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

Seventh meeting

Pyeongchang, Republic of Korea, 29 September – 3 October 2014

Item 8 of the provisional agenda*

**REPORT OF THE MANAGEMENT CONSULTANTS ON THE
FUNCTIONAL REVIEW OF THE SECRETARIAT**

1. The Conference of the Parties (COP), in paragraph 25 of its decision XI/31, requested the Executive Secretary to undertake an in-depth functional review of the Secretariat, in consultation with the Executive Director of the United Nations Environment Programme (UNEP), with a view to updating its structure and the grading of posts to the Strategic Plan for Biodiversity 2011-2020's focus on implementation by Parties and report to the Conference of the Parties at its twelfth meeting. In paragraph 29 of decision XI/31, the Parties invited the Executive Secretary to bear in mind the need for periodic review of classification of staff positions, subject to the United Nations Staff Rules and Regulations and within the limits of available staffing positions including upgrading and downgrading, taking into account the functional review in paragraph 25 giving priority in undertaking the review to the post of national reporting and doing so in a timely manner.

2. The Secretariat, in response to the decision, contracted a group of management consultants to conduct the exercise. The Final Report of the consultants on the Functional Review of the Secretariat is being made available to the Conference of the Parties serving as the meeting of the Parties to the Cartagena Protocol as an information document.

* UNEP/CBD/BS/COP-MOP/7/1.

Functional Review of the Secretariat of the Convention on Biological Diversity

Final Report - Phase One



September 2, 2014

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Acronyms

| | |
|----------------|---|
| CONABIO | Comisión Nacional para el conocimiento y uso de la biodiversidad |
| COP | Conference of Parties |
| HoU | Head of Unit |
| IT | Information Technology |
| IUCN | International Union for the Conservation of Nature |
| KM | Knowledge Management |
| MIS | Management Information Systems |
| NBSAP | National Biodiversity Strategies and Action Plans |
| SBSTTA | Subsidiary Body on Scientific, Technical and Technological Advice |
| SCBD | Secretariat of the Convention of the Biological Convention |
| TOR | Terms of Reference |
| UMG | Universalia Management Group |
| UN | United Nations |
| UNCCD | United Nations Convention to Combat Desertification |
| UNEP | United Nations Environment Programme |
| UNFCC | United Nations Framework Convention on Climate Change |
| UNON | United Nations Office in Nairobi |

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1 Introduction

1.1 Origins and Purpose of the Functional Review

The Functional Review of the Secretariat was launched as a result of a decision of the Conference of Parties COP/XI/31 Paragraph 25 which requested the Executive Secretary to undertake an in-depth functional review of the Secretariat with a view to updating the structure of the Secretariat and the grading of posts to the Strategic Plan's focus on implementation by Parties and report to the Parties at the twelfth meeting of the Conference of the Parties. As laid down in the Terms of Reference for this assignment developed by the Secretariat, the purpose of this review is to:

- Collate priority activities for the Secretariat based on the Strategic Plans of both the Convention on Biological Diversity and the Cartagena Protocol on Biosafety, their Programmes of Work, and the Decisions of the Parties
- Consider the linkages between the Convention and its Protocols from an administrative as well as substantive perspective
- Identify functions required for providing support to Parties in the implementation of their priorities as well as providing the core function of the Secretariat as envisaged in Article 24 of the Convention
- Keeping in view the needs envisaged for the near future, in particular the need for strategic partnerships that provide the needed synergistic support to Parties; and determine the skill sets and experience of staff required to perform these functions.
- Identify duplications or overlaps and potential synergies between different activities or programmes: either within or between core activities
- Assess achievements against planned results or best practice for activities since the last five meetings of the Parties, including relevant examples from other convention secretariats and organizations as appropriate
- Assess the financial and administrative processes undertaken to date and suggest additional changes, as need be, with a view to streamline and strengthen decision making and accountability with the aim of delivering high-quality support to Parties
- Assist the Convention and its Protocols in the preparation of an organizational structure based on the functional groupings and priorities and best practices
- Assess the financial sustainability of the costs and the appropriate allocation of the available resources to ensure the full and timely support that the Secretariat can provide to Parties in the implementation of both the Convention and its Protocols
- Recognize the fact that expectation from the secretariat has grown over the years in the scope and quantity of functions to be performed enabling the need to expand and manage partnerships to deliver the support required by Parties

The above specifications tend to imply a mix of a functional review of the status quo of the Secretariat, combined with a more forward-looking analysis of the possible roles for the Secretariat during the balance of the Decade.

This balance to initial research undertaken during the inception stages of this assignment where it became evident there was a general anticipation that the Functional Review would go beyond a review of the status quo and a post-by-posts analysis. It became apparent that the Secretariat required a more dynamic and strategic exercise designed to position the Secretariat to meet new challenges inherent in the ratification of the Strategic Plan on Biodiversity and the accompanying Aichi Targets.

1.2 Organization of This Report

This is the Final Report for the Functional Review of the Secretariat of the Convention on Biological Diversity (Secretariat or SCBD) which was conducted by Universal Management Group (Universal) of Montreal, Canada.

This Final Report is organized as follows:

- Section 1 enounced the origins and the purpose of the Functional Review,
- Section 2 presents the methodology used for the Functional Review, including the overall approach and specific analytical instruments,
- Section 3 provides a thematic analysis of the challenges and opportunities facing the Secretariat. It amplifies on a number of elements of the Terms of Reference for this assignment,
- Section 4 discusses conclusions and recommendations,
- Section 5 presents the suggested comparative advantages of the Secretariat,
- Section 6 proposes a Medium Term Operational Plan for the Secretariat which articulates of a vision for the Secretariat in relation to its core roles in support of the Convention and Member States,
- Section 7 presents a suggested Basic Organizational Architecture,
- Section 8 suggests internal renewal, including new internal planning tools, improving internal dialogue and communications and strengthening managerial capacity,
- Section 9 provides suggestions for implementing these proposals.

2 Methodology

2.1 Overall Approach

Universalialia's approach to the Functional Review has been based on an amalgam of cutting-edge program evaluation and organizational development methodologies. An underlying philosophy has been a recognition that external reviews of this nature frequently are limited in their ability to fully appreciate the unique organizational circumstances and cultures that exist in every separate organization.

This led Universalialia to adopt approaches to the Functional Review that were highly participative in nature. Combining self-assessment techniques, along with participative analysis resulted in a review where "buy-in" and participation in the process became central. In many respects, Universalialia's role became less of an external reviewer and more of a performance coach.

In addressing the future of the Secretariat in terms of its functions and design, from the very outset Universalialia stressed the importance of "form" (organizational structure) follows "function" (the unique comparative advantages of the Secretariat and its roles and responsibilities). This led to a review where the natural tendency to attempt to transact issues such as organizational design was to some degree reduced in importance, with special emphasis being given to efforts to better analyze the roles and responsibilities, and strengths and challenges facing the Secretariat. Universalialia's general approach also was based on the recognition that "people tend to support and implement that which they themselves have created". In lieu of an external team diagnosing and prescribing, a cooperative approach was adopted wherein staff and managers alike were given a series of opportunities to work together to identify the strengths and challenges of the Secretariat.

This approach very much coincides with the general directions for a refreshed Secretariat that the new Executive Secretary laid out in 2012. These ten approaches have come to be the cornerstones for this Functional Review. Therefore, it is important that they be introduced at this time.

"The following are the fronts and approaches I believe we could do better:

- 1) A first one is on how we organize the work of the COPs and their preparatory work. I would hope you will agree with me we don't need to prepare, negotiate and adopt 40 new decisions at every COP. I believe we can focus our negotiations into a much streamlined number of decisions on critical and new issues. In doing so we could free time and resources to discuss issues of implementation, sharing experiences on lessons learned, discussing bottlenecks, opportunities and mechanisms.*
- 2) A second approach is to promote better integration of our work programs and cross cutting initiatives so we fully explore the synergies, both within the CBD and with other conventions, thus reducing the complexity of the CBD portfolio and facilitating implementation and reducing the burden to Parties.*
- 3) A third front is the promotion of mainstreaming of biodiversity into the development agenda, promoting biodiversity not as a problem to be solved but rather as an opportunity to help achieve broader society goals on the social and economic fronts. NBSAPs should be key instruments to promote this.*
- 4) A fourth front is on resource mobilization where I think we have to be more strategic going beyond needs identification to prioritize approaches and mechanisms, emphasizing the leveraging of resources from existing sources through the promotion of mainstreaming, incorporation of sustainability criteria in government procurements, review of economic instruments, further engagement of the business sector, etc.*

5) A fifth approach is to put in place early on a continuous monitoring system for the Aichi Targets so that we don't discover too late we are not on track. This monitoring would need enhanced commitment and participation of all Parties to collect and provide reliable and standardized information to an online system. I hope Parties would agree with a more streamlined and more frequent reporting system than what we currently have.

6) A sixth front is to enhance the support to Parties, in particular to the least developed and the small island developing states, to increase their capacity to implement the CBD goals, programs and targets. My feeling is that this could best be achieved through more structured and continuous processes at regional and sub-regional level – just having occasional workshops with little follow-up is not sufficient.

7) A seventh front is to promote more effective scientific, technical and technological cooperation among Parties, as committed by Parties in Article 18 and in the work program on technology transfer, but which has seen little results so far. We could better explore mechanisms such as the CHM and others to promote more effective exchange of experiences among Parties and more effective cooperation, both North-South and South-South. [see for example the World Bank e-Institute for Development].

8) An eighth approach is to promote much stronger recognition and support to community-based approaches for biodiversity, thus increasing on one side the protected areas effort and on the other side promoting human well-being, food security and poverty alleviation.

9) A ninth front is to expand the engagement of the business sector by enhancing the enabling environment through government policies and procurement rules and by outreach and guidance to small and medium sized enterprises.

10) A tenth and final approach, to limit my proposals to a manageable number, is to push for an early ratification of the Nagoya Protocol and establishment or revision of national legislations and governance systems for ABS as a strategy to promote better use of genetic resources with equity, i.e. with benefit sharing."

2.2 Specific Instruments

The following constitutes description of the specific tools Universalia has used to implement this Functional Review. Copies of various instruments are consolidated into a separate supporting Volume of the Final Report.

Outcome Mapping-based managerial workshops are designed to identify themes, clarify directions and map partnership relationships so as to better conceptualize the roles and responsibilities of the Secretariat in support of the Convention, protocols and the 20 Aichi Targets. Outcome mapping is an analytical technique originally developed for use in program evaluation. It has been subsequently adapted for use in reviews such as this and other approaches to assessing organizational capacity. It is based on the realization that organizations in themselves do not have a wide range of manoeuvre to effect the attainment of their planned results or goals. Of necessity, organizations work with others to achieve their ends; they face collective risks and share collective opportunities.

For this Functional Review, these techniques were adapted into a series of workshops first with individual unit heads where issues about partnership, collaboration and mutuality of responsibility were explored. Second, heads of units were asked to complete a self-assessment questionnaire about their own unit and then about the Secretariat as a whole. Third, they were utilized again in a two-day intensive all managers workshop which identified strengths and challenges for the Secretariat and also with whom the Secretariat would have to collaborate in order to achieve its objectives.

Gap Analysis-based staff workshops were conducted at the unit/sub-unit level with the purpose of helping them articulate how they see the strengths and weaknesses of their own unit. Early in the analytical phase of the assignment, individual workshops were mounted for each sub-unit and in some cases, smaller subdivisions of the Secretariat. For greater clarity, these workshops focused on how each unit/sub-unit works, with whom it works, the adequacy of the resources allocated to it to versus the nature of the demands placed on it. In terms of the forward-looking and problem solving nature of this assignment, these workshops engaged staff in the identification of “better ways of working”.

Institutional and Organizational Assessment-based review was undertaken of the operational functions of the Secretariat (its programme of work), how tasks are carried out, how resources are allocated, the nature of reporting and internal performance assessment (organizational performance and NOT individual performance). Universalis along with the Inter-American Development Bank has developed a comprehensive methodology, Institutional and Organizational Assessment, that is designed to assess the overall performance of an organization or institution. This methodology is based on the realization that organizational performance is a synthesis of factors.

As shown in Exhibit 2.1 below, performance is defined in terms of *effectiveness* (mission fulfillment), *efficiency*, ongoing *relevance* (the extent to which the organisation adapts to changing conditions and its environment), and *financial viability*. The IOA framework implies that the factors embedded in capacity, motivation and contextual environment drive performance. Our experience indicates that using the IOA promotes organisational learning, a key goal of any approach to organisational assessments. The robustness of this approach is evidenced by the extent to which the primary methodology has been applied worldwide and, in particular, in reviewing the performance of bilateral and multilateral organisations, international non-governmental organisations, as well as public agencies, ministries and departments.¹

¹ These have included: entire national governments, research centres in the Americas, Africa and Asia, elements of national, local and regional agencies, multilateral bodies, international trade and financial institutions, development agencies worldwide, voluntary organisations and community-based bodies. The IOA framework is also being used to support the development of networks of economic and agricultural research centres in Africa and Asia. With these and others, we have tested, refined and improved the basic IOA framework.

Exhibit 2.1 IOA Model



The IOA framework was used to design interview questionnaires, elements of two electronic surveys and in the analytical framework used to assess documentation.

The **Focal Point Survey** was circulated to approximately 200 Focal Points of Parties. This survey exemplifies the commitment to a participative approach based on outcome mapping techniques. Because Focal Points are the most accessible

representatives of Parties to the Convention, their participation was considered essential. The survey asked Focal Points to rate various characteristics of the performance of the Secretariat along with the challenges that it faces. Focal Points were also asked what they considered to be the strengths of the Secretariat and in which areas should the Secretariat concentrate its attentions. For greater clarity, this external survey did not address issues of organizational structure, beyond inquiry related to views about the adequacy of the current structure.

Employee Survey was mounted. In addition to problem solving and gap analysis workshops, a confidential internal survey was conducted. The internal survey very much reflects the commitment of the present Executive Secretary to establish a more participative and collaborative approach to the working of the Secretariat as a whole. While individual staff workshops provided an opportunity for group discussion, it became evident that additional value would be secured by mounting a confidential internal survey. The survey asked respondents to address the performance of their individual unit along with that of the Secretariat as a whole. Respondents were also asked to identify what they considered to be areas for prioritization, in essence identifying the comparative advantages of the Secretariat. In addition to this formal electronic survey, a second informal confidential canvass of employees was undertaken toward the end of the data collection phase. Staff were asked to identify priorities or areas of comparative advantage from a list initially developed as a result of the outcome mapping managerial workshops described above.

External stakeholder interviews were undertaken. Of approximately 40 key external partners and stakeholders with some 33 were conducted. These interviews focused on the future of the Secretariat, its comparative advantages and the challenges facing the Secretariat. Purposefully, they were not retrospective in nature.

2.3 Pace of the Functional Review

This section of the Final Report lays out the process of the assignment. Originally, the assignment was to have been completed in June, 2014. However, as part of the redirection of the Functional Review to a more strategic level, it was agreed that the assignment would be elongated for an additional three months. It was agreed that the Final Report would need to be in circulation-ready format so as to be presented, along with the Secretariat's management response at the upcoming COP which is scheduled for October, 2014.

2.3.1 Steps in the Process

The Functional Review was launched in late December, 2013, with a contract being awarded to Universal Management Group and the circulation to Universal of background documentation. A series of meetings began on Thursday, January 16, 2014, with an initial overview session. It was followed by two days of meetings with members of the Secretariat management team the next week, including a session with representatives of the staff association.

At the initial meeting on January 16, the Executive Secretary of the Secretariat expressed strong intent to focus the functional review assignment on issues related to how to strengthen the ability of the Secretariat to assist Member States and Parties generally in the implementation of the Convention and by extension, support the attainment of the Aichi Targets and other protocols. At that time, the Executive Secretary made it clear that the Secretariat as a whole required more than simply a re-structuring of its organogram. Rather, more existential concepts such as the nature of its work, the nature of its partnership relationships and the fundamental need to better understand in the context of the Decade on Biodiversity, notions such as: "implement", "capacity building" and, among others "knowledge sharing".

Throughout January and February 2014, the Universal team gathered and analysed primary background documentation. A workshop conducted on January 27 further explored directions for the functional review and began to lay out a more detailed timetable.

