
Non-post	0.0	100.0	100.0 a/	150.0 b/				
Subtotal	**5,842.1**	**6,761.3**	**5,818.7**	**7,234.9**		**18.5**	**18.5**	**22.5**
PSC (OTA)						1 b/		
XB						2 c/	2 c	
Total	**5,842.1**	**6,761.3**	**5,818.7**	**7,234.9**		**21.5**	**20.5**	**22.5**

a/ includes travel ($150,000)

b/ represents 1 G-6 Programme Assistant in the People and Biodiversity Unit

c/ represents 2 P-3 posts funded by the EU

95.   Non-post resources provide for travel of staff ($150,000) considering that in future. some travels will be replaced by virtual and hybrid engagement as much as possible. Thus, cost estimate is based on actual expenditure pattern for the biennium 2019-2020.

3. Implementation Support Division

96.   The Implementation Support Division provides support for the implementation, reporting and review of the Convention and its Protocols, as described in document CBD/COP/15/7 (para. 105). The Head of Division serves as the Secretary for the Subsidiary Body on Implementation and until recently also as the Secretary of the Open-ended Working Group on the Post-2020 Global Biodiversity Framework. It comprises a Unit for Monitoring, Review and Reporting, a Unit for Capacity-building and Knowledge Management and a Unit for Stakeholder Engagement and Cooperation. The descriptions of these are provided in document CBD/COP/15/7 (paras. 106-107).

97.   For the fulfilment of the Secretariat's responsibilities commensurate with the requirements and ambition of the post-2020 global biodiversity framework and related COP decisions, that currently fall under the responsibilities of its IMS Division, there would be need for additional posts related to monitoring, review and reporting (P-4, P-3 and P-2), cooperation (P-3), and programme support (G-6). In addition, if the aforementioned additional posts are created under the ABS unit (on capacity building) and on mainstreaming, then the current 50 per cent posts on capacity development and stakeholder engagement would become fulltime posts.

98.   *Monitoring, Review and Reporting*. The responsibilities of the Unit are currently undertaken by two Professional staff (P-5 Head of Unit and P-4) and two General Service staff (both G-7). During the present intersessional period, the work of a P-4 of the Japan Biodiversity Fund (JBF) Unit (XB, project post) has supported this work. Furthermore, since the establishment of the JBF unit, JBF staff have substantively contributed to the work of the Secretariat in supporting the development and implementation of national biodiversity strategies and action plans (NBSAP) given the foundational role of NBSAPs to the implementation of the Convention and the mandate of JBF to support implementation. In addition, several responsibilities related to monitoring and assessment have been conducted by one of the General Service staff, above and beyond the regular functions of that post, due to the lack of a dedicated professional post. With the imperative for enhanced mechanisms for planning, reporting and review to strengthen the implementation of the Convention associated with the post-2020 global biodiversity framework, there is a need to significantly strengthen the core capacity of the Secretariat in this area. At a minimum, an additional P4 programme management officer, P-3 programme management officer and P-2 associated programme management officer will be required for the core, ongoing, functions related to enhanced mechanisms for monitoring, review, and reporting.

99.   *Capacity-building and Knowledge Management (CBKM)*. The functions of the Unit are undertaken by six and a half Professional staff (P5 Head of Unit, 2 at P4, 0.5 at P3, and 3 at P2) and five General Service staff (4 at G7 and 1 at G6). These are presently complemented by one P-4 and one G-6 on fixed term project posts funded by the voluntary budget. With the expected adoption of the long-term strategic framework for capacity-building and development and to ensure the effective support to Parties by the Secretariat, at a minimum, there is a need to increase to 100 per cent the 50 per cent time-allocation of the *P3 for capacity-building* shared with the ABS Unit. The establishment of a dedicated Programme Management Officer at P-3 for capacity-building activities of the ABS Unit, noted in paragraph 78 (b) above, would enable full-time attention to the CBKM Unit of the present P-3. In addition, to adequately reflect the responsibilities of the G-6 Programme Assistant, the Secretariat intends to upgrade this to G-7 and the continued need for the aforenoted P-4 and G-6 funded by the XB trust fund has been reflected in the personnel needs of the voluntary budget for 2023-2024.

