



Convention on Biological Diversity

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CONFERENCE OF THE PARTIES TO THE CONVENTION
ON BIOLOGICAL DIVERSITY SERVING AS THE
MEETING OF THE PARTIES TO THE CARTAGENA
PROTOCOL ON BIOSAFETY

Fourth meeting

Bonn, 12-16 May 2008

Item 9 of the provisional agenda*

REPORT OF THE EXECUTIVE SECRETARY ON THE ADMINISTRATION OF THE PROTOCOL AND ON BUDGETARY MATTERS

Note by the Executive Secretary

INTRODUCTION

Background

1. At its third meeting, the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety, (COP/MOP-3), adopted a programme budget for the distinct costs of the Secretariat services and the biosafety work programme of the Cartagena Protocol for the biennium 2007-2008. The Executive Secretary was requested in paragraph 12 of decision BS-III/7, to report to the Meeting of the Parties at its fourth meeting on income and budget performance, and to propose any adjustments that might be needed to the programme budget for the biennium 2007-2008.

2. The present document has been prepared by the Executive Secretary and highlights the financial and administrative performance of the Cartagena Protocol on Biosafety since the last meeting of the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol on Biosafety. It should be read in conjunction with the report of the Executive Secretary on the administration of the Convention for the biennium 2007-2008 (UNEP/CBD/COP/9/27) and the associated information document (UNEP/CBD/COP/9/INF/40).

* UNEP/CBD/BS/COP-MOP/4/1.

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3. As of 30 April 2008, 147 Parties had acceded to or ratified the Protocol. The list of these Parties is available on the website of the Secretariat. It is updated each time the Secretariat is notified by the Depository of a new instrument of ratification/accession that has been deposited with it.

4. The document is divided into three sections, as follows:

(a) Section I and II report, respectively, on income and budget performance in 2006 and in the biennium 2007-2008 for the three trust funds of the Protocol namely the General Trust Fund for the Core Programme Budget for the Biosafety Protocol (**BG Trust Fund**); the Special Voluntary Trust Fund for Additional Voluntary Contributions in support of Approved Activities of the Cartagena Protocol Biosafety (**BH Trust Fund**); and the Special Voluntary Trust Fund for Facilitating Participation of Parties in the Biosafety Protocol process (**BI Trust Fund**). Expenditure figures for the biennium 2007-2008 given here, refer only to the first year of the 2007-2008 biennium. This section also contains a report on commitments made for the year 2008 to the BG Trust Fund;

(b) Section III deals with personnel and administrative matters. It reports on the progress made in classifying, advertising and filling the posts approved under the Protocol;

5. The following tables can be found in document UNEP/CBD/COP/9/INF/40:

(a) Status of contributions to the BG, BH and BI Trust Funds as at 31 December 2007 (annexes X-XII);

(b) Status of expenditure of the BH and BI Trust Funds as at 31 December 2007 (annexes XIII-XIV);

(c) Scales of contributions for 2007-2008 as at 31 December 2007 (annex XV).

I. INCOME AND BUDGET PERFORMANCE IN 2006

A. *General Trust Fund for the Biosafety Protocol (Core budget or BG Trust Fund)*

1. *Income and budget performance in 2006*

(i) *Budget for 2006*

6. By its decision BS-I/10, the Conference of the Parties approved a core programme budget of \$1,878,700 for the year 2006 for the Cartagena Protocol on Biosafety. Of this amount, \$1,713,700 was to be payable by Parties in line with the scale set out in the annex of decision BS-I/10 and \$165,000 was to be funded from the host country contribution.

Source of funding	2006
Parties to Biosafety Protocol	\$ 1,713,700
Host country	\$ 165,000
Total	\$1,878,700

7. The actual pledges for 2006, taking into account the new Parties to the Protocol, amount to \$1,971,584. This has resulted in the receipt of contributions exceeding the actual approved budget. Adjustments will be made in 2008 to reflect the revised contributions and will be credited to Parties accordingly at the end of the biennium in keeping with the financial rules.

(ii) *Contributions for 2006*

8. As at 31 December 2006, contributions received for 2006 to the BG Trust Fund amounted to \$1,645,542 as follows:

Advance payments for 2006 received in 2005	\$1,041,527
Contributions for 2006 received in 2006	\$ 604,015
Total	\$1,645,542

8. The assessed contributions paid with respect to 2006 as at 31 December 2006 therefore amounted to 87.6 per cent of the total core budget approved for the year by the Conference of the Parties serving as the meeting of the Parties to the Protocol at its first meeting. This amount represents contributions paid in full or in part by 80 Parties (or 56 per cent) of the total number of Parties to the Protocol. It should be noted that as at 31 December 2006, late payments received during 2006 for 2005 and prior years amounted to US\$49,532.