The two electronic surveys (one for employees and one for external stakeholders) were launched in early March, 2014. External stakeholder interviews were conducted in two waves throughout March and April; and later in June.

Desk top analysis occurred during February and March, 2014. Internal workshops at the unit level and in-depth interviews of senior managers were conducted in March and April 2014. A two-day management visioning workshop was conducted in late April, 2014.

An initial version of the Medium Term Results Framework was submitted to the management team on May 9, 2014. A management workshop to review it was held on June 12 and was accompanied by a second staff briefing. A short Progress Report was submitted to WIGRI in mid-June, 2014.

A draft of the Final Report was submitted on August 5, 2014, followed by a management workshop where Universal made a presentation of its major findings and recommendations.

The Revised Final Report was submitted on August 18, 2014 so as to ensure its timely circulation to key external stakeholders in advance the upcoming COP scheduled for October, 2014. A further staff briefing was held on August 22, 2014.

A wrap-up and lessons learned workshop will be conducted in early September 2014.

2.4 Electronic Surveys

Two electronic surveys were mounted as part of this exercise.

The first was directed toward every member of staff. It was designed to reach out to staff members to seek their views about the nature of the Secretariat, the adequacy of its work, the availability of resources, the quality of management and internal communications and the overall positioning of the Secretariat in relation to the Strategic Plan for Biodiversity and the Aichi Targets.

In parallel, Universalialia also recommended that the Functional Review actively seek out the opinions and suggestions of the Focal Points of the individual Parties, approximately 200 persons. For greater clarity, it should be noted that the external survey was circulated by means of a direct communication from the Executive Secretary (and not Universalialia) wherein he laid out the importance of the electronic survey as a crucial feedback mechanism and part of the Functional Review as a whole.

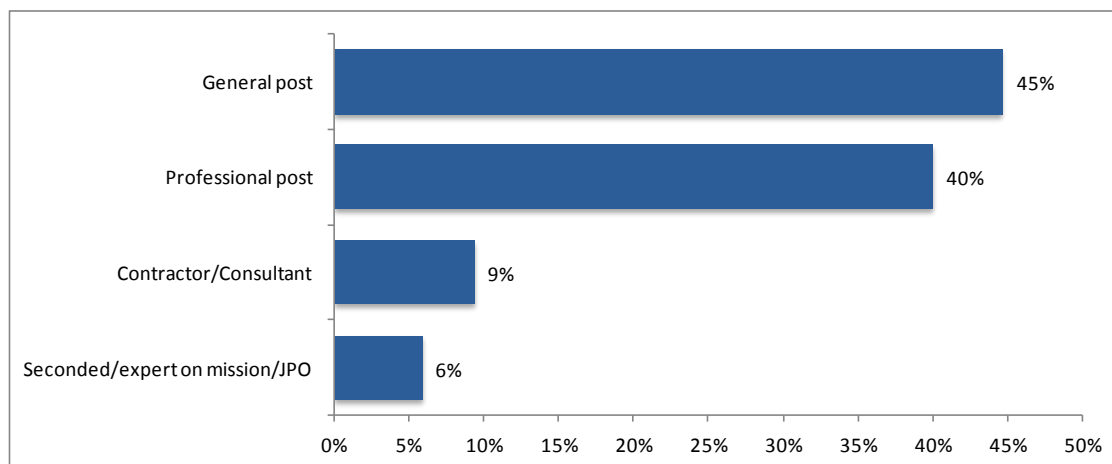
For greater clarity, data drawn from both surveys will be presented as specific findings. The material below simply introduces the surveys as a whole.

2.4.1 The Internal Survey – an Overview

This section of the Final Report presents the demography of the Internal Survey.

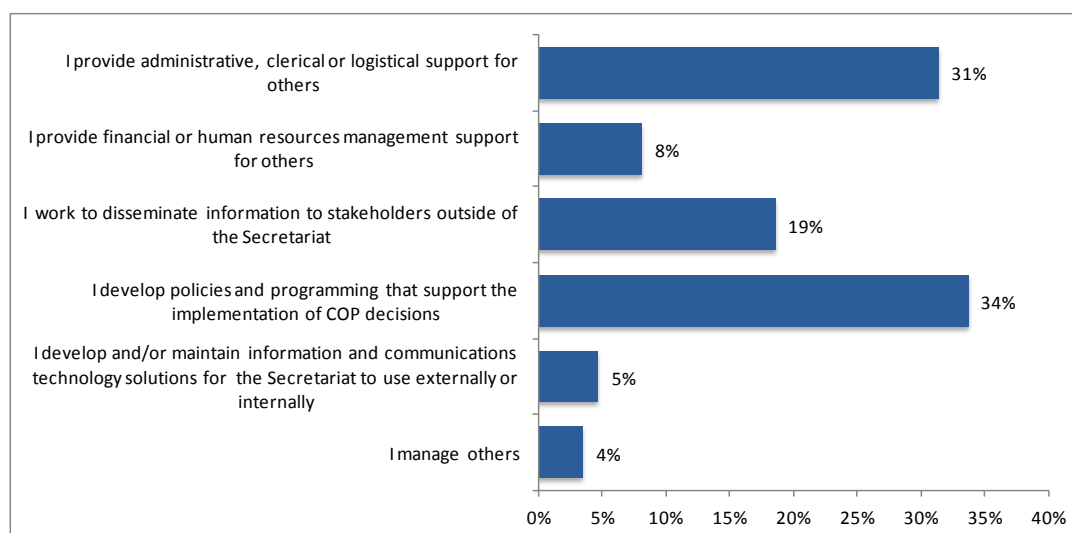
In total, there were 86 responses, a very high rate of reply even for an internal process. Some 53 (62%) came from females, and some 33 (38% came from males). The degree of interest in the renewal of the Secretariat which was expressed during the series of staff workshops appears to have been translated into an exceptionally high rate of response. Equally, the magnitude of written comments was unexpected. These comments show a high degree of optimism about the future, albeit somewhat tempered by reservations about future uncertainties

Exhibit 2.2 Nature of Positions



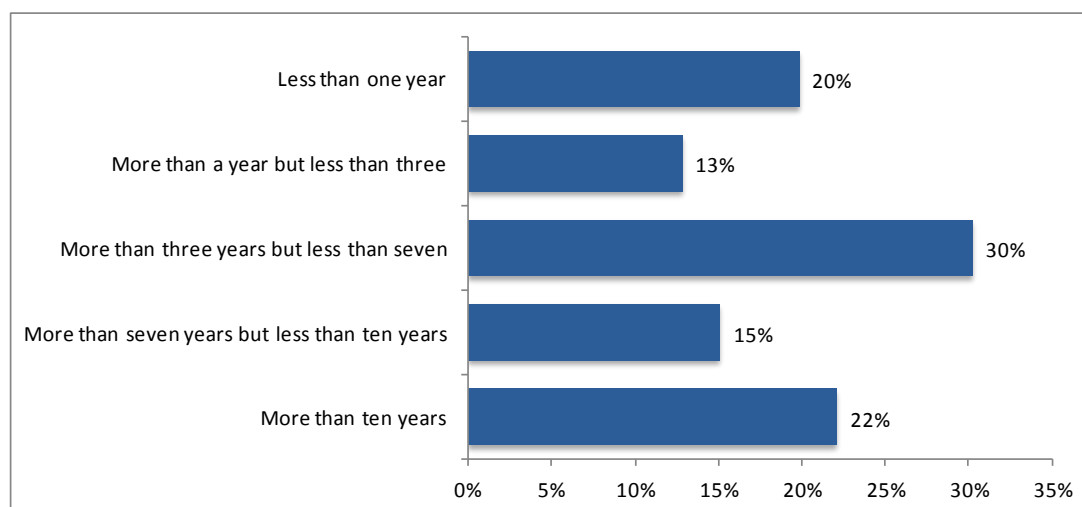
The following two tables show the basic nature of the posts occupied by the respondents and their type of work. This information, provided by self-identification, closely matches organizational data secured from Secretariat management.

Exhibit 2.3 Nature of Your Responsibilities

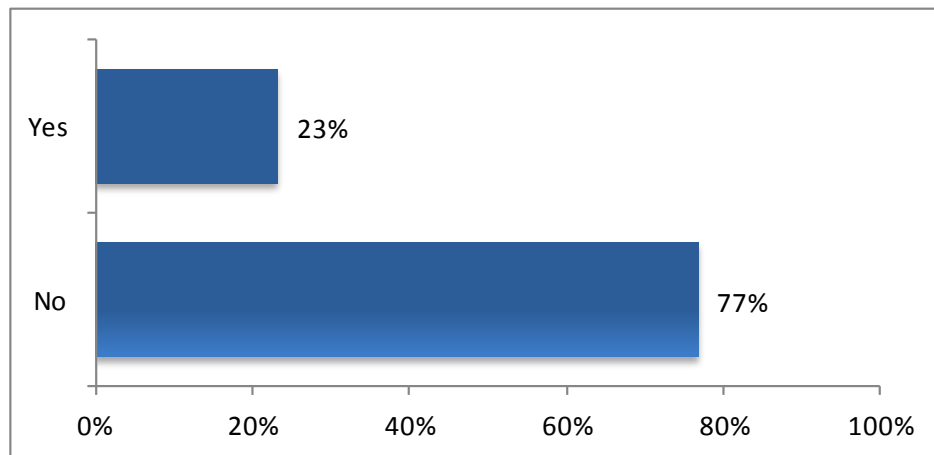


The second Exhibit presents information about the nature of the work done by staff. Somewhat over half of staff identify their work in terms of externalized functions (supporting COP decisions, dissemination of information). Some 39% conceptualise their work as largely supportive of others in nature. The next set of Exhibits addresses position duration and prior employment in order to begin to assess.

Exhibit 2.4 Duration of Employment



The first Exhibit shows that some 37% of all staff have worked at the Secretariat for over seven years, with some 22% more than 10 years. In addition, some 30% have worked there longer than three years but less than seven. Less than a third have worked at the Secretariat for under three years with the 20% reporting “under one year” likely to be contractors and other forms of short-term engagement. This implies that the workforce is more static than what some external observers have claimed (statements about “revolving doors”/lack of continuity). It also implies that a solid majority of the workforce have experienced the past several years and as such, have participated in the varying earlier attempts at renewal. These patterns also imply a workforce that has a strong degree of organizational memory and subject matter continuity.

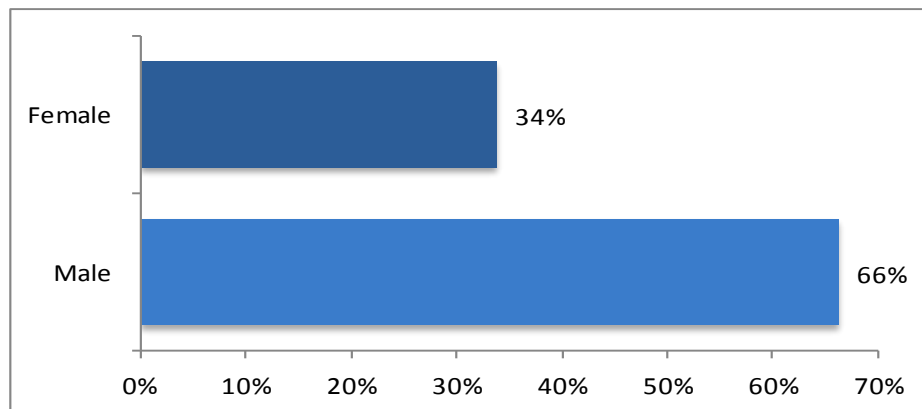
Exhibit 2.5 Prior Position at the Secretariat

The second Exhibit demonstrates that over $\frac{3}{4}$ of staff have only held their current post at the Secretariat. There are several implications arising from this information. Given the size of the group that has held only one job versus the number of employees who have served for more than seven years, it is evident that career mobility at the Secretariat is limited.

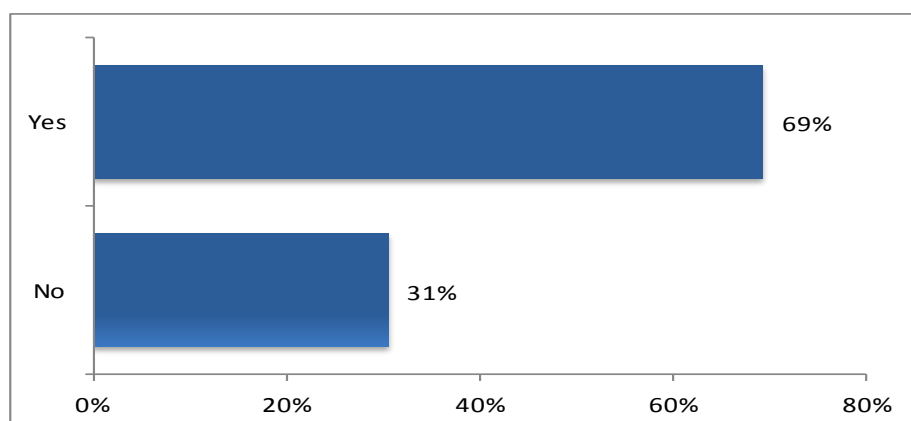
2.4.2 The Focal Point Survey – Overview

The External Survey of Focal Points received 160 responses, a very high rate of response which tends to indicate that Focal Points wish to be fully engaged in the Functional Review. This is an important factor to keep in mind when reviewing specific responses to qualitative questions – an apparent broadly-based willingness of over $\frac{2}{3}$ of Focal Points to participate. Methodologically therefore, we have a very high degree of confidence in the representativeness of their responses.

The gender distribution of Focal Point respondents was 34% female, and 66% male.

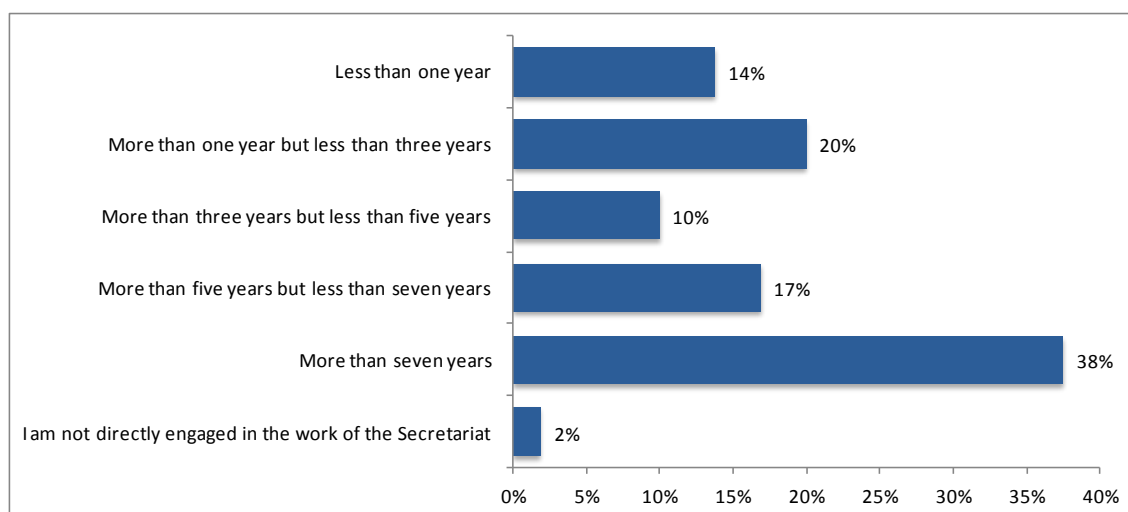
Exhibit 2.6 Gender of Focal Point Respondents

Some 70% have participated in the last COP or in other intergovernmental meetings over the past two years. Virtually all responded positively when asked whether they had what they perceived to be a continuous and on-going relationship with the Secretariat.

Exhibit 2.7 Participation in Conference of Parties and or Intergovernmental Meetings

Turning to the scope of the responsibilities of these Focal Points, some 70% also reported being responsible for liaison with respect to both the Cartagena and Nagoya Protocols as well as in addition to the Convention as a whole. This important consideration should not be overlooked. It demonstrates that these national Focal Points are, for the most part, the major porte-paroles for their respective national governments and can be assumed to play an important role in advising their governments about the breadth of biodiversity and bio-safety related issues. Therefore, it is reasonable to assume that their subsequent observations about the Secretariat reflect the broad direction of their national government's policy position.