100.   *Stakeholder Engagement and Cooperation*. The responsibilities of the Unit, which includes the Secretariat's responsibilities for the financial mechanism, are presently undertaken by three and a half Professional staff (P-5 Head of Unit, P-4 financial mechanism, P-2 stakeholder engagement and cooperation, and 50 per cent of a P-4 for stakeholder engagement (subnational and local authorities)) and one General Service staff (G-7). Given the importance of strengthened cooperation with other international organizations and conventions and all stakeholders for the successful implementation of the GBF, the demands on the Unit will increase and there is a need to strengthen its staffing at a minimum as follows: a P-4 for stakeholder engagement will be required full time (this could be achieved with the addition of a full time P-4 position for the shared responsibility of mainstreaming noted above). A dedicated P-3 for cooperation will be required to enable the Secretariat to successfully fulfil its role in serving as a global hub for cooperation in the implementation of the GBF. An additional G-6 Programme Assistant will be required to support the unit across its responsibilities. In addition, a fixed-term position at P-2 level, for which an opening for a Junior Professional Officer has been created, would support the establishment of interagency and multi-stakeholder liaison mechanisms to support implementation of the GBF and this has been reflected in the voluntary budget.

Table 12. Resource allocations: Implementation Support Division

	Resources (thousands of United States dollars)				*Posts*		
	2019-2020	*2023-2024 ZRG*	*2023-2024 ZNG*	*2023-2024 RG*	*2019-20*	*2021-22*	*2023-24 RG*
Core budget							
Post	7,015.2	6,818.8	6,818.8	8,461.3	23	23	28
Non-post	1,440.0 a/	230.0	230.0 b/	530.0 c/			
Subtotal	**8,455.2**	**7,048.8**	**7,048.8**	**8,991.3**	**23**	**23**	**28**
PSC (OTA)							
XB					2 d/	3 e/	2 f/
Total	**8,455.2**	**7,048.8**	**7,048.8**	**8,991.3**	**25**	**26**	**30**

a/ includes extraordinary meetings on the post-2020 GBF and translation of CHM website

b/ includes travel ($100,000) and translation of CHM website ($130,000)

c/ includes travel ($150,000) and translation of CHM website ($130,000) and 2 reports ($250,000)

d/ includes 2 posts (1 P-4, 1 GS) funded by the Government of Korea

e/ includes 2 posts (1 P-4, 1 GS) funded by the Government of Korea and JPO (Germany)

f/ includes 2 posts (1 P-4, 1 GS) funded by the Government of Korea

101.   Non-post resources provide for travel of staff ($150,000) considering that in future some travel will be replaced by virtual and hybrid engagement as much as possible. This cost estimate is based on actual expenditure pattern for the biennium 2019-2020. In addition, provision of $130,000 is made for the translation of the CHM website and $250,000 for the conduct of mandatory assessments related to the financial mechanism of the Convention and Protocols, being a review of the effectiveness of the financial mechanism (sixth review) and an assessment of resources necessary for the Global Environment Facility in its next replenishment phase to support implementation of the Convention and its Protocols (GEF-9).

D. Administrative support

102. Programme support for the Secretariat is vested with the Administration, Finance and Commercial Services (AFC) Division, which provides fund management, financial services, and logistical and other backstopping support in addition to efficient administrative and human resources support for the Secretariat of the Convention and its Protocols, within the rules and regulations of the United Nations and under the guidance of Parties. The Division comprises the following units: Budget and Finance Unit, Human Resources and Administration Unit, Commercial Services Team, and IT Client Service Team, and the detailed descriptions of the entities are provided in document CBD/COP/15/7 (para. 111).

103. As stated in paragraph 34 above, the pandemic exposed the Secretariat's overreliance on programme support costs (PSC) for the provision of core administrative functions. The shortfall in the OTA incurred for more than the past than four years[12] highlighted the need to have a minimum number of posts in the Division funded from the core budget, a view that was also shared by the Board of Auditors (BOA) in their recent audit of the Secretariat. The BOA stated that the funding gap reflects inadequate funding for operational activities provided by the Administration Division, and that it may have an impact on the continuity and efficiency of work provided by the Division, taking into consideration that more than 80 per cent of posts are funded through programme support costs.