(iii) Expenditures in 2006

9. Expenditures in 2006 (including programme support costs) as at 31 December 2006, totalled \$1,232,820. This amount is equivalent to approximately 66 per cent of the total amount approved for the BG Trust Fund activities in 2006 as per decision BS-I/10. The vacancy of some of the approved posts during part of 2006 accounts for a large part in the savings generated in 2006. Additionally, only one Liaison Group meeting, instead of the initially approved two meetings, was held during the year, thus generating savings during the period under review. Savings were also generated from the convening of the meeting of the Second Ad Hoc Open-ended Group of Legal and Technical Experts on Liability and Redress in one working group instead of the two working groups that was budgeted.

10. The 2006 expenditures of \$1,232,820 amounts to 75 per cent of the total contributions received for 2006 (\$1,645,542) as at 31 December 2006. The breakdown of expenditures recorded by object of expenditure for 2006 is shown in table 1 below.

Table 1. BG Trust Fund expenditures in 2006 by object of expenditure (US\$ thousands)

<i>Object of expenditure</i>	<i>Approved budget (US\$)</i>	<i>Commitments/ Expenditures</i>	<i>% Budget approved by COP/MOP</i>
Staff costs	541.1	325.9	60
Biosafety Bureau meetings	33.5	17.0	51
Travel on official business	60	7.2	12
Consultants/sub-contracts	25	24.7	99
Biosafety Clearing-House advisory meetings	40	38.3	96
Liaison Group meetings	80	23.0	29
Third meeting of the Conference of the Parties to the Convention on Biological Diversity serving as the meeting of the Parties to the Cartagena Protocol on Biosafety	425	403.9	95
Compliance Committee Meeting	60	34.7	58
Ad Hoc Open-ended Working group on Liability and Redress	370	213.3	58
Training/Fellowship	20	2.2	11
<i>Programme Support Costs (PSC)</i>	216.1	141.8	66
Total	1,878.7	1,232.8	66

B. Special Voluntary Trust Fund for additional voluntary contributions in support of approved activities of the Cartagena Protocol on Biosafety (BH Trust Fund)

11. A total of \$282,500 was approved under the BH Trust Fund by the first meeting of the Conference of the Parties for 2006. As at 31 December 2006, the Secretariat had received pledges for additional approved activities totalling \$74,395 in 2006. Collections of \$105,911 were recorded in 2006 as contributions for pledges made in 2005.

12. A total of \$195,135 was spent or committed in 2006 for additional approved activities, including:

<i>Activity</i>	<i>Expenditure (US\$)</i>	<i>Number of funded participants</i>
COP-MOP 3	80,314	N/A
SCBD staff servicing meetings	110,256	N/A
BCH Servers	4,566	N/A

C. Special Voluntary Trust Fund for facilitating participation of Parties in the Biosafety Protocol Process (BI Trust Fund)

13. A total of \$1,672,400 was approved under the BI Trust Fund by the first meeting of the Conference of the Parties for 2006. As at 31 December 2006, the Secretariat has received pledges totalling \$608,460 in 2006 (36% of the amount approved for 2006), of which contributions of \$238,346 had been paid.

14. Expenditures to cover participation costs of some 85 participants from Parties eligible for financial support to the following meetings convened in 2006 amounted to \$299,254 (excluding programme support costs):

<i>Meeting</i>	<i>Expenditure (US\$)</i>	<i>Number of funded participants</i>
2 nd Working Group on Liability and Redress	\$112,542	30
COP MOP 3	\$188285	55

II. INCOME AND BUDGET PERFORMANCE IN 2007-2008

A. General Trust Fund for the Biosafety Protocol (Core budget or BG Trust Fund)

1. Income and budget performance in 2007

(i) Budget for 2007

15. In decision BS-III/7, the Conference of the Parties approved a core programme budget of \$2,615,000 for the year 2007 for the Cartagena Protocol on Biosafety. Of this amount, \$2,246,700 was to be payable by Parties in line with the scale set out in the annex of decision BS-III/7, \$168,300 was to be funded from the host country contribution and \$200,000 withdrawn from the surplus generated in previous years.