A solid majority of Focal Points have held their responsibilities for more than five years. The following Exhibit shows the breakdown.

Exhibit 2.8 Duration Directly Engaged with the Secretariat

This implies that a solid number of Focal Points have sufficient expertise to be able to provide well-founded advice and opinions about the strengths of and challenges facing the Secretariat given that most have encountered it for more than five years. This also implies that the rate of turnover among Focal Points is relatively low.

3 Thematic Analysis

3.1 Orientation and Themes

The thematic analysis presented in this Functional Review is based on the typology that was initially set out in the Inception Report. The categories laid out therein were drawn from the logic of the set of issues set out in the TOR for this assignment. Additional categories were added during subsequent data collection to address types of issues that had not been addressed in the early preliminary data collection. The categories below are drawn from several sources, many have multiple data sources. Survey data, both internal and external, provided a solid evidenced-based foundation to which interview data with key stakeholders and documentary review was added.

It is again important to recall that the initial direction that Universalis set out which was ratified by SCBD management, redirected the assignment more towards a forward looking strategic needs assessment and less towards a retrospective approach to “fixing” yesterday’s problem.

These categories of analysis are:

- Expansion of Responsibilities
- The Implications of the Strategic Plan for Biodiversity 2011-2020 and the Aichi Targets
- Identifying Strengths and Setting Priorities
- Structural Adequacy
- Resource Realities
- Internal Planning and Management Considerations

The above categorization speaks to issues drawn from the Terms of Reference for this Functional Review. They focus on largely managerial issues. There is another story however, that became clear from data drawn from the Focal Point survey and from the interviews with key external stakeholders. Notwithstanding some of the managerial concerns that will be discussed below, there is a strong degree of support for the Secretariat as a whole, for the quality of its work and for the commitment of the staff and managers. The issues discussed below hamper the collective ability to achieve even more.

3.2 Expanding Area of Responsibilities

Finding 1: There is general agreement that over the past decade, that COP has effectively broadened the mandate of the Secretariat through a process of increasing the number of individual decisions which require Secretariat support.

Secretariat managers confirmed the general perception that there has been an overall increase in the workload of the Secretariat over the past five to six years. They pointed out that at several prior COPs, there was a pattern of the promulgation of increased number of decisions. Later in this Final Report, some of the causes for this increase will be explored in more detail. However, it is sufficient to point out for the present that the workload of the organization has increased not only quantitatively but qualitatively. This latter factor requires careful consideration.

Recent COP decisions have resulted in the Secretariat having to address issues that expand upon its traditional areas of responsibility. These increased responsibilities, in many respects, are the consequences of the adoption of the Strategic Plan on Biodiversity and the accompanying Aichi

Targets. A subsequent Finding will address this issue in more detail, however it is sufficient at this point to indicate that not only are more duties required, the skill set to respond to them also has been transformed, with the balance moving toward more coordinative, planning and liaison-related activities.

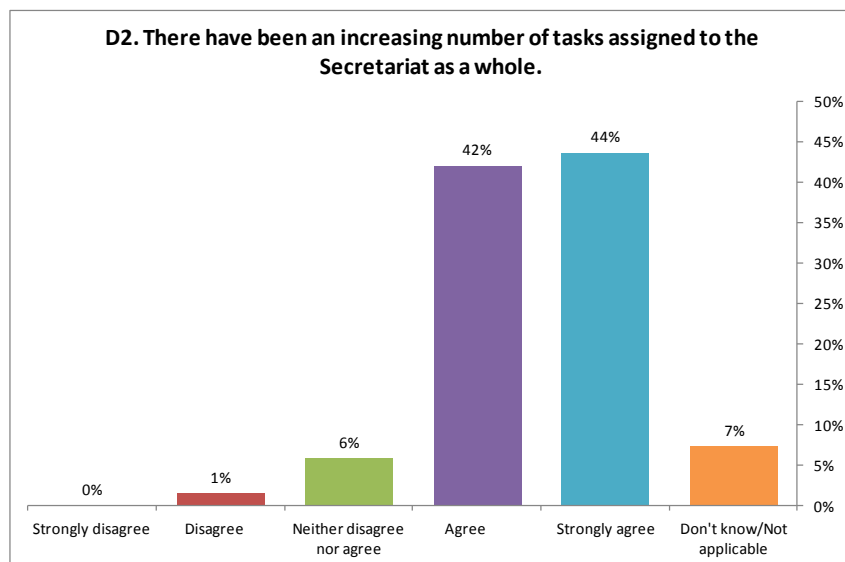
Moreover, the Secretariat faces constant internal capacity challenges, and the challenge of securing resources to meet ever more specific tasks frequently having not secured regular budget allocations and thus having to rely on ad hoc voluntary contributions. Senior stakeholders interviewed pointed out that it was not reasonable to expect the Secretariat to maintain or to be able to secure the breadth of scientific or technical expertise required to meet these ever more complex tasks. These senior stakeholders suggested that the Secretariat recognize the implications of increased complexity and not attempt to respond in either ad hoc or inadequate fashions.

Rather, what was suggested was the realization that the paramount role of the Secretariat in relation to increasing technical and scientific demands might be to recognize its unique role as a convening platform and also to revisit how the Secretariat addressed Information Technology and Knowledge Management systems so that systems could be adapted to better provide a platform for mutual sharing.

The Secretariat staff also recognize these issues.

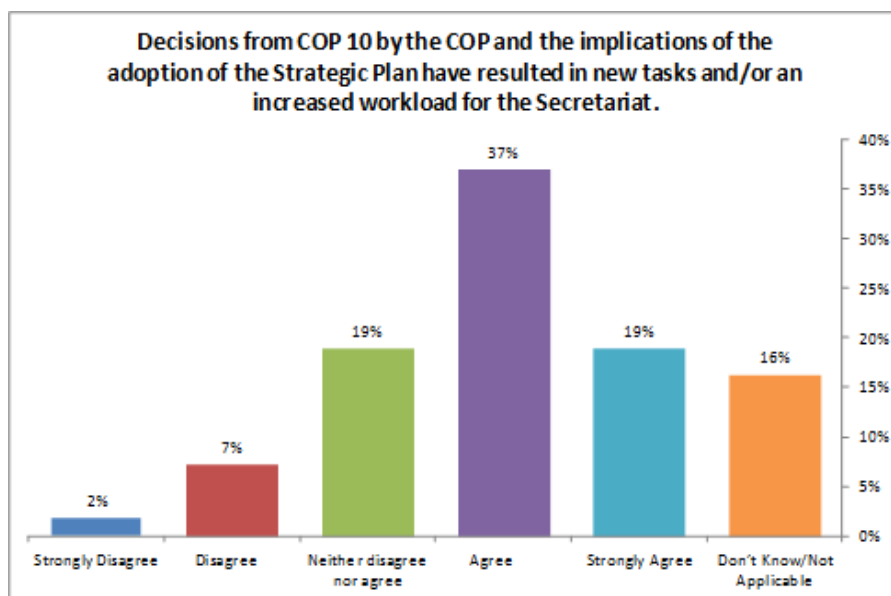
The Exhibit 3.1 shows the degree to which they generally perceive there to be an increased workload. This perception was amplified during the series of confidential unit workshops. Individual workshops and collective workshops with Secretariat managers confirmed this conclusion.

Exhibit 3.1 Work load of the Secretariat



Secretariat managers both individually and collectively confirm the views of their staff, pointing out the extent to which new types of work involve a re-balancing of the skill set and by extension, a re-orientation of the overall work patterns of the Secretariat itself.

The following Exhibit, taken from the Focal Point Survey, further triangulates this conclusion. This Exhibit clearly shows the extent to which Focal Points are of the view that the Convention itself is undergoing a transformation in direction, and thus the work of the Secretariat is similarly evolving in response to these directions.

Exhibit 3.2 New tasks and/or increased workload for the Secretariat

The implications for the Secretariat are immediately apparent. Although from one perspective they may seem to imply an increased workload and a fragmentation of effort, they can be equally seen as opportunities for the Secretariat to refresh itself and to be able to articulate its comparative advantage as the main coordinative arm of the Convention itself. These opportunities allow the Secretariat to move toward a coordinative, liaison and advocacy-oriented body. For example, the number of instances in the Strategic Plan and the Aichi Targets where reaching out beyond traditional partners is implicit are numerous. The Secretariat has already begun to respond to the changing nature of its workload by establishing a unit responsible for coordination and partnership.

However, to maximize the responsiveness and relevance of the Secretariat, it needs to begin to articulate its areas of programmatic strength and comparative advantage so as to inform COP, through this Functional Review, of the areas where it best can serve COP and the global community. Doing so very much responds to the first three specifications set out in the TOR for this assignment.

3.3 The Implications of the Strategic Plan for Biodiversity 2011-2020 and the Aichi Targets

Finding 2: The Strategic Plan and the Aichi Targets are seen as a significant paradigm shift in the way the overall Convention and accompanying protocols are conceptualized globally, opening new opportunities for the Secretariat to strengthen its role supporting their implementation.

This paradigm shift clearly has implications for the work of the Secretariat and as such, is probably the most important external factor presently impacting the Secretariat as a whole. The survey of Focal Points illustrates the extent to which there is a growing consensus that the Strategic Plan for Biodiversity and the Aichi Targets have constituted a watershed.

Equally, the Aichi Targets also mark a fundamental difference in how Parties conceptualize progress. By establishing measurable targets with specific timeframes and by articulating these targets in terms of differences in conditions, the entire Aichi process becomes much more

measurable, facilitating on-going decision-making by Parties and others. Such a much more measurable set of Targets also implies an enhanced ability to conduct monitoring and subsequently to report on progress. In this context, the progress is not just what was done, by what difference these activities have made.

There are obvious implications for the Secretariat with respect to the Aichi Targets and their more contemporary approach to articulating results. The Secretariat's role as the central convening and support element for COP implies that it would naturally have a more meaningful role to play in terms of progress reporting.

This reporting however, also goes beyond the Aichi Targets. The National Biodiversity Strategies and Action Plans (NBSAP) process is in effect, the national level building block on which all subsequent reporting with respect to the Convention, the Strategic Plan and the Aichi Targets is based. Again, a more results-oriented approach to these crucial national plans combined with the implications of the upcoming ratification of the Nagoya Protocol have direct implications for the Secretariat. They will require the Secretariat to further strengthen its capacity in relation to monitoring, and to do so in the most cost effective and resource efficient way possible.

The Exhibits below show the views of Focal Points with respect to several dimensions related to the implications of the Strategic Plan and the Aichi Targets. Focal Points clearly see that there will be implications for how COP itself functions and that COP itself will need to be much more disciplined if it is to be effective in its aim of fostering the implementation of the Targets. Key areas such as focusing more attention on hands-on implementation-related issues that are germane to Member States in their quest to develop NBSAPs are evident in these remarks, especially shown in the Exhibit which describes the perception that much more needs to be done to promote capacity building. The corollary however to these observations is that less emphasis will need to be given to the historically predominate normative actions of COP.

These views were corroborated by the senior stakeholders interviewed for this Functional Review. These senior stakeholders pointed out that COP itself faces a challenge in relation to setting its own priorities if its strategic aim related to the achievement of the Aichi Targets is to be realized. In this light, the Secretariat as the supporting arm for COP, not only in the sense of facilities management but also in the much more important sense of providing policy advice to COP, will necessarily face both new opportunities and also new challenges.

Several Exhibits below illustrate the degree to which Focal Points have come to the recognition that the attainment of the Aichi Targets will require building new relationships and new partnerships with new sets of partners so as to address the cross-cutting and cross-government nature of many of the Aichi Targets. Senior stakeholders confirmed these views and stressed that one of the key challenges facing successful implementation lies in the willingness to go beyond traditional networks of partners to reach out especially in governments from environmental agencies to those involved in all aspects of economic planning, land use in general and to some degree, social development. Focal Points and senior stakeholders also were in agreement that much more needs to be done to promote new partnerships with other sectors of society, primarily for the profit private sector, but not necessarily only the private sector.

Given several Aichi Targets that speak directly to catalyzing public opinion generally, it is important therefore to recognize the need to reach out to groupings within civil society who have not traditionally been involved with what has seen to be environmentally-related matters. The Secretariat, as the major supporting arm for COP, has a vital new opportunity. This new opportunity involves reaching out beyond traditional environmental groups to raise awareness within civil society generally but especially among new sets of public institutions. First, for the centrality of biodiversity to be generally embraced, it will be necessary for the various elements of the United Nations system to each assume their own respective responsibilities. Nearly every UN body has

some direct connection to the promotion of biodiversity and thus, new partnerships need to be forged. For example, UNESCO, in its upstream work with respect to the identification of emerging educational issues and curriculum development, clearly has a role to play. The ITC also has a role to ensure that its strategies to promote ethical and sustainable development include considerations of biodiversity and biosafety.

At the national level, the implications of the Aichi Targets considerably expand the scope of governmental action required, moving away from traditional environmental considerations toward the integration of biodiversity and biosafety considerations in national economic and agricultural development, urbanization and national investment strategies, in developed and developing countries alike. The Secretariat's role in aiding Parties to expand the domestic network of partnerships so as to increase understanding of the value of biodiversity and biosafety will be crucial.

It should be mentioned however, that the Secretariat has already taken decisive first steps to do so through the establishment of a new unit where partnership will play a considerable role. There are obvious resource implications given current limitations in the promotion of efforts to broaden partnerships.

The implicit consequence of the demands for the Secretariat to be more active in the promotion of the Aichi Targets implies that there will be inherent trade-offs, trade-offs that COP must of course approve, but which are the responsibility of the Secretariat to propose to COP, given the Secretariat's role as COP's principle advisory and support group.

One of the most important observations drawn from the electronic survey of Focal Points relates to the necessity of ensuring that biodiversity and biosafety considerations be integrated into the emerging post 2015 global development agenda.

The Exhibit 3.3 below shows the extent to which Focal Points recognize this crucial matter. Senior stakeholder interviews also highlighted the necessity of ensuring this strategic integration.

Again, there are implicit implications for the Secretariat, likely involving a further transformation of its work and network of partners in order to support the full recognition by the UN system as a whole of the centrality of biodiversity and biosafety to human development, a further evolution of biodiversity from purely environmental roots toward a concept or framework that is essential for a comprehensive and holistic approach to humanity's relationship to the planet and humanity's efforts toward human development in general.