104. In an effort to contain the over-expenditures in the OTA account, which had started in 2016, it was decided to abolish one vacant Finance Assistant (G-4) position in the AFC Division and one Programme Assistant (G-6) post was moved to the core budget under the Implementation Support Division in February 2020. This left the division with 19 authorized posts, 15 of which were funded from PSC, representing approximately 80 per cent of the staffing establishment following the transfer of the Conference Services Unit to the Office of the Executive Secretary, effective 1 January 2021. Due to the COVID-19 pandemic and the expenditures patterns in 2021, and the OTA income projections for 2022, it was decided in an effort to contain the costs in the OTA account to postpone until 2022 the replacement of three (3) staff members in the AFC Division who had reached mandatory retirement age that year and whose posts were funded from the OTA account. This led to a further reduction in the authorized staffing level to 16 posts for the AFC Division, of which 12 positions are funded from PSC and 4 from the core budget. Regrettably, this large reduction in the number of posts has resulted in considerable service bottlenecks, increased response time, longer working hours for the staff and increased overtime payments as well as a higher risk of staff burnout. It underscores the need for adequate funding for operational activities and backstopping support in addition to the need to make funding more predictable, effective, and efficient, as mandated by the General Assembly in paragraph 24 of its resolution 67/226.

105. As stated in document CBD/COP/15/7 (para. 112), post resources in the Administration, Finance and Commercial Services (AFC) Division, is primarily funded through programme support costs (the 13 per cent overhead costs levied ono the core and all voluntary contributions to the Secretariat), which provides for the backstopping support for the Secretariat. It is anticipated that the current staffing level of a total of 16 posts (1 P-5 post, 2 P-4, 1 P-3, 12 GS) will be maintained for the biennium 2023-2024. In addition, an amount of $1,786,200 is requested for the continuation of 4 core funded posts (2 P-3 and 2 GS) and four new posts (1 D-1, 1 P-4, 1 P-2 and 1 G-6) to address this situation, as explained below.

106. The position as the Head, Administration, Finance and Commercial Services (AFC) Division covers a wide spectrum of functions, assisting the Executive Secretary and Heads of Divisions, in the development and implementation of the administrative and financial framework for the Convention and the Protocols. This includes advising senior management and staff on budgeting, financial, human resources and general administration as well as management information issues and practices, IT helpdesk support, office space and issues related to the implementation of the Host Country Agreement. The post had previously been proposed for upgrade under the OTA account in the budget for 2019-2020, as can be seen in the footnote of annex VII of document CBD/COP/14/4 on the proposed budget for programme of work of the Convention on Biological Diversity, the Cartagena Protocol on Biosafety and the Nagoya Protocol on Access and

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[12] A/77/5/Add.7, paras 52-59.

Benefit-sharing for the biennium 2019-2020. Given the precarious situation in the OTA account for the past four years, it is proposed to establish the position as Head, AFC at the D-1 level, to be funded from the core budget given that it is considered an essential position in the provision of administrative services for the Secretariat.

107.   Similarly, it is proposed to establish Finance/Budget Officer post at the P-2 level to increase donor reporting requirements, income and expenditures monitoring as well as increased interactions with internal and external partners including auditors. Given the increases in hybrid meetings and IT support requirements, there is a need for an additional Administrative Assistant (G-6) to complement the existing IT client service team. These four posts would be in addition to the transfer of the Administrative Officer post (P-4) to the core budget requested in paragraph 113 of document CBD/COP/15/7 following the BOA's comment that the funding gap under the OTA account reflects inadequate funding for operational activities provided by the Administration Division, and that it may have an impact on the continuity and efficiency of work provided by the Division.