<i>Source of funding</i>	<i>2007</i>
Parties to Biosafety Protocol	\$ 2,246,700
Host country	\$ 168,300
Surplus from previous years	\$ 200,000
Total	\$2,615,000

(ii). Contributions for 2007

16. As at 31 December 2007, contributions received for 2007 to the BG Trust Fund amounted to \$2,280,672 as follows:

Advance payments for 2007 received in 2006	\$ 822,886
Contributions for 2007 received in 2007	\$1,289,486
Contribution from the Host Government	\$ 168,300
Total	\$2,280,672

Therefore, the assessed contributions paid with respect to 2007 as at 31 December 2007, amounted to 87 per cent of the total core budget approved for the year by the Conference of the Parties serving as the meeting of the Parties to the Protocol at its first meeting. This amount represents contributions paid in full or in part by 83 Parties (or 58 per cent of the total number of 142 Parties to the Protocol as at 31 December 2007).

(iii) Expenditures in 2007

17. Expenditures in 2007 (including programme support costs) as at 31 December 2007, totalled \$1,761,462. This amount is equivalent to approximately 67 per cent of the total amount approved for the BG Trust Fund activities in 2007 as per decision BS-III/7. The under-expenditure is mainly due to the vacancy of the posts for Legal Affairs and Associate Public Information officers until October 2007 as well as the savings generated from the third and fourth meetings of the Ad Hoc Open-ended Group of Legal and Technical Experts on Liability due to the reduction of the number of working groups from two to one.

18. The 2007 expenditures of \$1,761,462 amounts to 77 per cent of the total contributions received for 2007 (\$2,280,672) for the year as at 31 December 2007. It amounts to approximately 65 per cent of the total actual income available in 2007 (\$2,713,755) (i.e., contributions received for 2007 as well as for future years).

19. The breakdown of expenditures recorded by object of expenditure for 2007 is shown in table 2 below.

Table 2. BG Trust Fund expenditures in 2007 by object of expenditure (US\$ thousands)

<i>Object of expenditure</i>	<i>Approved budget (US\$)</i>	<i>Commitments/ Expenditure</i>	<i>% Budget approved by COP/MOP</i>
Staff costs	939.6	859.7	91
Biosafety Bureau meetings	50.0	00.0	0
Travel on official business	50.0	34.3	69
Consultants/sub-contracts	25.0	18.4	74
Biosafety Clearing-House advisory meetings	40.0	28.2	71
Compliance Committee Meeting	95.0	72.5	76
Ad Hoc Open-ended Working Group on Liability and Redress (2 meetings)	800.0	368.3	46
Translation of Biosafety Clearing-House Website	20.0	0.0	0
Training/Fellowship	20.0	2.4	12
Temporary assistance/Overtime	10.0	8.7	87

<i>Object of expenditure</i>	<i>Approved budget (US\$)</i>	<i>Commitments/ Expenditure</i>	<i>% Budget approved by COP/MOP</i>
General Operating expenses	192.8	149.3	77
<i>Programme Support Costs (PSC)</i>	296.1	202.6	68
<i>Sub-total</i>	2,573.4	1,761.2	68
<i>Working Capital Reserve (5%)</i>	41.5	41.5	
<i>Total</i>	2,615	1,802.7	68

Staff costs

20. Staff costs include salaries and other staff benefits. Given that these costs are based on standard costs used by the United Nations, actual expenditures vary from one duty station to the other depending on fluctuations in post adjustment and other factors such as the number of dependents, education grant, and repatriation costs. As at 31 December 2007, all the approved Professional and General Service posts funded from the core budget (BG Trust Fund) were filled.

21. Information on the status of staffing in the Secretariat is reported on a quarterly basis through the Quarterly Report that is posted on the Secretariat's website, and a detailed breakdown of the status can be found in section II of this document.

Travel on official business

22. The Secretariat staff represents the Protocol at various meetings and events, and travel of staff members to events hosted by other organizations is one of the important ways of achieving synergies and integrated work programmes. A travel policy for the SCBD staff was introduced in 2006 to streamline staff travel and ensure cost-effectiveness when using the SCBD resources. This has resulted in some savings over the travel costs in 2007.