Exhibit 3.3 Overall effectiveness of the work of the Secretariat and expectations of your government/organization to the Secretariat since the adoption of the Strategic Plan for Biodiversity and the Aichi Targets

Exhibit 3.3a. Changes of the expectations of the Parties

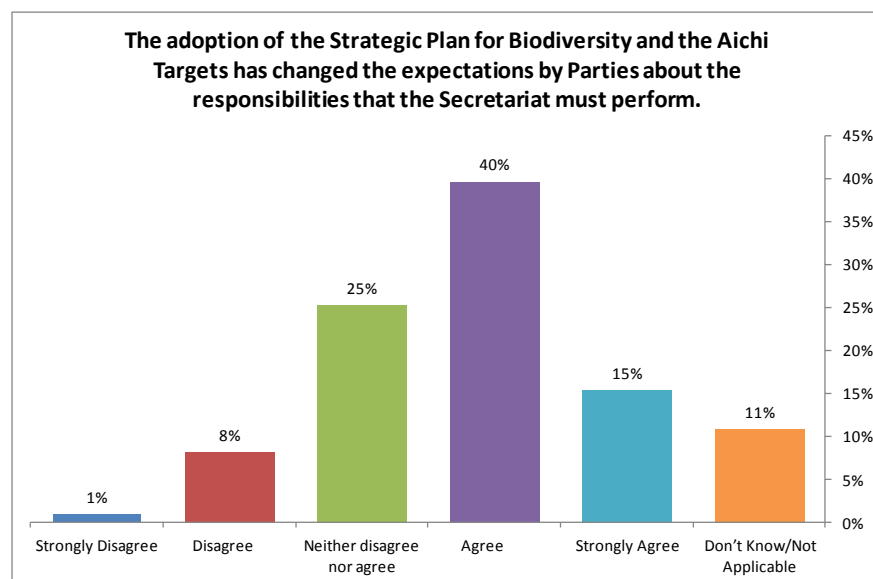
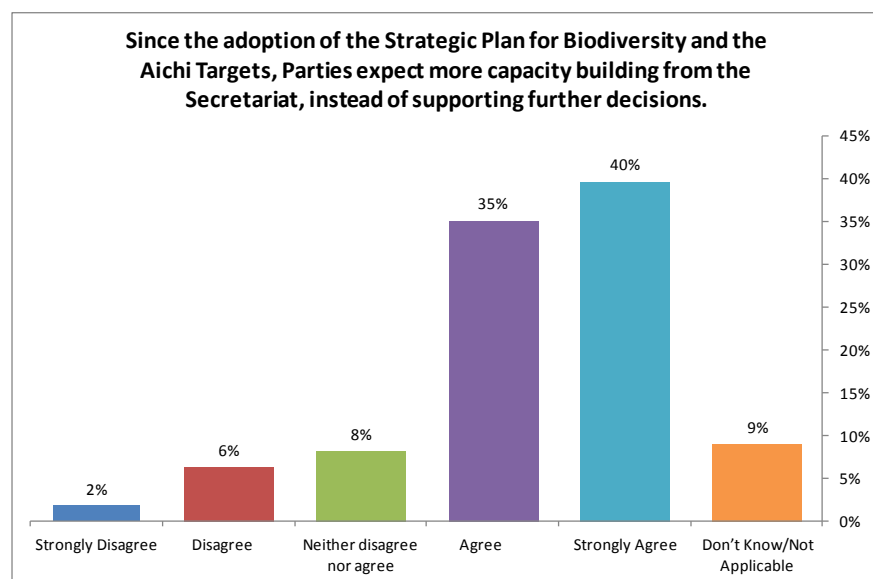


Exhibit 3.3b. Parties expect more capacity building from the Secretariat



The following Exhibit expands on these considerations, again showing the degree to which Focal Points recognize the sea change that has occurred. Implicitly therefore, the Secretariat as the Convention's main supporting arm, faces the task of responding to this evolving environment.

It is important to note in the Exhibit below the degree to which Focal Points agree that a greater degree of concentration/focus/prioritization will be an essential precondition to the attainment of the Strategic Plan.

Exhibit 3.4 Contemporary importance of the Convention on Biodiversity and the implications of the recently adopted Strategic Plan for Biodiversity 2011-2020

Exhibit 3.4a. Challenges of the implementation of the Convention on Biodiversity

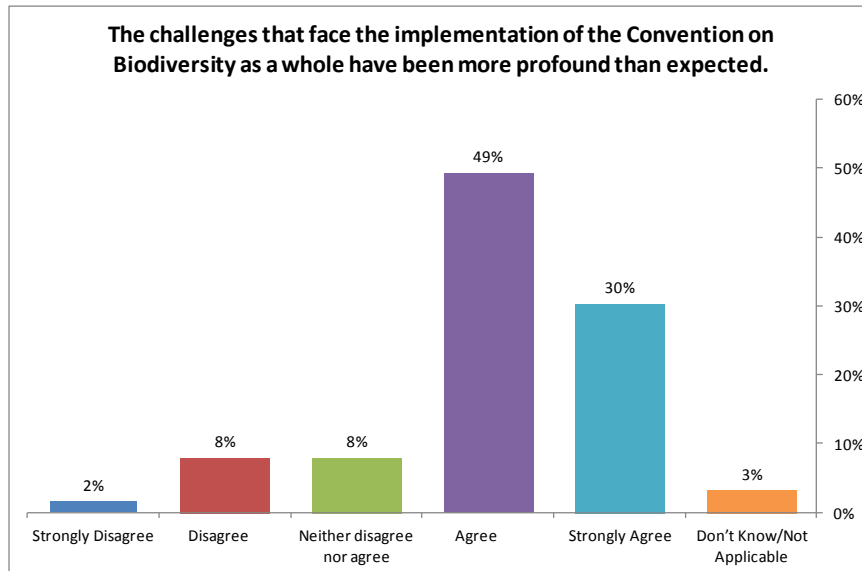


Exhibit 3.4b. Better focus on the overall implementation of the Convention

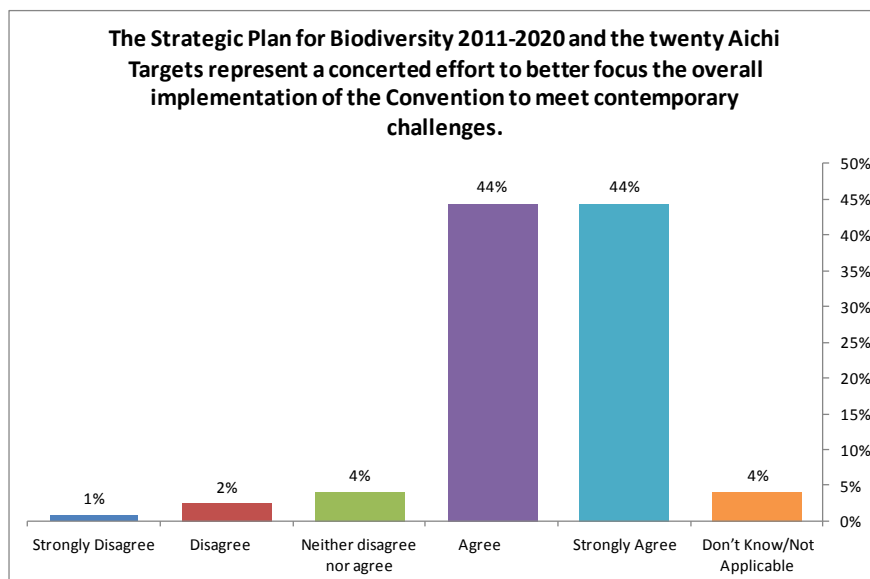
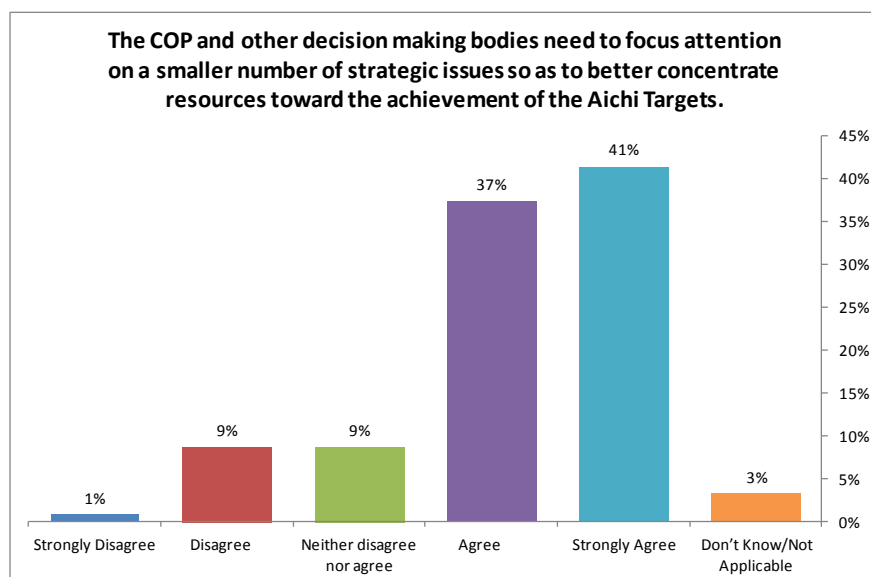
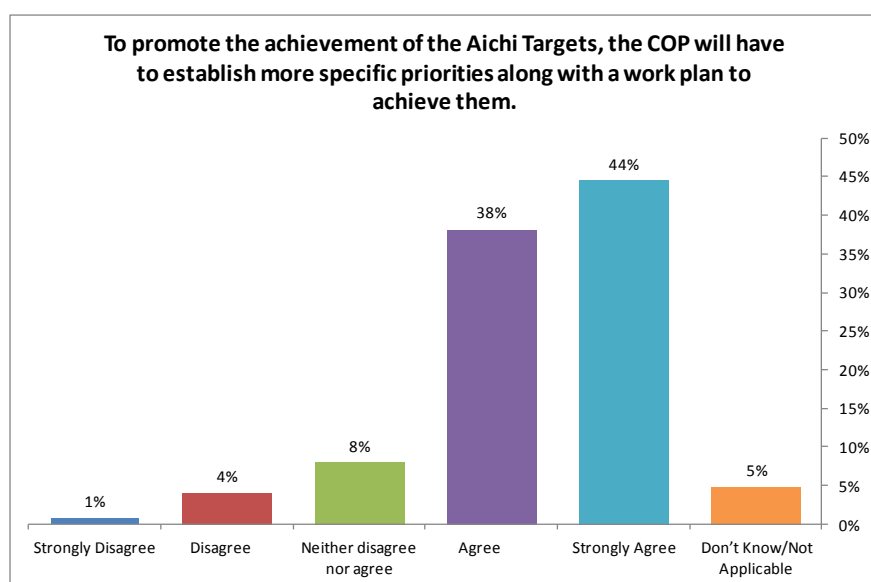


Exhibit 3.4c. Smaller number of strategic issues**Exhibit 3.4d. More specific priorities along with a work plan**

In general therefore, the Secretariat, over the balance of the Decade, can capitalize on a large number of new opportunities which will directly and positively impact on the attainment of the Strategic Plan and the Aichi Targets. However, to do so, the Secretariat will need to better identify areas where it has a comparative advantage over other organizations both within the UN system and outside of it.

Finding 3: There is clear recognition that the attainment of the Strategic Plan will require establishing new forms of partnership.

The Exhibit immediately below illustrates the extent to which Focal Points, as the major representatives of Member States, also recognize that the attainment of the Strategic Plan will require forging new kinds of relationships with new groups of partners. As well, the Exhibit below

also shows the recognition that non-traditional sources of funding will be required to support implementation.

Key stakeholders interviewed confirmed these observations, as did interview data provided by Secretariat managers.

Exhibit 3.5 Contemporary importance of the Convention on Biodiversity and the implications of the recently adopted Strategic Plan for Biodiversity 2011-2020

Exhibit 3.5a. Expanding the range of global partnerships

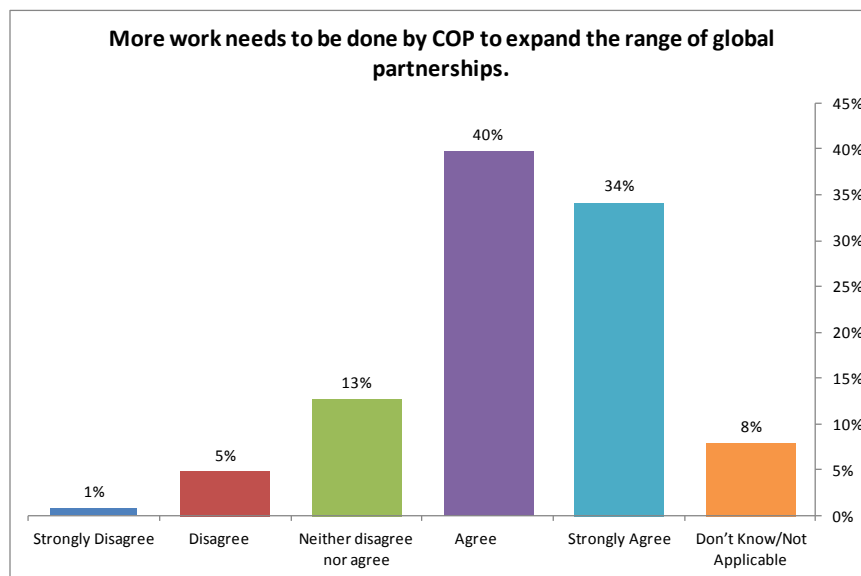


Exhibit 3.5b. Increasing the level of participation by private enterprises

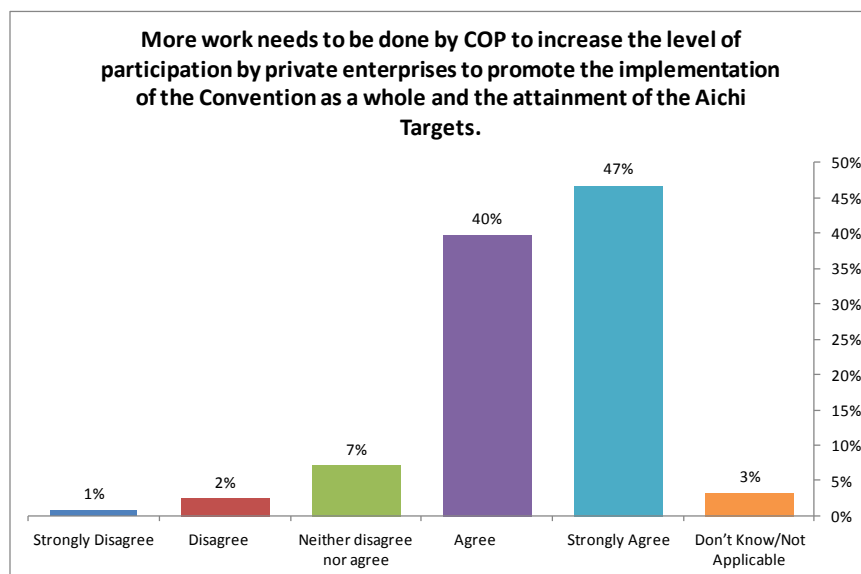
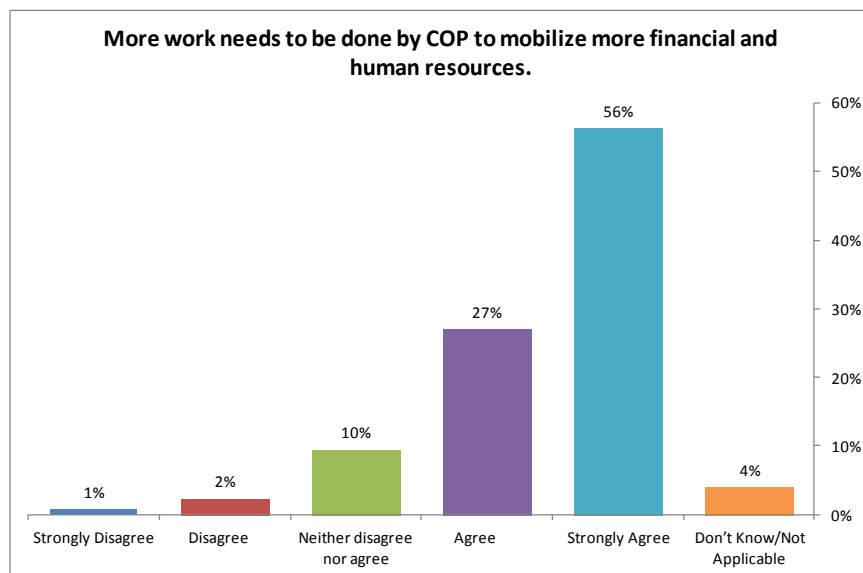
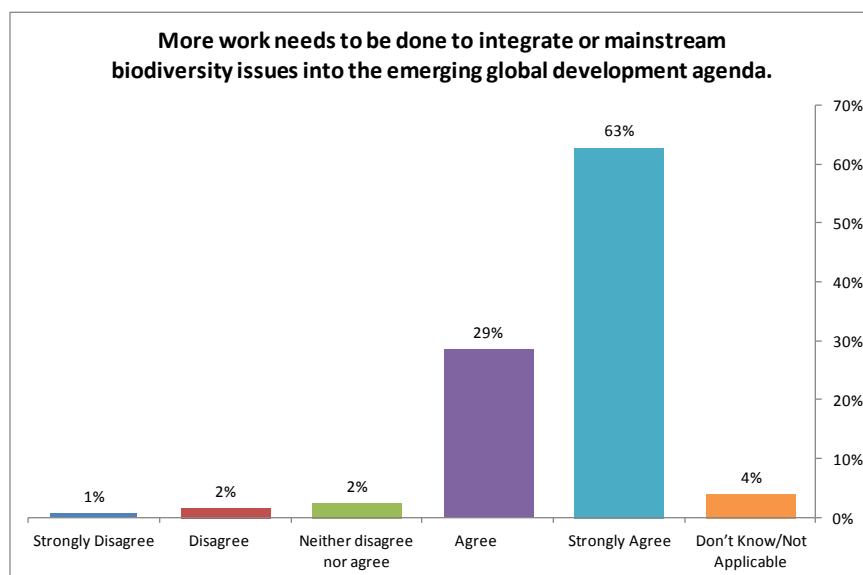


Exhibit 3.5c. Mobilizing more financial and human resources**Exhibit 3.5d. Integrating or mainstreaming biodiversity issues into emerging global development agenda**

This Exhibit immediately below shows the extent to which Focal Points also recognize the need to do more to ensure the integration of biodiversity and biosafety considerations into the evolving post-2015 global agenda. Again, as the Convention's main supporting arm, it is implicit that the Secretariat will need to be able to respond to this form of strategic request.