Table 13.   Resource allocations: programme support

	Resources (thousands of United States dollars)				Posts		
	2019-2020	2023-2024 ZRG	2023-2024 ZNG	2023-2024 RG	2019-20	2021-22	2023-24 RG
Core budget							
Post	1,664.8	1,316.7	947.9	2,291.2	7	4	8
Non-post	4,314.9	4,711.9	4,711.9	5,779.7			
Subtotal	**5,979.7**	**6,028.6**	**5,659.8**	**8,070.9**	**7**	**4**	**8**
PSC (OTA)					20	16	16
XB							
Total	**5,979.7**	**6,028.6**	**5,659.8**	**8,070.9**	**27**	**20**	**24**

108.   Non-post resources amounting to $5,779,700 would provide temporary assistance/overtime ($200,000), training of staff ($50,000), rent and associated costs ($2,918,700), general operating expenses ($1,993,500) and information technology ($617,500) to cover the costs of laptops and licence costs for 29 new staff as well as to support the implementation of the mandates under the programme. The Secretariat was able to upgrade of its video and conference services technology platforms as a result of a generous voluntary contribution by the Government of Canada but need to continue to update its network and cyber security infrastructure, which is why it was decided to separate out the specific IT requirements under a separate heading for transparency purposes. This amount includes replacement of the Secretariat's network switches and obsolete computer equipment due for replacement in 2024, software licences (Microsoft, Umoja, etc.) in addition to the upgrade of existing in-house developed IT tools.

VI.   MEDIUM TO LONG-TERM STRATEGIC OUTLOOK, CONCLUSIONS AND WAY FORWARD

109.   The adoption of the post-2020 global biodiversity framework intends to usher in a new and ambitious plan to bring about a transformation in society's relationship with biodiversity and to ensure that, by 2050, humanity lives in harmony with nature. The present document is based on a conviction that the Secretariat requires a significant influx of resources and structural and organizational change if it is to succeed in effectively supporting the implementation of the post-2020 global biodiversity agenda.

110.   In addition to addressing the most pressing operational, structural and functional risks as well as immediate resource constraints outlined in the previous sections, it is important that the Secretariat takes additional steps to create an adaptive and agile organization that can deliver relevant and meaningful support to Parties. Ultimately the Secretariat needs to ensure that it remains "fit for purpose" and its "structure fits function" in the long-term.

111.   The Secretariat can be effective and responsive to Parties and other relevant stakeholders, including indigenous peoples and local communities as right holders, in their efforts to achieve the goals and targets of the post-2020 global biodiversity framework, but this can only be accomplished through continuous renewal and improvements to its organizational structure and operations. The secretariat's structure, capabilities and abilities need to be aligned to support the constantly evolving needs of Parties under the post-2020 global biodiversity framework while identifying ways to reconcile the need to continue to deliver on several other mandates given over the years. Consequentially, it would be important to understand if the existing structure is fit for purpose and meets the current needs as well as those for the future, and that a review of the structure is undertaken by an external party with the necessary expertise in response to the new mandates which will be adopted at the fifteenth meeting of the Conference of the Parties.

112.   The Secretariat's intention, by preparing and submitting this document is: (a) to inform Parties and invite them to pay attention to how the Secretariat has been under-resourced since its establishment, especially in terms of human resources; (b) invite Parties to recognize that if these resources are not acquired in the next 2 to 4 years, the Secretariat will be severely constrained not only in delivering its expected support and facilitative functions in the implementation of the new global framework, but also in performing its basic and minimum secretariat tasks; and finally (c) to call upon Parties to respond to this appeal by the Secretariat in a generous and timely manner with the understanding that a good part of the success of the Convention and its Protocols depend on a strong and well-resourced and thus well-functioning secretariat.