Conference-servicing costs

23. Conference-servicing costs in 2007 were less than originally projected as a consequence of the reduction of the number of working days and by convening the Liaison Group meeting (held in Lusaka) back-to-back with the Fourth meeting of the Liaison Group on Capacity-building for Biosafety. Travel costs of a number of participants were borne by voluntary funds. Both the third and fourth meetings of the Ad Hoc Open-ended Working Group on Liability and Redress were held solely in plenary session instead of the two working groups initially planned, resulting in savings in interpretation costs. Savings were also realized in the Compliance Committee meeting, which was held in Kuala Lumpur instead of in Montreal, where the rate of daily subsistence allowance is higher.

Biosafety Clearing-House

24. In keeping with paragraph 13 of decision BS-III/2 and following the first phase of the revamping process of the Biosafety Clearing-House, the Secretariat undertook in January 2008 the translation of the BCH Central Portal into the remaining five United Nations languages. The ongoing process has already cost approximately US\$ 18,000 and is estimated to reach by the end of June 2008 a total cost of US\$ 23,000. The second phase of the revamping process is scheduled to be completed by October 2008 and its translation, planned for the end of 2008, is estimated to cost about US\$ 17,000. For the coming biennium 2009-2010, the expected budget for BCH translation is US\$ 20,000 per year.

General operating expenses

25. General operating expenses include funding for office equipment and supplies, utilities and insurance costs, printing costs, communication costs and the distribution of printed and other materials. These expenses are shared costs with the Convention on the basis of 85:15 ratio.

2. *Projected income and budget performance in 2008*(i) *Budget for 2008*

26. In its decision BS-III/7, the Conference of the Parties approved a core programme budget of \$2,108,100 for the year 2008 for the Cartagena Protocol on Biosafety. Of this amount, \$1,736,400 was to be payable by Parties in line with the scale set out in the annex of decision BS-III/7, \$ 200,000 was withdrawn from surplus generated in prior years and \$171,700 was to be funded from the host country contribution as follows:

Source of funding	2008
Parties to Protocol	\$1,736,400
Host country	\$171,700
Surplus from prior years	\$ 200,000
Total	\$2,108,100

(ii) *Contributions for 2008*

27. As at 28 February 2008, contributions received for 2008 to the BG Trust Fund amounted to \$653,972 as follows:

Advance payments for 2008 received in 2007	\$433,082
Contributions for 2008 received in 2008	\$220,890
Contribution from the Host Government	0
	\$653,972

A total of \$493 has been received as advance payments for the biennium 2009-2010.

(iii) *Commitments in 2008*

28. A total amount of \$2,108,100 has been obligated as commitments for the year 2008. This amount represents 100 per cent of the funds approved by the Conference of the Parties for the year 2008 (see table 3 below). A total of \$171,700 will be funded from the contribution of the host Government, and the balance (\$1,736,400) will be funded from assessed contributions to the BG Trust Fund. As of 31 December 2007, \$433,082 in assessed contributions had been paid in advance for 2008.

Table 3. BG Trust Fund commitments in 2008 by object of expenditure

Object of expenditure	Approved budget (US\$)	Commitments	Percentage of approved budget
Staff costs (including temporary assistance/overtime and training)	997,800	997,800	100
Consultants/sub-contracts	25,000	25,000	100
Travel on official business	50,000	50,000	100
Conference-servicing costs	600,000	600,000	100
General operating expenses	192,800	192,800	100
Programme support costs	242,500	242,500	100

Total	2,108,100	2,108,100	100
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Commitments have been made in 2008 based on approvals by the Conference of the Parties serving as the meeting of the Parties to the Protocol at its third meeting.

B. Special Voluntary Trust Fund for additional voluntary contributions in support of approved activities of the Cartagena Protocol on Biosafety (BH Trust Fund)

29. Contributions to the BH Trust Fund are earmarked for specific activities in 2007 and 2008. A total of \$243,000 was approved under the BH Trust Fund by the third meeting of the Conference of the Parties for 2007 and \$706,300 for 2008. As at 31 December 2007, the Secretariat had received pledges for additional approved activities totalling \$484,751 in 2007, (or 199 per cent of the amount approved in the budget), of which \$412,272 has been paid. (See annex XI of document UNEP/CBD/COP/9/INF/40 for details.)