Finally, the Exhibit below dramatically shows the need for the Parties as a whole to transform the work in support of the Convention toward a more activist stance, both in terms of supporting work to strengthen implementation and of equal or greater importance, to support monitoring initiatives that will enable Parties and the global community at large to assess the degree of progress achieved and to take remedial or other supportive measures if required.

Exhibit 3.6 Focus on Monitoring of Implementation

Exhibit 3.6a. Focus on reviewing implementation and providing feedback

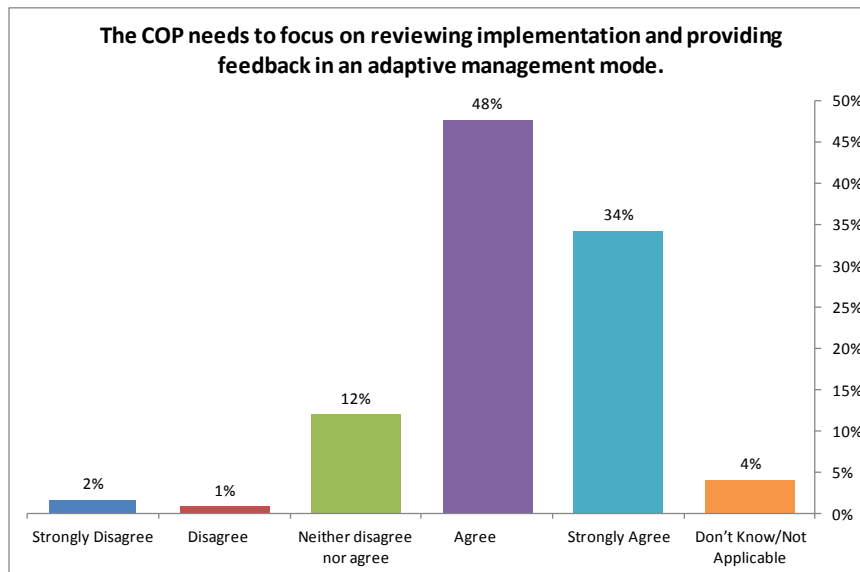
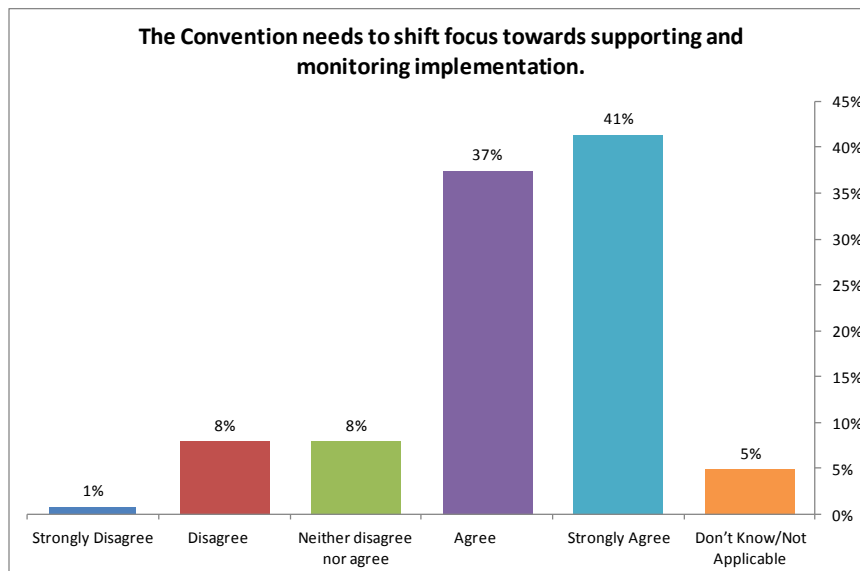


Exhibit 3.6b. Focus towards supporting and monitoring implementation



The implication of the centrality of partnerships to the eventual implementation of the Strategic Plan and the Aichi Targets is fairly direct in terms of the Secretariat. The Secretariat will face increasing needs to allocate resources so as to build the partnerships and subsequently provide support to Parties. This will have clear resource implications for the Secretariat and also on its organizational design. To do so however, the Secretariat will need to do more than simply recognize partnerships; it also will need to identify what its primary skills are in relation to its support for building partnerships. It will also need to integrate partnership building into an overall planning framework so as to better identify capacities and comparative advantages.

3.4 Identifying Strengths and Setting Priorities

This Final Report points to the degree of change that is likely to ensue as a result of the Strategic Plan for Biodiversity and the Aichi Targets. Focal Points and key stakeholders all agree that the sea change will result in considerable pressures being placed on the Secretariat. At present, the Secretariat is not well equipped to respond to these opportunities.

Finding 4: The present absence of a Secretariat-wide medium term planning framework limits its ability to capitalize on the opportunities inherent in the Strategic Plan and the Aichi Targets.

The Secretariat, at present, operates with a very traditional approach to medium term planning, largely based on extrapolating decisions of COP into day-to-day operations. Although a number of efforts have been undertaken over the past several years to articulate a vision for the Secretariat so as to better situate its work, such has not occurred largely for internal operational reasons.

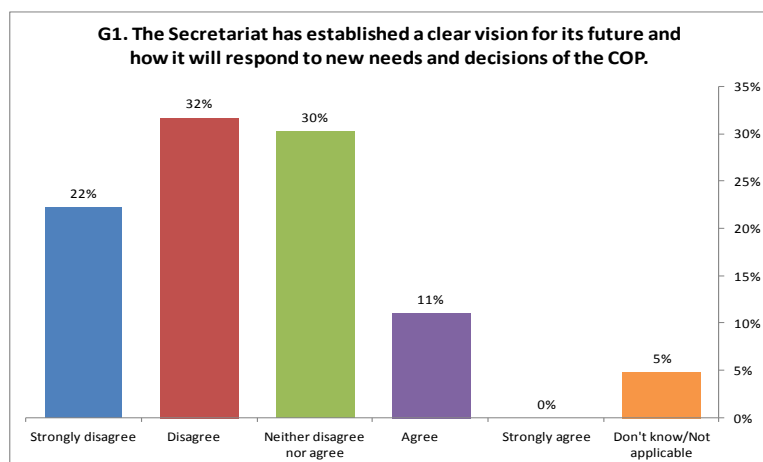
As well, the Secretariat, because it lacks such a vision, a glue which binds an organization together and gives it a sense of collective purpose, has not been able to reach forward to capitalize on a number of the opportunities inherent especially in the Aichi Targets. In interviews with Secretariat managers, there was a marked tendency to articulate roles for the Secretariat for the future largely in terms of functions of individual units and not in relation to the collective role for the Secretariat over the latter half of the Decade. This limits the ability of the Secretariat to perceive of itself as a whole and not just an amalgam of subject specific parts.

As results based management has been implemented across the various elements of the United Nations system, there has been a collective realization that organizations need to better articulate their core values and core strengths so as to realistically plan what they wish to achieve and subsequently to measure their performance.

Finding 5: The internal staff survey shows the degree to which staff as a whole support the need of the Secretariat to better articulate a vision for itself.

Staff of the Secretariat themselves realize this gap in their organization's basic design. The Exhibit below demonstrates that the staff themselves are seeking that kind of organizational glue which will better articulate the role of the Secretariat in relation to the Strategic Plan and the Aichi Targets. The management team of the Secretariat have come to similarly recognize the benefits of developing a more holistic approach to planning and also articulating areas of comparative advantage and programmatic niches.

Exhibit 3.7 Secretariat Planning



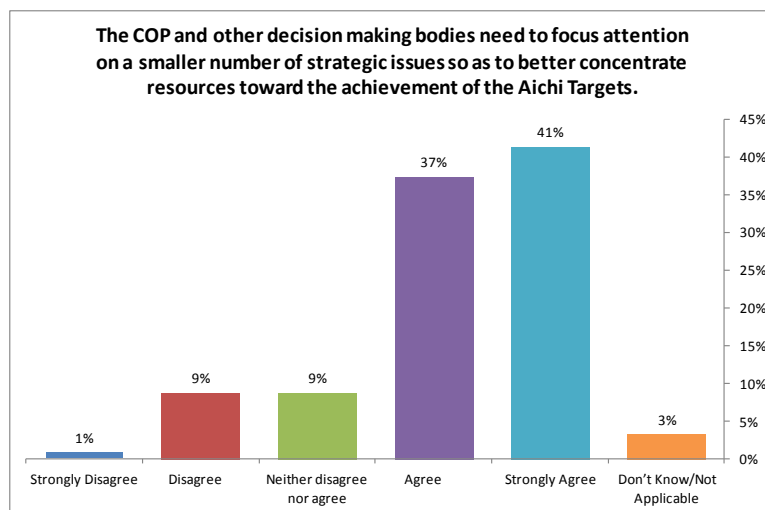
These views were corroborated during senior stakeholder interviews where there was a call for the Secretariat to use the Strategic Plan and the Aichi Targets as a foundation on which to lay out priorities and to articulate a coherent vision of the role the Secretariat should play in relation to the Strategic Plan and the Targets.

This request in no way should be interpreted as a suggestion to usurp or supplant the legitimate decision-making powers of COP. Rather, it is a recognition that the Secretariat as a whole has a professional responsibility to COP to advise it on the Secretariat's strengths and areas of weakness, what it can do best and what should be done by others who can do better.

This approach to proactive leadership would constitute a paradigm shift for the Secretariat itself.

The following Exhibit, taken from the Focal Point survey, shows the extent to which Focal Points themselves are advocating for a more disciplined approach to the promulgation of COP decisions and thus by extension, the Secretariat.

Exhibit 3.8 Strategic Issues Focus



Finding 6: The Secretariat could benefit from a more contemporary approach to reporting its results so as to better demonstrate the importance of the roles that it plays in support of the Convention as a whole and the implementation of the Strategic Plan and the Aichi Targets.

Akin to its approach to organizational planning, the Secretariat presently utilizes a fairly traditional approach to reporting on input and output performance. While this approach is necessary to ensure fiduciary compliance, it falls short in telling the entire story of the work of the Secretariat.

Interviews with staff and managers, along with key external stakeholders, highlighted the degree to which the Secretariat is making a difference in relation to the Strategic Plan and the Aichi Targets. It is not simply delivering mandated services; these services are subsequently generating positive change. Yet for the most part, aside from anecdotal evidence, these changes are not sufficiently reported.

As well, the desirability of articulating a plan which lays out comparative advantages and programmatic niches implies the need to translate such a plan into a planning and managerial framework that would subsequently be able to be used by managers and by COP to assess the value-added performance of the Secretariat. In this way, a performance loop would be established, linking the comparative advantages of the Secretariat with a set of corresponding goals and mechanisms to

demonstrate qualitative as well as quantitative performance. For greater clarity, it is important to stress that such a performance management framework would in no way impinge upon the prerogatives of COP.

3.5 Structural Adequacy

The TOR for the assignment presented earlier clearly shows that structural matters were only one of a number of areas of concentration. Nevertheless, some consideration of the adequacy of the structure of the Secretariat must include, in a Functional Review such as this, ensuring that organizational design fits purpose – “form (organizational design) follows function (niche or comparative advantages)”.

The following Exhibit, drawn from the combined summary of the Internal Staff Survey, shows the degree to which staff generally see the structure of the Secretariat as not optimal.

Exhibit 3.9 Secretariat Structure and Ability to Perform its Work

Exhibit 3.9a. Capacity of the Secretariat to meet changing needs and demands

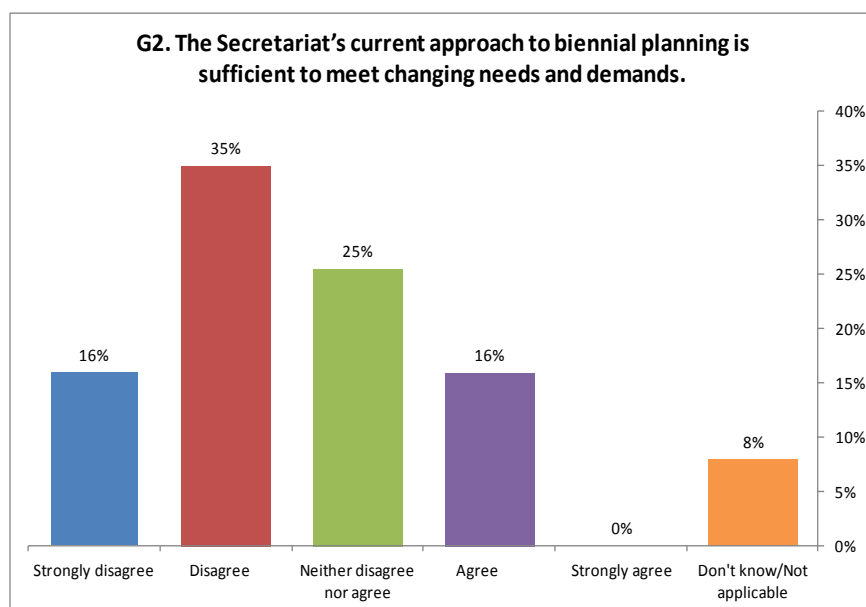
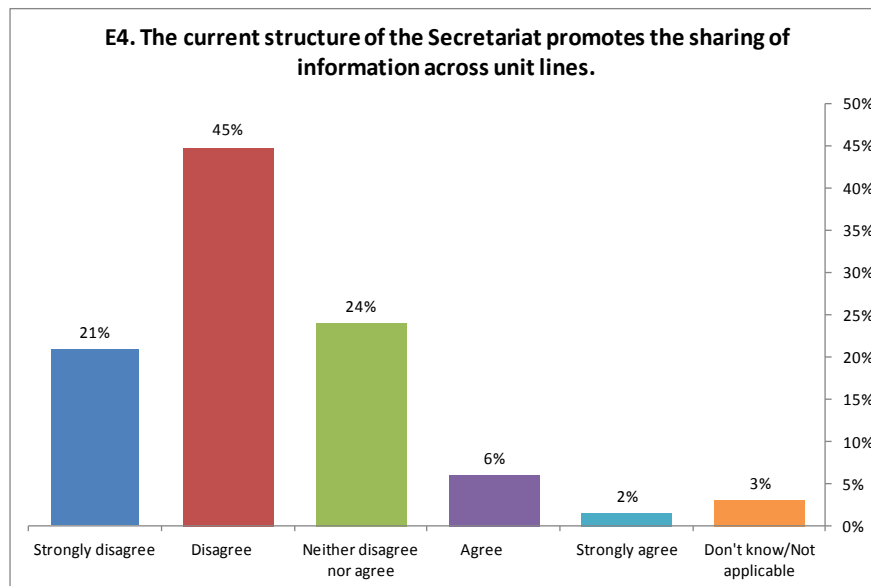


Exhibit 3.9b. Capacity of the Secretariat to promote the sharing of information across unit lines



Equally, external stakeholders seemed to be very anxious to provide commentary on the effectiveness of the current organizational design of the Secretariat. For the most part, their observations echo the views of staff – that the current structure is not “fit for purpose”. The first major issue with respect to structural matters related to issues concerning the possibility of overlap and duplication.

Finding 7: The current structure of the Secretariat does not maximize the use of specifically professional level resources due to a tendency to disaggregate resources across various units.

This initial finding speaks to a self-evident observation, that the current structure of the Secretariat does not optimally utilize professional level resources. For example, roughly analogous types of activities, which are called “capacity building”, exist in several units and thereby limit the ability for cross-sectorial coordination.