Annex I

CORE POST LEVELS SINCE 1996

Number of posts approved by biennium from 1996 to 2022

	1996	1997	1998	1999-2000	2001-02	2003-04	2005-06	2007-08	2009-10	2011-12	2013-14	2015	2016	2017-18	2019-2020	2021	2022
ASG						1	1	1	1	1	1	1	1	1	1	1	1
D-2	1	1	1	1	1												
D-1	2	3	3	3	3	3	3	3	3	5	5	5	5	4	3	3	3
P-5	2	1	1	1	3	4	5	5	5	4	4	4	4	8	10	10	10
P-4	6	7	7	10	11	14	17	18	18	17	17	16	16	13	12	12	13
P-3	4	5	5	9	13	13	10	9	9	11	11	12	13	13	14	14	13
P-2	3	5	5	3	2	1		2	2	2	2	5	6	10	9	9	9
Sub-total	18	22	22	27	33	36	36	38	38	40	40	43	45	49	49	49	49
GS	10	18	18	20	23	26	28	28	30	32	32	30	30	29	29	29	29
Total	28	40	40	47	56	62	64	66	68	72	72	73	75	78	78	78	78

Annex II

EVOLUTION OF CBD DECISIONS

Volume of documents and number of decisions adopted by COP and MOP from 1994 to 2018

Convention on Biological Diversity	1994	1995	1996	1998	2000	2002	2004	2006	2008	2010	2012	2014	2016	2018
COPs	COP I	COP II	COP III	COP IV	COP V	COP VI	COP VII	COP VIII	COP IX	COP X	COP XI	COP XII	COP XIII	COP XIV
Decisions	13	23	27	19	29	32	36	34	36	47	33	35	34	38
Official documents	20	39	68	50	42	52	41	50	48	43	52	42	48	26
Information documents	13	17	33	21	27	48	43	48	5	46	59	58	50	65
Cartagena Protocol COP-MOPs						COP-MOP I	COP-MOP II	COP-MOP III	COP-MOP IV	COP-MOP V	COP-MOP VI	COP-MOP VII	COP-MOP VIII	COP-MOP IX
Decisions						16	14	18	18	17	16	14	19	16
Official documents						23	19	22	28	24	25	25	22	19
Information documents						20	10	14	29	23	25	15	16	22
ABS COP-MOPs												COP-MOP I	COP-MOP II	COP-MOP III
Decisions												13	14	16
Official documents												14	21	19
Information documents												10	15	23

Annex III

**SUMMARY OF MAJOR DECISIONS ADOPTED DURING THE LAST FIVE MEETINGS OF
THE COP/ MOPS AND CORRESPONDING RESOURCE CHANGES**

COP meeting	Decisions increasing the work of the Secretariat	Changes in human resources
Tenth	➢ The adoption of the Strategic Plan 2011-2020 ➢ The UN Decade on Biodiversity ➢ The adoption of the Nagoya Protocol on Access and Benefit-sharing and the Nagoya – Kuala Lumpur Supplementary Protocol on Liability and Redress ➢ Ecologically and Biologically Significant Marine Areas	1 P5 upgraded to D1 2 new P3 posts 2 new GS (general staff) Net addition: 2 P3 and 2 GS posts
Eleventh	➢ The establishment of the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services, and the request/need for close collaboration ➢ Resource mobilization strategy and the requirement to expedite financial reporting	None
Twelfth	➢ Implementing resource mobilization strategy ➢ The review of previous decisions of the COP and the development of decision-tracking tool ➢ Interest in and adding work on underwater noise ➢ Understanding synthetic biology and examining its implications on biodiversity in general and the effectiveness of instruments under the Convention ➢ Enhancing work on climate change/Eco-Disaster Risk Reduction ➢ Establishment of Subsidiary Body on Implementation ➢ The entry into force of the Nagoya Protocol, the operationalization of the ABS-Clearing House, and their interface with the Convention provisions on ABS and related work ➢ The decision to convene the meetings of the COP and the meetings of the Parties to the Cartagena and Nagoya Protocols concurrently	2 upgrades from GS to P2 1 P3 2 P2 Net addition: 1 P3 and 2 P2
Thirteenth	➢ Expanded work on sectoral mainstreaming ➢ Expanded work on national reporting/ indicators	3 upgrades from P-4 to P-5 1 downgrade of D-1 to P-5 1 upgrade from GS to P-2 3 P-2 Net addition: 3 P-2 posts
Fourteenth	➢ The launching of the preparation of the Post-2020 Global Biodiversity Framework and the establishment of Open-Ended Working Group to undertake such a process ➢ Introduction of Result-based Budgeting	1 downgrade from D-1 to P-5 2 upgrades from P-4 to P-5 1 upgrade from P-2 to P-3 Net addition: none
Interim period (COVID) 2021, 2022	➢ The preparation process of the post-2020 global biodiversity framework ➢ Organizing and servicing series of virtual meetings ➢ Expanding information and technology facilities for the organization of numerous virtual meetings	1 upgrade from P3 to P4 Net addition: none