30. A total of \$195,514 was spent or committed in 2007 for additional approved activities, including:

<i>Activity</i>	<i>Expenditure (US\$)</i>	<i>Number of funded participants</i>
Regional capacity-building workshops on risk assessment-Africa	35,760	31
Regional capacity-building workshops on risk assessment-CEE	29,615	12
Regional capacity-building workshops on risk assessment-LAC	55,367	18
Biosafety Academic Institution meeting	22,223	10
BCH Servers	12,214	N/A
Servicing SCBD meetings (travel costs)	40,335	N/A

31. The first three in a series of regional workshops on capacity-building and exchange of experience on risk assessment and risk management of living modified organisms as requested in paragraph 2 of decision BS-II/9 and in paragraph 10 of decision BS-III/11 for the Africa, Central and Eastern Europe and Latin America and the Caribbean regions, took place in Addis Ababa, Chisinau, and Bridgetown, respectively. The main outputs of the workshops included a revised version of the common format for the summary of risk assessments and recommendations for collaborating at the regional, subregional and national levels on risk-assessment and risk-management issues. In addition, in April 2008, the Secretariat organized a fourth workshop, in Kuala Lumpur for the Asia subregion, and funding is being sought for a similar workshop for the Pacific.

C. Special Voluntary Trust Fund for facilitating participation of Parties in the Biosafety Protocol Process (BI Trust Fund)

32. Contributions to the BI Trust Fund are earmarked for specific meetings in 2007 and 2008. A total of \$1,017,000 was approved under the BI Trust Fund by the third meeting of the Conference of the Parties for each year of the biennium. As at 31 December 2007, the Secretariat has received pledges totalling \$316,446 in 2007 (31 per cent of the amount approved for 2007), all of which has been paid. An additional \$219,832 was collected in 2007 for pledges from prior years. (see annex XII of document UNEP/CBD/COP/9/INF/40 for details.)

33. Expenditures to cover participation costs of some 132 participants from Parties eligible for financial support to the following meetings convened in 2007 amounted to \$503,951 (excluding programme support costs):

<i>Meeting</i>	<i>Expenditure (US\$)</i>	<i>Number of funded participants</i>
3 rd Working Group on Liability and Redress	\$239,731	68
4 th Working Group Liability and Redress	\$264,220	64

As of 31 December 2007, pledges of \$52,343 to the BI Trust Fund remain unpaid.

III. PERSONNEL

Established posts

34. At its third meeting, the Conference of the Parties serving as the meeting of the Parties to the Protocol approved six posts under the core budget (BG Trust Fund) for the biennium 2007-2008 in its decision BS-III/7 (four Professional posts and two General Service posts). The status of recruitment of these posts is reflected in table 4 below. As at 31 December 2007, all the posts (4 Professional and 2 General Service posts) are now filled.

Redeployment of staff

35. During 2008, the capacity of the Secretariat was enhanced by the redeployment of a P-4 post to act as the Secretary of Governing Bodies of the Convention and its Biosafety Protocol and, as a result, 15 per cent of the staff time is being allocated to the meetings of the Protocol

Table 4. Status of staffing under the core budget (BG Trust Fund) (as at 31 December 2005)

<i>Status of posts</i>	<i>Professional posts</i>	<i>General Service posts</i>
Total number of posts approved by the Conference of the Parties	4	2
Regularized	4	2
Recruitment in progress	0	0

Capacity-building programmes

36. The Secretariat further developed the project concept on "Capacity-Building for Implementing the Requirements for Identification of Living Modified Organisms in the Context of Paragraph 2 of Article 18 of the Cartagena Protocol on Biosafety". Funding for the project is still being sought from potential donors. The project will include: development of training modules; organization of five regional "training of trainers" workshops; and development of knowledge management system for LMO identification/ documentation.

Internship programme

37. The Secretariat's internship programme is an ongoing programme that gives students an opportunity to spend a minimum of three and a maximum of sixth months at the Secretariat, in order to gain knowledge and research experience on issues relevant to their studies as well as to the work of the Protocol. It is a no-fee programme sponsored by the intern or a sponsoring organization. It provides the students with important practical experience, which compliments their studies and also benefits the Secretariat as an outreach programme in that these students take the knowledge and experience they have gained back to their institutions and countries.

38. During 2006-2007, the Biosafety Unit accommodated one student from the University of Yale (United States) in the internship programme.

Staff development

39. The Secretariat has further strengthened the staff development activities in 2007 and a two-day training workshop on time management and conflict resolution, was organized in November 2007. Also,

the Secretariat staff convened a retreat under the theme “The Secretariat I want and the CBD we want” to create team unity and trigger a bigger commitment from staff to the Secretariat’s objectives and activities. Activities are in place to facilitate the individual development of staff members and enable them to achieve their potential.