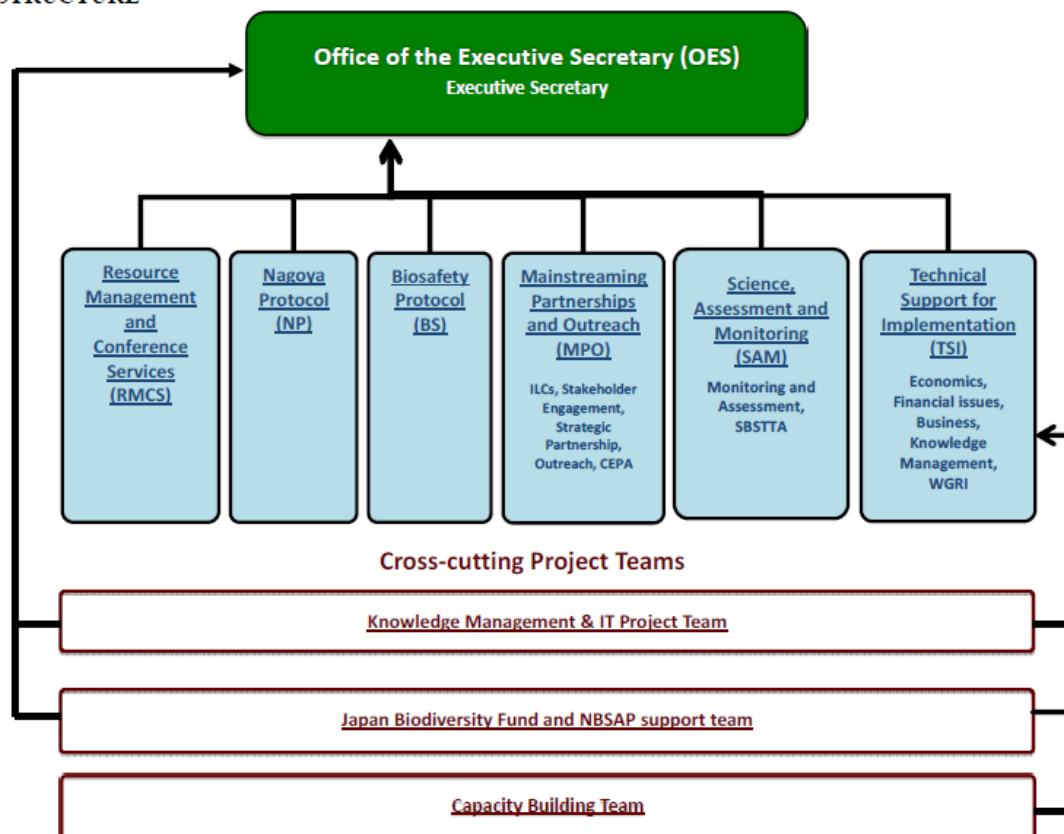
This phenomenon also exists in relation to a number of professional level staff members who are involved in the promotion of activities related to resource mobilization. Again, a lack of focus and concentration appears to limit the flexibility of the Secretariat to respond. The key challenge the Secretariat faces is to find new ways of structuring itself so as to maximize the ability of personnel to work across subject matter areas.

The current structure of the Secretariat as illustrated in the Exhibit below, reflects an evolution from prior structures existing in 2007 which were silos of related sets of responsibilities. The present structure generally maintains this kind of an approach but attempts to mitigate the challenges of a silo-based structure by introducing cross-cutting thematic teams. However, these teams, in themselves have resulted in additional managerial ambiguities. Managerial responsibility for these cross-cutting teams is not clear, given that the staff formally occupy posts in the established sub units. Managers and staff alike have reported a degree of concern about this structure.

However, this current structure reflects the best efforts of the Executive Secretary to address long-standing issues related to organizational design, recognizing that during the 2012-2014 biennium this Functional Review would be undertaken and would address the adequacy of the organizational architecture of the Secretariat as a whole.

Exhibit 3.10 Current General Organizational Structure of the Secretariat

OVERALL STRUCTURE



Notwithstanding its temporary adequacy as an ad hoc solution, the above organizational design is not responsive to the current challenges that face the Secretariat and obviously would not be responsive over the balance of the Decade.

Universalia reviewed a number of comparable secretariats. For the most part their organizational architecture differs considerably from that of the SCBD. These organizations have adopted a more functional approach, as opposed to the continuation of the subject specific model currently used by the SCBD.

Finding 8: The current approach to the organizational housing of Information Technology and Knowledge Management Services, albeit an ad hoc one has proven to be less than optimal.

Early on in data collection, it became apparent that issues related to Information Technology and Knowledge Management appeared to have a large impact on perceptions about the effectiveness of the Secretariat as a whole. During staff workshops, there was nearly unanimous agreement that the current paradigm of a cross-cutting team was not working well. Managerial interviews echoed this general perception.

It should be recognized that the current senior management of the Secretariat indicated early on their awareness of the limitations of the current paradigm with respect to IT and KM and indicated that the current model was designed to be an interim solution, awaiting the results of an eventual functional review. Several considerations impact on the IT and KM situation

The current ad hoc cross-cutting task force approach has resulted in managerial ambiguity in terms of the provision of strategic direction to the staff members involved. The cross-cutting task force approach does not allow for clear lines of managerial responsibility and thus makes it difficult for the Secretariat management as a whole to address some of the more systemic issues that face the IT and KM function such as the impact of decisions to develop customized approaches as opposed to utilizing more globally standard platforms.

This Functional Review does not have a formal mandate to explore the technical issues related to such matters as the “make or buy” equation with respect to IT and KM. However, based on triangulated evidence, it is clear to us that issues related to IT and KM go beyond simply organizational structures and require the articulation of a Secretariat-wide approach to information management.

Finding 9: The current organizational structure of the Secretariat does not possess a corporate planning centre, thus limiting the Secretariat’s ability to collectively plan.

As noted above, the current organizational design of the Secretariat in terms of those units involved in scientific, technical or professional matters is based on a subject matter-driven paradigm. At present, no particular element of the Secretariat appears to have cross-cutting corporate overview responsibilities, responsibilities which naturally lead in many organizations to the internal capacity to develop strategic approaches to organizational planning and priority setting.

Earlier in this Final Report, a discussion of the necessity for establishing priorities and a more strategic and holistic approach was presented. However, such a new strategic focus requires some internal centre of strategic planning and coordination. By definition, such activities cannot be performed by staff committees or even by committees of managers given the tug and pull that is inherent during the competition for resources and priority setting. For greater clarity, this Finding is not focused on the development of a plans for improving capacity building which have been undertake, It concentrates on central planning functions of the SCBD as a whole.

In our estimation, and given our view of the need for the Secretariat to establish priorities (a new Medium Term Organizational Plan and accompanying Results Framework) the establishment of a corporate planning centre to manage these processes throughout the balance of the Decade is equally important to the challenges that relate to IT and KM.

Finding 10: Although their organizational structure is well-designed, the level of administrative, financial and human resource management services available at this time is probably inadequate to meet growing demands.

The backbone of any organization is the administrative, financial management and human resource management services that provide the solid foundation on which all other organizational functions perform. The structure that houses these administrative services is functionally well-designed in that they are combined into one unit, albeit one that is under strength in relation to the magnitude of the challenges facing them.

The challenges that face the administrative and conference services elements of the Secretariat are a combination of increased workload on one hand combined with a tendency to overlook the regulatory and procedural requirements that are entailed in the convening of an ever increasing

number of conferences, committees and workshops. While distant from UNEP Headquarters in Nairobi, the Secretariat remains, in practice, an out station and thus is regulated by UNEP and UN-wide procedures. There is no doubt that in some instances, these procedures may appear to be excessively restrictive, but they are in fact the “rules of the game”. Attempts to circumvent some of them, especially in relation to travel and convening, result in internal confusion, overlap if not duplication of work and excessive stress being placed on a handful of relatively junior personnel.

3.6 Resource Realities

The present fiscal climate facing United Nations agencies as a whole has an impact on the work of the Secretariat, and thus also impacts the ability of the Secretariat to respond to the needs of Member Parties. Equally, given global fiscal realities, it is not highly probable that significant new amounts of voluntary resources can be mobilized in the short to medium term. Major current contributors including EU nations and Japan all have instituted systematic reviews of the level of support being provided to the UN system and in some cases, reductions have ensued.

The question of the adequacy of the level of resources, both regular and voluntary, available to the Secretariat must be reviewed in light of the level of demands being placed on the organization. Earlier, it was shown that the level of requests for services has increased both in terms of total volume as well as increased complexity and diversity of subject matter.

Finding 11: The increased level of demands being placed on the Secretariat has resulted in the perception of resource shortfalls, thus endangering the effectiveness of the Secretariat as a whole.

Staff and managers and external stakeholders alike have reported that there are resource shortfalls given the increased workload. National Focal Points also have come to the same conclusion. Documentary review further confirmed this conclusion. The following two Exhibits show the extent to which both staff and Focal Points are in agreement about this crucial dynamic.

Exhibit 3.11 Capacity of the unit to carry out all the duties assigned

Exhibit 3.11a. Staff Perceptions

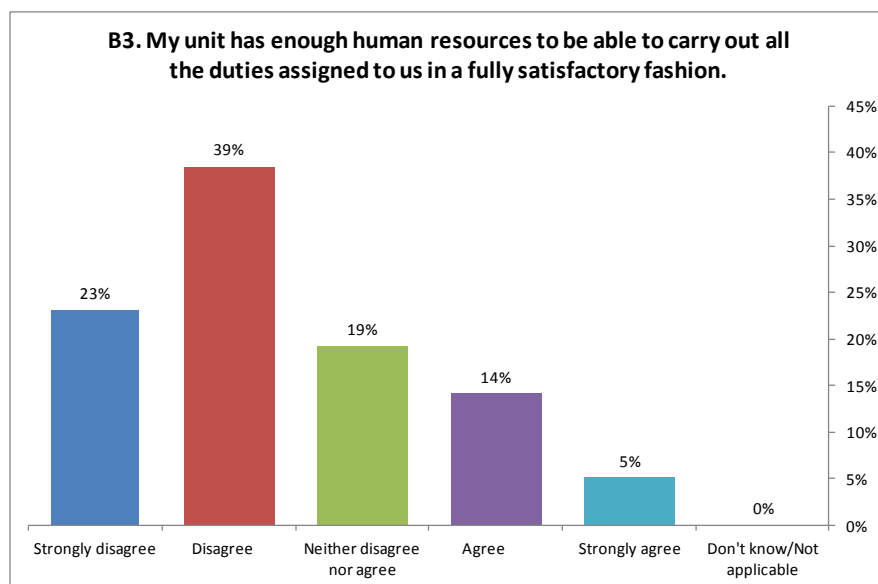
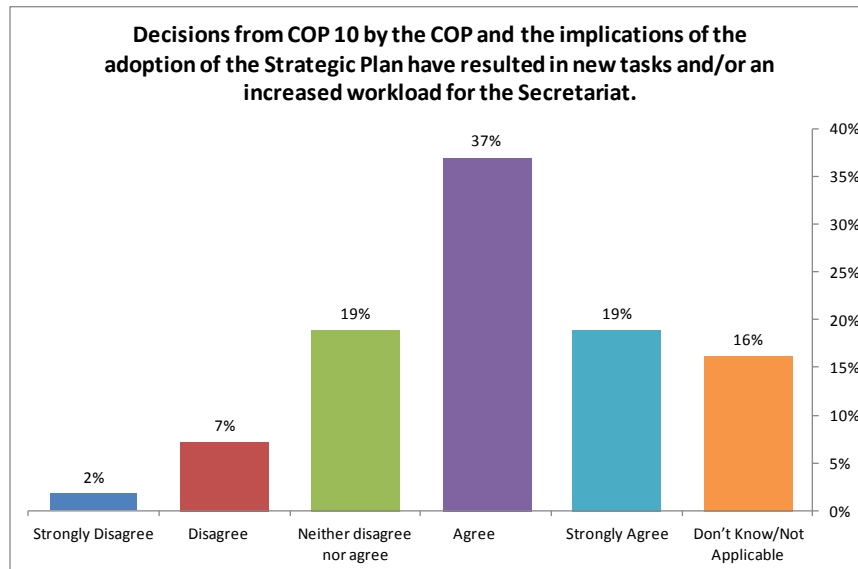


Exhibit 3.11b. Focal Point Perceptions

These observations were triangulated by the series of high-level interviews. During these interviews, the senior level stakeholders involved reported that it was their view that the Secretariat did not have enough resources to meet the increasing volume of requests made to it and that it was in danger of weakening the quality of the services it provides. Hence, the call by senior stakeholders for the Secretariat to better identify its niche and to propose proactive priorities to COP as discussed above.

Secretariat managers however expressed a somewhat more pragmatic view of the resource challenge facing the Secretariat as a whole. They recognized that the possibility of securing additional permanent staff (requiring therefore increases in the regular budget) would not be a simple task. They pointed out that while voluntary contributions enable the retention of consultants, difficulties ensue in being able to retain qualified personnel or to attract them to come to Montreal to work on a longer term basis.

Finding 12: The skill set of the current staff of the Secretariat is likely adequate to meet new challenges, however due to a degree of fragmentation, the skill set is not optimally deployed.

The TOR for this assignment asked us to consider the adequacy of the skill set of current staff in relation to their present responsibilities and by extension, future ones. Indeed, since the inception of this assignment, the management of the Secretariat has firmly committed itself to a futures-oriented approach as opposed to a retrospective one.

Within the Secretariat, there is a wide range of professional skills. Staff clearly have competence in core areas such as liaison and coordination, advocacy, support for the development of normative instruments, capacity building, monitoring and other professional responsibilities. However, as noted above, the dispersion of staff is not optimal and it is evident that internal professional synergies and economies of scale have not been capitalized on. One example demonstrates this challenge. Capacity building skills presently exist in three if not four sub-units of the Secretariat. Equally, there is an internal perception among some staff and some managers of the inability to transfer skills across specific subject matter areas. This, in our estimation, is in large part due to the

present tendency to see the Secretariat as an amalgam of relatively narrowly defined sub-units and not as a gestalt, where the whole is greater than the sum of the parts.

Finding 13: It is not presently possible to determine the nature of new posts that may be involved in a structural reorientation of the Secretariat.

This Finding reflects an evolving reality. Earlier Findings demonstrate that the Secretariat likely requires the development of new planning instruments that identify its niche. As well, earlier Findings also demonstrated the centrality of the Secretariat's role in support for the implementation of the Strategic Plan on Biodiversity and the accompanying Aichi Targets.

At present, the Secretariat's structure is not optimal to meet these crucial challenges. However, until COP ratifies the programmatic changes and articulation of the comparative advantages of the Secretariat, it is unreasonable to develop an ad hoc organizational design down to the post level. A period of transition is required so as to better put into practice whatever decision COP may take with respect to these strategic considerations so that in due course, a reasoned proposal can be submitted to COP based on a period of organizational learning. In our estimation, it would be extremely unwise to attempt to merely negotiate numbers of levels of posts for a future design based on past practices. In doing so, the result would be "fixing yesterday's problems" while ignoring today's and tomorrow's challenges.

3.7 Internal Planning and Management Considerations

Finding 14: The Secretariat does not possess a standardized approach to internal planning.

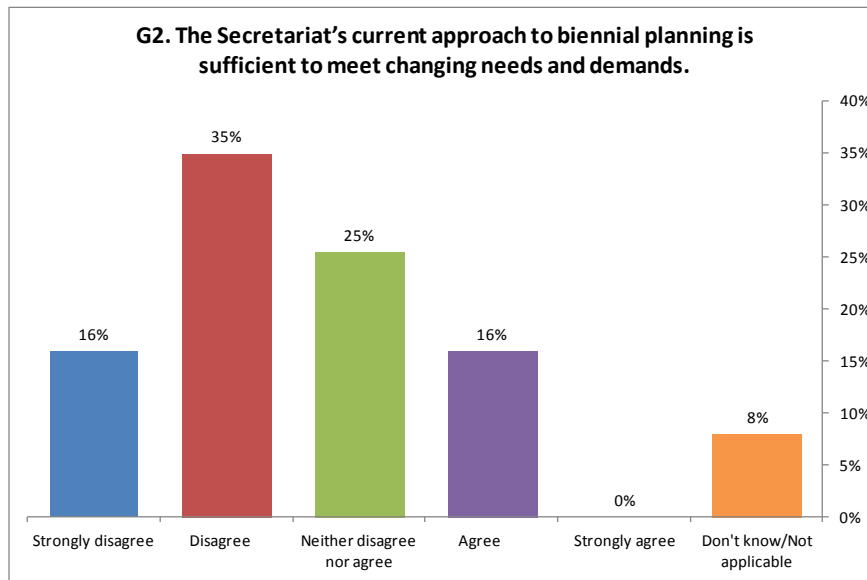
Across various sub units of the Secretariat alternatives range from using a highly explicit COP decision as a plan for the biennium through to in essence, an un-prioritized Excel worksheet. Units do not conduct SWOT analysis or any other situational review in order to position their biennial work. This phenomenon extends upward to the Secretariat as a whole.