Annex IV

SUMMARY TABLE OF KEY ENTERPRISE RISKS AND MITIGATION STRATEGIES

Risks	Impact of risk	Likelihood of risk	Mitigation strategies
1. Operational risks			
1.1 Human Resources			
1.1.1 Staffing-Project posts used for core business functions Inadequate human resources for core business functions, Communications, BCH, DSI, TSC, MRR and Project and Programme Management	Overreliance on project posts to support core functions: BCH, ABS-DSI, Communications, TSC, MRR, Project Management putting quality and sustainability of work at stake	High	Number of posts to be covered by core budget for key functions are pushed forward. Strengthened coordination mechanism with legal, capacity-building, comms and other cross-cutting units
1.1.2 Staffing- Shortage of staff and shared posts Shortage of staff in key areas (Conferencing Services, editorial services, IT, communications, stakeholder engagement), reliance on temporary staff such as ICs, consultants and interns and shared staff on legal affairs, capacity-building for biosafety, supplementary Protocol)	Important work areas such as Conferencing Services and communications, stakeholder engagement are understaffed while others are staffed with less than 1 colleague and in shared posts the workload is too heavy for 50% allocation putting quality and sustainability of work at stake; this also impacts on overall staff wellbeing. Organizational and logistical problems impacting planning and effective delivery of meetings; lack of credibility with Parties; staff burnout/stress leave.	Medium	Establish a functional structure fit for purpose and correct mistakes in the responsibilities assigned to various staff positions. Review staffing needs and optimize existing staffing arrangements in consultation with managers and affected staff; realign priorities and functions and train staff (use of new videoconferencing equipment, project management, RBM, etc.). Prioritize human and technological resources and ensure plans are in place to cover different scenarios (scope increase, reduction of time to deliver, loss/lack of funding, etc.)
1.1.3 Staffing - Business continuity Lack of business continuity plan and knowledge retention	Limited number of staff available to provide ongoing support to programmes during periods of leave of absence, retirement or separation. Staff leave the organization and institutional memory is lost and the work suffers because of lack of continuity; weak skill development and no structured or systematic "on the job" training leading to a negative impact on delivering outcome 3 results, could lead to a lack of credibility with Parties; staff burnout/stress leave	Medium	HR and contingency planning and greater coordination. Create system where colleagues have backups that have the means and knowledge to do the work during absences. Possibility to have an overlap, or at least have new staff lined up to replace them. Have less core business positions funded by OTA. Develop strategic succession plans. Elaborate a knowledge sharing and retention strategy, enforce exit interviews and enforce the hand over report. Develop a mentorship system and ongoing "on the job" training of staff
1.2 Document planning, preparation and information management			
1.2.1 CBD document preparation and management processes Weakness in the planning, coordination and management of document preparation for meetings. Unclear linkages between draft decisions and the CBD's strategic directions and programme of work. Substantive content of some draft recommendations / decisions reliant on external processes causing delays.	Delays in planning and processes can lead to documents being posted late affecting reputation. Large number of documents and lengthy and multiple decisions going to meetings without a clear view of the strategic directions and an understanding of the implications on the work for the Secretariat; limited coordination and synergies can lead to confusion and inconsistencies in draft decisions. Proliferation of decisions that are not implementable.	Medium	Implementation of resolutions from internal task team formed to advise SMT on document preparation and review processes. Joint planning and discussion well in advance of the elaboration of key documents especially on cross-cutting issues. Ensure external partners are clearly aware of timeframes and deadlines for documentation, and exert pressure, where needed. A back-up plan should also be developed (e.g., submitting for adoption at the next SBSTTA/COP cycle). Enhance internal coordination and synergy during the preparation of draft decisions to avoid inconsistencies and overlaps in draft decisions submitted to the Subsidiary Bodies and COP
1.2.2 CBD Document editorial management Meeting documents, including draft decisions and	The current document preparation, internal clearance, editorial and translation process may result in pre-session and in-session documents being	Medium	Review document clearance and editorial management practices with a view to increase efficiencies. Outsource document process to DGACM UNHQ (UNON used