The consequences of the absence of an organizational paradigm for at least mid-term planning are several and for the most serve to limit the effectiveness of the Secretariat.

The absence of a unitary approach to planning and the articulation on a Secretariat wide planning framework leads to limitations in its ability to conceptualize itself as a unitary "whole" and not an amalgam - individual sub-units only tangentially linked together. As well, the absence of a Secretariat-wide standardized planning system limits the organization's ability to address cross-cutting issues such as what constitutes assistance for implementation, or what constitutes capacity building. The absence of a Secretariat-wide planning system makes addressing cross-cutting issues, highly prevalent in the Aichi Targets somewhat problematic. Fourth, this absence of a planning and resource allocation paradigm also hampers the ability of the Secretariat to allocate its human resources, to better plan and manage across unit lines.

Staff recognize this issue. The Exhibit below shows the perception of staff regarding the adequacy of current approaches to planning. Toward the end of the data gathering for the Functional Review and arising out of an all-staff workshop, Universalia invited all members of staff to respond to two specific questions about future directions. One discussed priorities and areas of comparative advantage; while the other concentrated on areas of improvement in internal management. Although the response rate was lower than that secured for the internal survey earlier, there was virtual unanimity among respondents about the need to develop a consistent approach to internal planning. The management team of the SCBD fully recognize this situation and have indicated a strong willingness to develop a more consistent and contemporary approach to organizational planning.

Exhibit 3.12 Secretariat Planning (as a whole)



Finding 15: Current approaches to internal communications and information sharing across the SCBD tend to limit effectiveness and opportunities for synergies

A significant issue raised during the workshops with staff related to the adequacy of communications and dialogue between staff and managers generally, between individual managers and the staff of their unit and between units. As the Exhibit below demonstrates, only 30% of staff are confident in the general quality of internal communications within the Secretariat.

Exhibit 3.13 Quality of internal communications within the Secretariat

Exhibit 3.13a. Adequacy of the internal communication and information sharing

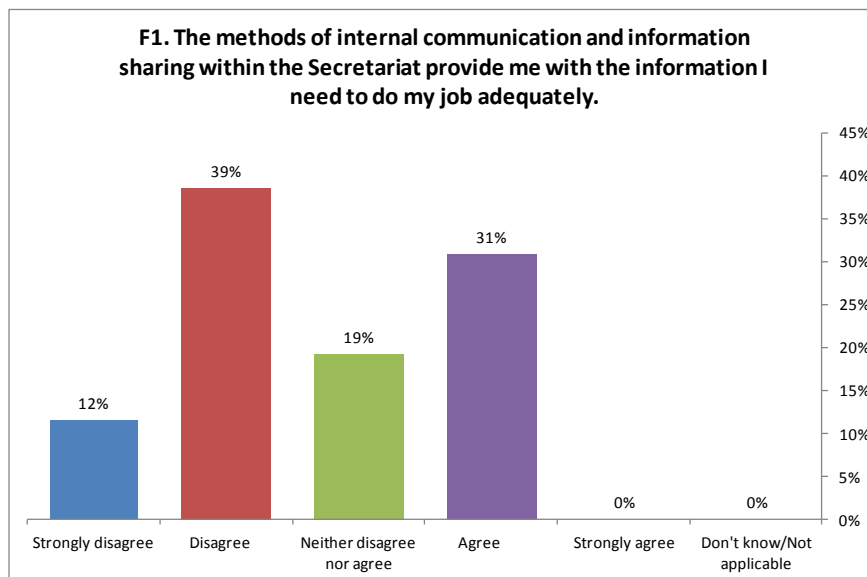
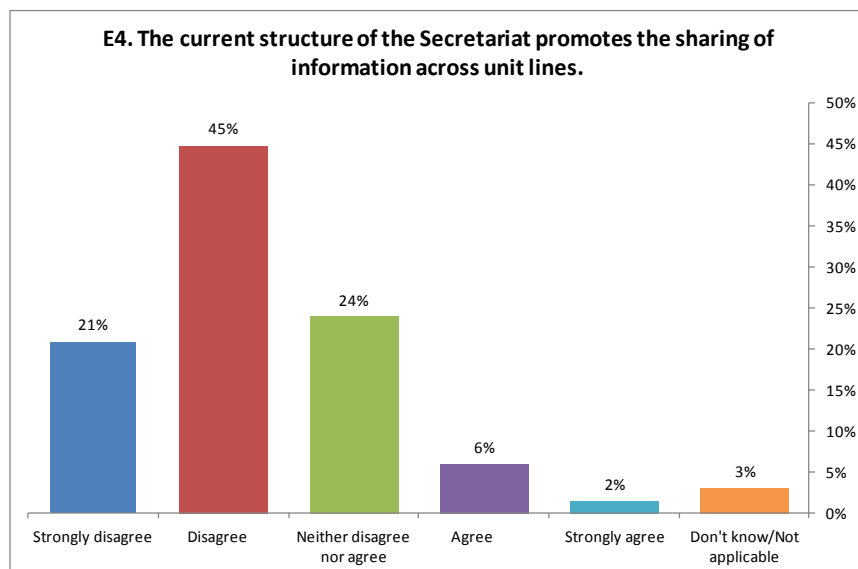


Exhibit 3.13b. Capacity of the Secretariat to promote the sharing of information across unit lines



Remarks made to the Universalia team during confidential staff workshops underscored these concerns. Some of this uncertainty may lie in the extent to which staff had been asked to participate on a number of occasions in what were attributed to be renewal activities. Such efforts go back to at least 2008. Staff made it clear that they felt apprehensive about the process of renewal, because, as some put it very directly, “we have seen this before”. Staff were also concerned about what they perceived to be challenges related to communications and collaboration between the various units of the Secretariat. The Exhibit above clearly shows the degree to which staff wish to see improved information sharing.

4 Conclusions and Recommendations

The foregoing has presented a generally encouraging diagnosis of the capacity of the Secretariat to meet the challenges that are inherent as a result of the ratification of the Strategic Plan on Biodiversity and the accompanying Aichi Targets. The recognition by staff and management of the transformational nature of the Strategic Plan and the Aichi Targets indicates the degree to which the Secretariat as a whole had adopted a forward looking and positive approach to articulating the nature of its work throughout the balance of the Decade. Doing so however in no way impinges on the fundamental authority invested in Parties through the Convention and accompanying COP. The Secretariat can and must continue to serve the COP. However, that should not be taken to be construed as passivity. The Secretariat has a professional responsibility to inform COP of its areas of comparative advantage so that COP can better focus and prioritize its work, as Focal Points have clearly indicated it needs to do.

4.1 General Conclusions

The Secretariat has evolved in recent years to become a more flexible instrument, especially in relation to the recognition of the centrality of partnership building, advocacy, and monitoring, to the attainment of the Strategic Plan and the Aichi Targets. But more needs to be done so as to maximize the comparative advantage of the Secretariat, recognizing that it cannot nor should not be seen as the central agent for the global promotion of biodiversity and biosafety. This implies an initial conclusion.

There is general agreement across external stakeholders, both Focal Points and key stakeholders, that while the work of the Secretariat is valuable and well-appreciated, it would benefit from a more strategic orientation.

It is extremely important to emphasize the general degree of support that exists for the Secretariat itself and for the overall quality of its work. The resounding support identified in the Focal Points Survey was echoed with only one of two exceptions within the 33 confidential interviews which were conducted with senior external stakeholders. Documentary review confirms these conclusions. Indeed, it is very important to emphasize the overall quality of the work of the Secretariat in the face of increasing demands and demands which are also becoming more diverse in nature.

That said however, the Secretariat has a unique opportunity to capitalize on the momentum inherent in the Strategic Plan and the accompanying Aichi Targets. It also can capitalize on the pending ratification of the Nagoya Protocol which will bring to the Secretariat additional opportunities to promote the centrality of biodiversity within individual Member States, but also an accompanying set of challenges in order to do so.

Focal Points and key external stakeholders were nearly unanimous in indicating that COP needed to be more strategic over the balance of the Decade so as to maximize the opportunity for the attainment of the Strategic Plan and the Aichi Targets. By extension therefore, this implies that the Secretariat itself has an opportunity to equally refocus itself toward more strategic considerations, recognizing that the Strategic Plan and the Aichi Targets constitute a paradigm shift in how the global community conceptualizes the relationship between biodiversity and biosafety and overall sustainable human development.

The Secretariat, by articulating its comparative advantages would be better positioned to assist Parties in the implementation of the Aichi Targets.

This conclusion would see the development of a relatively compact and largely strategic listing of comparative advantages of the Secretariat or unique niches to fill for COP and for Parties in general with respect to their implementation of the Strategic Plan. In no way would such a listing of comparative advantages contemplate prioritizing the Aichi Targets. Rather, it would primarily designed to identify where the Secretariat can best serve to support implementation. Such a listing of comparative advantages also would clarify the roles and responsibilities of the Secretariat emphasizing that its role is to support implementation and not to implement itself. This is a crucial differentiation.

The Secretariat would benefit from the articulation of a results framework so as to link the elements of the above Medium Term Operational Plan to the practical realities of the management of the Secretariat.

At present, the Secretariat's approach to medium and longer term planning is relatively traditional in nature and is largely focused on input/output control. However, the growing tendency across the United Nations is to move toward a more positivist approach to programmatic stewardship wherein the consequences of activities become the primary focus. This movement is generally referred to as Results Based Management.

For the Secretariat, developing a more futures-oriented results framework not only would sharpen its own internal management; it would provide an evidence base on which to demonstrate "what difference" the work of the Secretariat has made. Clearly, moving from a traditional approach to stewardship to a more contemporary one will not be an easy task, however, the opportunities afforded to better define the work of the Secretariat and demonstrate its contributions would appear to outweigh any short term phasing in difficulties.

The Secretariat would benefit from a renewed organizational design that would base its architecture on its areas of comparative advantage.

A number of Findings in this Final Report have pointed out that the current organizational architecture of the Secretariat does not afford it sufficient flexibility to take advantage of the opportunities inherent in the Strategic Plan and the Aichi Targets. The current structure does not capitalize on the extensive professional capacities of the staff, in large part due to a tendency to be structured not on a functional basis but on a subject matter basis.

A new approach to organizational design would focus on harnessing synergies and bringing together personnel working in generally similar areas so as to maximize their collective professional capacities breaking down self-imposed structural limitations. This latter point requires additional emphasis.

Universalis's assessment of the collective professional capacity of the staff is highly positive. Not only are staff at all levels firmly committed to the Secretariat and its goals, individual staff workshops and their comments provided through the confidential survey show their willingness to embrace change. Indeed, one of the last data collection activities for this assignment was a request for staff to articulate what they saw as the most important roles and responsibilities of their Secretariat over the balance of the Decade. A very strong and constructive response was provided.

4.2 Recommendations

The above set of conclusions inherently devolves into a series of high order recommendations, as opposed to operational level suggestions designed to correct lower level administrative or procedural shortfalls. From the very inception of this Report, Universalia and the management team of the Secretariat have recognized that the Functional Review provided the Secretariat with a unique opportunity to take stock of its relevance, its sustainability and the nature of the contributions it can best make.

Therefore, working with the management team as a collectivity, the following set of high level recommendations have been developed.

These recommendations largely address strategic considerations and taken together would result in a refreshing of the Secretariat, better able to meet its responsibilities for the balance of the Decade.

- Develop description of the comparative advantages and programmatic niches of the Secretariat.
- Develop a Medium Term Operational Results Framework so as to better measure the contributions made by the Secretariat and equally, to better report on its contributions.
- Develop a new design for the organizational architecture of the Secretariat.
- Implement internal managerial improvements so as to enhance overall effectiveness.

A proposed Implementation Plan is included.

It is therefore apt to conclude this element of the Final Report with the following overarching conclusion.

The Secretariat on Biodiversity is a generally well-functioning organization that faces a multi-dimensional set of challenges with respect to its ability to perform its work during the latter half of the Decade on Biodiversity. Some are existential in nature, the articulation of a vision to respond to the rapidly evolving roles and responsibilities of the Secretariat; while others relate to how to best utilize existing resources to meet new challenges in light of the vision that the Executive Secretary laid out on April 5, 2012.

5 Suggested Comparative Advantages of the Secretariat

5.1 Purpose

The following presents Universalialia's suggested areas of comparative advantage of the SCBD. They have been developed as part of the overall Functional Review of the Secretariat which was mandated by COP in 2012.

Preceding Findings have led to a general conclusion that the principle challenges facing the Secretariat during the balance of the Decade on Biodiversity relate to the adaptation of the work of the Secretariat so as to be more supportive of the implementation of the Convention as a whole and specifically, the Strategic Plan for Biosafety, the Strategic Plan on Biodiversity and the Aichi Targets. Earlier Findings demonstrated a broad degree of stakeholder, staff and managerial awareness that the Strategic Plan on Biodiversity and the Aichi Targets have marked a watershed, not only in relation to the global recognition of the centrality of biodiversity; but equally to the recognition that the Secretariat needs to adapt its work processes and strategies to meet new challenges that are inherent in these two landmark documents.

As described in specific Findings, the Secretariat at present, based on analyses of its planning formats, work processes, nature of its workload, and organizational structure is not fully "fit for purpose" given the implications of the Strategic Plan for Biodiversity and Aichi Targets. This listing lays out areas where the Secretariat clearly possesses a comparative advantage, or operational niche. In this regard, they not only can guide the work of the Secretariat; they also provide Parties to the Convention with a more detailed understanding of the areas of strength of the Secretariat where it can play a significant and catalytic role in support of the overall implementation.

It is also important to re-emphasize one of the Conclusions of the Functional Review, namely, that the upcoming 2014-2016 biennium should be viewed as transitional in relation to the nature of the work of the Secretariat and its organizational design. The timing of the Functional Review, January – August, 2014, and the participative nature of the process which ran through to June, 2014, precluded the ability to directly influence the support to the drafting of decisions for the upcoming October, 2014, COP. Therefore, one of the most important decisions with respect to this listing of comparative advantages will be their review by the management of the SCBD, along with the review of the accompanying Medium Term Results Framework and suggested organizational design.

5.2 Context

The development of this suggested listing of comparative advantages was undertaken at a time of significant transformation within the planning horizons of the United Nations system as a whole. The current timeframe of the Millennium Development Goals is rapidly drawing to a close, with 2015 looming. As a result, the global community has been seized with the necessity of looking beyond, looking toward assessing the implications of the current set of Millennium Goals that were promulgated in 2000, and looking beyond to the establishment of their successors, building on a decade and a half of lessons learned. Sustainability and by extension, biodiversity, necessarily will figure largely in the planning for the next cycle of goals and targets designed to promote equality, dignity, an end to extreme poverty and a more sustainable approach to human development in general, recognizing the criticality of our biosphere in relation to our collective development.

Biodiversity however, is not necessarily an end in itself within the context of sustainable human development. The Strategic Plan and accompanying Aichi Targets recognize the inter-relationships

between biodiversity (and by extension, biosafety) and aspects of sustainable human development including all forms of economic production.

Biodiversity (and by extension, biosafety) therefore must be considered within this broader context of overall human development including the overarching drive to end extreme poverty. This implies that the work of the Secretariat, as the principle coordinating and convening mechanism for the Parties to the Convention, must recognize the inter-relationships with other aspects of the overall global objective of sustainable human development. This necessarily will result in the Secretariat having to re-focus some of its attention toward more cross-cutting and holistic matters and therefore, having to re-balance some of its existing functions. This Medium Term Operational Plan suggests some of these re-balancing and re-focusing measures.