Risks	Impact of risk	Likelihood of risk	Mitigation strategies
recommendations, not prepared in a timely manner. Lack of coherence and efficiency in the document preparation and editorial management process.	submitted late due to late preparation, internal clearance, editing and translation, negatively impacting on implementation of meetings and decisions by Parties, and leading to loss of credibility with Parties; staff burnout/stress leave		to do SCBD documents in the past); Establish an efficient internal document review and approval process in line with delegation of authority and strategic directions of the Secretariat (Finalizing SOP)
1.2.3 Information management systems and tools Suboptimal and inconsistent use of information management tools and lack of a proper knowledge management system	High transactional costs due to suboptimal and inconsistent use of information management systems for routine administrative work and preparation of documents for meetings, centralized systems such as INSPIRA, UMOJA, IPMR not optimally used resulting in duplication of efforts. In addition, there is inefficient use of existing resources and knowledge, lost opportunities for learning and reinvention of wheel.	Low	Establish clear guidelines on the use of existing information management tools to be used at CBD Secretariat, create an efficient knowledge management system, streamline the staff roles and responsibilities, train staff, and monitor compliance.
1.3 Project and Programme Management			
1.3.1 Dedicated project and programme planning, implementation, monitoring and evaluation Lack of dedicated programme and project management functions and RBM (including preparation and monitoring of RBB, programmatic management of IPMR). Lack of evaluation and monitoring function which is mandated by the UN General Assembly	Ad-hoc implementation impacting several Secretariat results, projects repeatedly extended, funds underspent, weak reporting on results, high transaction costs, sub-optimal OTA generation. Non-compliance with UN audit, negative impact on budgeting exercises and requests for funds, lost opportunity to systematically learn and improve programming	High	Formalize and strengthen programme and project management functions; create a specific programme and project management unit and delegate authority. Establish project and programme management SOP and train staff. Strengthen internal accountability systems. Include evaluation functions and ask UNEP for support as appropriate.
1.3.2 Fundraising and voluntary fund management Lack of coordinated fundraising and voluntary funding management, reporting and donor relations functions (except JBF)	Funds are underspent, problems with managing and reporting funds, sub-optimal OTA generation, CBD Secretariat reputation suffers; less resources are made available.	Medium	Formalize and strengthen coordinated fundraising and voluntary fund management to be undertaken by programme and project management unit.
1.3.3 Stakeholder relations Limited capacity to engage in all relevant processes in other fora and stakeholders especially as biodiversity is gaining importance in the international development agenda	Lack of adequate engagement with growing numbers of key actors needed to achieve CBD goals; Inadequate visibility and profile of the CBD globally.	High	Secretariat establishes a functional structure fit for purpose and corrects mistakes in the responsibilities assigned to various staff positions. Identify objectives and develop clear strategies for effective engagement in other processes; strengthen role of internal Secretariat focal points and ensure they regularly provide briefings and seek inputs from other staff on relevant issues.
1.4 Support Services			
1.4.1 Coordination and delivery of translation services. Inadequate translation of materials and websites. Current contracting process for translation of pre-session and in-session documents is very cumbersome, challenging and not efficient	Quality assurance of translations is compromised and, reliance on internal staff to proofread and check translation creating additional workload. Clearing house are less accessible to non-English speaking countries which may affect compliance. Documents not translated in timely nor efficient fashion impacting effectiveness of meetings, lack of credibility with Parties; staff burnout/stress leave	Medium	Review the procurement processes and modus operandi for translation services. There are UNHQ vetted language contracts that can be used for all languages except Arabic which could lessen the workload for all concerned including AFC staff. Consideration should also be made to add the translation of the web-content to the same team. Difficulty to staff Remote Translation Team with Secretariat staff for meetings.

Risks	Impact of risk	Likelihood of risk	Mitigation strategies
1.4.2 Procurement processes Inadequate (not fit for purpose) procurement services available for CBD Secretariat.	Critical procurement processes are constrained by the lengthy processes and the difficulty in accessing the right technical skills for the unique areas of work. Difficulties in contracting appropriate technical expertise (companies, firms)	High	Review delegation of authority on procurement processes to be handled by the Secretariat, ensure procurement functions are available for the Secretariat procurement needs (services could be provided by other office); train internal staff to handle procurement requests; develop annual or bi-annual procurement plan
1.4.3 Delivery model for administrative services. High reliance on OTA resources for key administrative support positions puts at risk business continuity	Vacant positions that can not be refilled due to lack of OTA funding. Critical administration services not being performed optimally and timely having impact on all Secretariat operations and negative impact on programmatic results; lack of credibility with Parties; staff burnout/stress leave and lack of administrative, financial, and operational support for the Secretariat.	Medium	Review staffing arrangements and funding. Consider a minimum number of posts that should be covered by core budget to ensure business continuity in times of crises. Professionalise project management to ensure activities are implemented in line with project documents to generate the volume of OTA needed to maintain operations.
1.4.4 Communication services Communications budget and resources insufficient for engaging communications experts and accessing communications software, materials and other products needed to deliver on programme of work	Negative impact on work of the unit and delivery of communications outputs. Parties and media may lose faith in the accuracy of the information provided. Communications team carries out activities without proper tools, reducing the quality of the products, leading to a lack of credibility with Parties	Low	Enhance communications planning with SMT for adequate resourcing and budgeting. Seek more support from UNEP headquarters on communications. Consider adding communications surcharge for all major projects and initiatives led by CBD Secretariat
1.4.5 IT tools and services 1.4.5. a. Increasing demand for IT tools and services but with finite resources. 1.4.5.b.IT security is an ongoing concern.	Multiple and growing demands for IT tools and service and inability to deliver on the IT requests in a timely fashion, affects delivery of meetings and has negative impact on reputation and increases workload and puts additional stress on staff. Website vulnerable to hackers and phishing, resulting in loss of credibility with Parties.	Medium	1. Establish an ICT governance framework and strategy in order to allow Senior Management to make decisions on IT priorities and endorse the direction and implementation of strategic IT programmes. 2. Review IT platform to enhance security features and to establish better security system.; Review proposals by security assessment.

Annex V

LIST OF POSTS AND OF REQUESTED POST UPGRADES

1. Office of the Executive Secretary (16 posts)

Upgrade of Deputy Executive Secretary to D-2

Communications unit (2 posts):
Head, Communications Unit (P-5)
Communications Officer (P-3)

RBB unit (3 posts):
Evaluation, RBB/IPMR (P-4)
Evaluation Programme Support (G-6), 2 posts

Conference Services Unit (6 posts):
Head (P-5)
Meeting Assistants (G-6), 5 posts

ABS Unit (3 posts)
DSI conversion from XB (P-4)
Programme Officer (P-3)
Capacity-building (P-3)

Biosafety Unit (2 posts):
Conversion for BCH post (P-3)
Programme Officer (P-2))

2. Implementation Support Division (5 posts):*

Programme Officer, Monitoring (P-4)
Programme Officer, Monitoring (P-3)
Programme Officer, Monitoring (P-2)
Programme Officer, Cooperation (P-3)
Programme Support (G-7)
(Plus, two posts to become fulltime by virtue of
additional posts elsewhere replacing shared posts)

3. SSSF Division (4 posts):

Biodiversity mainstreaming (P-4)
Biodiversity business (P-3)
Sustainable use (P-3)
Gender upgrade from P-2 to P-3
Upgrade IPLC/TK from P-2 to P-3
Programme Support (G-7)

4. AFC Division (4 posts)

Head (D-1)
Administration Officer (P-4)
Finance Officer (P-2)
Programme Assistant (G-6)

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