The Secretariat is the principle convening and coordinating mechanism for the Parties to the Convention and the accompanying Protocols. The Secretariat therefore has an ethical and professional duty to advise Parties of the implications of the Strategic Plan on Biodiversity and the Aichi Targets on its functions and organizational design, and by extension the Strategic Plan for Biosafety. In that context, the Secretariat also has a professional responsibility to identify its strengths and challenges and also to present to Parties its estimation of areas of comparative advantage, so as to maximize its role as an instrument that supports them. This latter point should not be under-estimated. One of the major Findings of the Functional Review was that the Secretariat is in itself not an agent of implementation in relation to the Strategic Plan and Aichi Targets, whose primary responsibility firmly rests with individual Parties themselves.

The Secretariat also should not be considered to be in any way the exclusive instrument in support of the implementation efforts of individual Parties themselves. The Functional Review clearly highlighted the intricate web of relationships among sister UN organizations, some elements of UNEP but many others not, and other global entities including civil society organizations (CSO). This again needs to be given great emphasis. The Convention, the Strategic Plan(s) and the Aichi Targets all have rooted within them the understanding that biodiversity, and by extension biosafety, are inherent cross-cutting responsibilities of not only Parties but also all elements of the United Nations system and also by implication, international financial organizations established under the aegis of the Bretton Woods Agreements. Biodiversity and biosafety therefore are everyone's concerns and thus the Secretariat faces a challenge of raising the understanding among the global community as a whole of the centrality of biodiversity and biosafety to the global agenda.

For greater clarity, it is necessary to emphasize that the elaboration of specific areas of comparative advantage or unique niches does not in any way imply that the Secretariat itself has chosen to attempt to prioritize the Aichi Targets. Such is the exclusive responsibility of the Parties acting through the Conference of Parties. The identified areas of comparative advantage and niches are in themselves cross-cutting and equally applicable to many if not all of the 20 Aichi Targets and by implication, the entire Strategic Plan.

5.3 Comparative Advantages of the Secretariat

The following set of suggested comparative advantages of the SCBD is based on the analysis conducted during the Functional Review and also on information gathered from an electronic survey of Focal Points of Parties, which achieved an approximately 60% response rate, well above industry norms for such surveys which tend to run between 30% and 35%. Therefore, as has been described earlier, the results of this survey are statistically relevant. The views expressed in this survey regarding areas of comparative advantage for the Secretariat were triangulated by three other data sources: some 33 senior stakeholder interviews described earlier, in-depth sessions with the Management Team of the Secretariat, individually and collectively, confidential workshops and comparative analysis conducted by Universalialia.

On the basis of this wide range of sources, the following is presented as the principle areas of comparative advantage or professional niche:

- Providing a Convening Authority for Parties and Others
- Promoting Mainstreaming
- Supporting Implementation by Parties and Others
- Conducting Monitoring.

5.3.1 The Convening Function

A first comparative advantage of the Secretariat lies in the area of its historic role in relation to the convening function, namely support for the various mandated meetings and conferences that are required by the Convention itself. This function is probably the most deeply rooted within the Secretariat dating back to its very inception. While it may seem to be somewhat less programmatically relevant than the earlier three described herein, the Secretariat's role with respect to the convening function is equally important.

The Secretariat plays a facilitative role for Parties in this context. Because it is not an organization that possesses a direct subject-specific mandate, it has the opportunity of being an impartial “honest broker” among the Parties. Therefore, it is important to underscore that the Secretariat in itself is designed to serve the Parties.

The convening function plays a crucial role in supporting the Parties to the Convention in their normative activities. While throughout this Functional Review emphasis has been given to the implementation of the Strategic Plan on Biodiversity and the accompanying Aichi Targets, the importance of the normative functions that are inherent in any international convention should not be under-estimated, especially in relation to the on-going work of the Secretariat. Historically, the Secretariat has served as the platform for normative discussions. This function is implicitly an element of the overall convening function.

The convening function not only involves the physical management of conferences and meetings in support of the Convention, its equal if not greater role is that of the preparation of the materials to support decision-making on the part of the Parties themselves. Again, this is an historic function which many Parties tend to see as one of the most important for the Secretariat. The convening function however, as the Decade progresses, may need to be somewhat revisited, more emphasizing the role of the Secretariat in providing value-added advice to Parties as well as more fully informing Parties of the progress towards the attainment of the Strategic Plan and the Aichi Targets. Again, the Secretariat's credibility as an honest broker and its lack of a direct programmatic mandate enables it to fulfill this kind of enhanced monitoring and reporting.

Furthermore, implicit in the Convening Function are the Secretariat's long-standing activities in support sharing knowledge in general. The Secretariat itself cannot be considered to be a collective and exclusive source of knowledge on matters related to biodiversity and biosafety; nor should its staff members be seen as global subject matter specialists. Rather its comparative advantage is that forum for dialogue and sharing. To that end, SCBD information systems will need to be adapted to more reflect this sharing / forum paradigm.

5.3.2 Promoting Mainstreaming

The Strategic Plan and accompanying Aichi Targets are based, in part, on the assumption that the attainment of the Convention on Biodiversity needs to be expanded in scope so as to reflect the cross-cutting nature of the challenges of promoting biodiversity (and by extension biosafety) across the entire gamut of human activities including of course, all forms of economic production and the

growing drive toward the urbanization of the global population. This inherently implies that biodiversity and biosafety are vastly more than simply “an environmental issue”. In a manner similar to that which has occurred with respect to Climate Change, the Strategic Plan and Aichi Targets can serve to bring the centrality of biodiversity and biosafety to the global agenda. But to do so requires an entity that has the credibility and mandate scope to be able to serve as the advocate for biodiversity and biosafety. That entity is clearly the Secretariat in that it is the only entity that directly serves the Conference of Parties as an exclusive audience and client.

This is in essence, the core of Mainstreaming.

What does Mainstreaming really entail? First, given the nature of the Strategic Plan and the Aichi Targets, mainstreaming entails an outreach-based approach not only to other UN bodies and the formal Parties to the Convention. It must also include outreach and advocacy in civil society and among private sector producers, agricultural or industrial alike. It must reach out to the financial and investment sectors of the global economy so as to raise their awareness of centrality of biodiversity within the context of sustainable human development. Already the Secretariat has taken initial steps to begin to raise the profile of biodiversity and biosafety among these audiences and others. It is an area where the Secretariat is uniquely qualified.

Turning to the question of mainstreaming biodiversity and biosafety within individual Parties, it is essential that the Secretariat use its prestige to assist Parties to recognize that biodiversity and biosafety considerations inherently transcend the scope of environmental issues. Thus, for Parties to be able to meet their commitments, it is essential that biodiversity and biosafety considerations become more closely linked to overall planning and resource allocation mechanisms, recognizing that “biodiversity is everybody’s business”.

Mainstreaming also involves working with other members of the UN system and other international bodies including development banks to equally raise their awareness of their roles with respect to biodiversity and biosafety. For example, as new global goals are being developed, biodiversity and biosafety considerations should be highlighted. In essence, nearly all the UN system and international financial bodies have a considerable stake at play. For example, an organization like UNESCO that plays a crucial role in the upstream development of curriculum and in providing advocacy for new approaches to life-long learning and education has a central role to play in ensuring that biodiversity and biosafety considerations become integrated into curriculum development and education planning generally. Organizations like the UNDP and the World Bank have a role to play in promoting the inclusion of biodiversity and biosafety considerations into overall national development planning. Bodies like the Commonwealth, the Organization of American States, the African Union and the Francophonie, to name only several, have an equal responsibility of ensuring that their work includes consideration of biodiversity and biosafety, within their overall areas of priority. For example, the focus that the Commonwealth Secretariat has placed on the promotion of economic development inherently implies a need to include considerations of the relationship between biodiversity and biosafety and economic development.

Mainstreaming also implies reaching out beyond governments and international bodies. Mainstreaming, to be relevant, should reach out beyond traditional partners to engage groups representing agricultural, economic production and financial services so as to begin to build awareness of the importance of biodiversity considerations, and to advocate for the recognition of the economic benefits inherent in the integration of biodiversity and biosafety considerations.

In these contexts it is important to underscore that such a more holistic approach to mainstreaming implies that both traditional and new groups of stakeholders will need to be engaged. It may be required to reach out to the stakeholders of Parties themselves so as to increase their understanding of the importance of mainstreaming within their own context, moving away in some

instances, for the perception of biodiversity as a “preservation issue” to one where biodiversity is conceptualized as mechanism to facilitate sustainable human development.

In terms of the functions of the Secretariat therefore, mainstreaming cuts across providing advocacy and information to a variety of partners, embraces several aspects of capacity building with respect to working with partners and also all aspects of the fostering of new partnerships to promote the centrality of biodiversity and biosafety. Over the coming three biennium, mainstreaming is likely to increase in importance for the Secretariat in light of the need for Parties and UN organizations and others to begin to demonstrate their progress toward the attainment of the Strategic Plan and the Aichi Targets.

5.3.3 Support for Implementation

A major comparative advantage of the Secretariat relates to its ability to support the implementation of the Convention as a whole and the Strategic Plan and the Aichi Targets by Parties themselves. This is fundamentally different from Mainstreaming, another of the Secretariat’s comparative advantages in that support for implementation is largely focussed on working with Parties themselves to assist them in their internal work, planning and programmatic alike. The focus of implementation should be to support national-level engagement (of any kind). By contrast, mainstreaming would deal with both international policy and national-level policies. In any case, these two functions, which when taken together will constitute the lion’s share of the work of the Secretariat through the balance of the Decade need to be well coordinated through internal management planning so as to guard against the tendency to develop organizational siloes.

Equally, it is import to stress that Universalia assumes that “Implementation” does not imply an equal concentration of efforts on each of the 20 Aichi Targets. The electronic survey of national Focal Points clearly showed a strong commitment for Parties themselves to better priorities the work in support of the Convention as a whole, and the Aichi Targets in particular. While it would be improper for the SWCBD to attempt to prioritize the Targets itself, the SCBD has a moral and ethical responsibility to advise the Parties about its strengths and limitation so that they can better align program to work to maximize the support that the Secretariat can provide them.

Foremost among implementation-related opportunities are the support that the Secretariat gives to Parties to develop their NBSAPs. The Secretariat has the opportunity of reaching beyond traditional lines of contact toward sub-national and municipal levels of government so as to begin awareness raising among all levels of government. The NBSAP process at the level of individual countries can be conceptualized as a sort of national level version of the Aichi Targets. The NBSAP in essence, is the national roadmap which Parties use to chart their own course with respect to their activities in support of the Convention as a whole, its Protocols and now the Aichi Targets. The Secretariat plays a crucial role and has a unique comparative advantage in having direct access to every Party. Its role, while largely focusing on strengthening the capacity of developing countries to be able to craft and subsequently implement NBSAPs is broader. It has an equally important role in ensuring that more developed countries assume their responsibilities as well, coming to the recognition that biodiversity and biosafety transcend the traditional view of environmental issues, reaching toward a more holistic recognition of the centrality of biodiversity and biosafety to sustainable human development as a whole.

The Secretariat already has begun to undertake efforts to strengthen the capacity of Parties to engage in domestic level resource mobilization which in fact involves working with the economic and planning ministries of most national governments to raise their awareness of the importance of biodiversity considerations in the development of national strategies. To a great extent therefore, the Secretariat’s work in supporting the development of NBSAPs is crucial to the overall need to increase the mainstreaming of biodiversity at the national and by extension, sub-national levels.

For the Secretariat, this implies focussing its efforts directly toward assistance that will enable Parties to undertake their responsibilities. While capacity building in respect to the Strategic Plan, the Targets and the Cartagena and Nagoya Protocols, would figure largely in this set of responsibilities, there are other areas of equal importance.

Assisting Parties in internal resource mobilization, largely through the allocation of national resources is a crucial element in the support for implementation in general. Resource mobilization has many dimensions. In its most basic form, it implies for the Secretariat assisting Parties in raising the awareness among all levels of government, of the need to integrate biodiversity and biosafety considerations into the national fiscal planning framework. This recognizes the inherent linkages between biodiversity considerations and forms of economic production. Other aspects of resource mobilization are more direct.

Given the historic patterns of funding for the Convention and the Secretariat, the Secretariat has been faced with long-standing patterns of insufficient resources to meet all of the demands placed upon it. Voluntary resource mobilization from Parties and potentially other actors therefore becomes a significant task for the Secretariat. The Secretariat is uniquely positioned to engage in voluntary resource mobilization for itself given its reputation as a honest broker. However, the Secretariat is also challenged to ensure that the voluntary resources it mobilizes for its own programs are directed toward the most significant priorities. Finally, the Secretariat has a comparative advantage in attempting to catalyze resource mobilization by others. In this context, the Secretariat can play a role in encouraging other elements of the United Nations to assume their own responsibilities; a form of indirect resource mobilization. As well, the Secretariat is uniquely positioned to reach out to non-traditional actors, philanthropies and/or the private sector to raise their awareness of the importance of biodiversity to sustainable human development in general and thereby catalyze additional investments by these actors in their own on-going programming.

One of the major challenges with Parties at all levels of socio-economic development relates to the difficulties in raising biodiversity and biosafety considerations into the national debate and into the policy and programmatic framework of governments. In this context, the legal work of the Secretariat may be best considered in the context of support to Parties to better enable them to meet their legal responsibilities. To this extent, there is somewhat of a minor overlap between Mainstreaming and support for implementation. However, this overlap also shows the complexity of the challenges inherent in the quest for the attainment of the Strategic Plan.

As was indicated earlier, the Secretariat cannot nor should not be considered to be the exclusive source for support for biodiversity; nor should it be considered the sole authoritative information source. In this context therefore, it is essential that the Secretariat play an intermediary or catalytic role with other elements of the international community. The Global Environment Fund (GEF) is arguably the most substantial source of multi-lateral support for environmental considerations in general. While the Secretariat has had a fruitful history of working with the GEF, more could be done to foster a deeper partnership. Herein, given the facilitative nature of the Secretariat and the fact that for the most part it is not designed to deliver specific scientific programming, the Secretariat has a comparative advantage in working with the GEF as an honest broker and interlocutor. The Secretariat's comparative advantage in monitoring, combined with its recognized role as a convening body gives it unique insights into global demands and the ability to synthesize these demands.

Support for providing on-line resources also is a crucial element. In this context, it is important to recognize that the Secretariat itself cannot, nor should not, be considered to be an authoritative source for all aspects of scientific and technical information. Its size simply makes this an impossibility, as does the current range of technical specialities that the Secretariat currently possesses. It is clearly evident that others, within the United Nations system and without, possess

superior technical knowledge with respect to the variety of disciplines and pursuits that constitute biodiversity and biosafety considerations. To that end, the comparative advantage of the Secretariat is that of a clearing house, as opposed to an on-line comprehensive information source. In this regard, the role of the Secretariat in relation to information management becomes one of being like a forum or a market place, a place to find the best that others can contribute. This implies that the Secretariat faces a challenge of working with partners and encouraging them to either directly post information or provide links so as to access it. In this way, the Secretariat becomes a sort of library card catalogue as opposed to a Wikipedia. This also implies that while the Secretariat would maintain these clearing house instruments, they could not nor should not be expected to update content on their own volition. Updating therefore becomes the responsibility of those who have provided the information.

Turning to capacity building, the historic tendency of conducting face-to-face workshops will need to be refreshed so as to increase the scope of capacity building while doing so within reasonable budgetary limitations. New approaches are already being explored by the Secretariat such as greater use of information technology and improved communications, for example, using webinars to augment traditional physical seminars. Webcasting also reflects a more contemporary approach to reaching out beyond traditional means. In this way, as the Decade progresses, the Secretariat should be able to reach out to more representatives of Parties so as to broaden its ability to support implementation. In essence, the Secretariat would begin to introduce more cutting edge approaches to on-line learning.

While capacity building would be focused largely toward support for individual Parties, or groups of Parties, the Secretariat also has other training related responsibilities. These can include providing capacity building or information sharing with UN agencies so as to either orient them or strengthen their capacity to respond to the challenges that they may face with respect to biodiversity or biosafety. However, the Secretariat will need to exercise care in defining the nature of such support so that it does not overlap efforts to promote mainstreaming. In this context therefore, mainstreaming activities would relate to advocacy and partnership building while support for implementation would address more practical concerns.

5.3.4 Monitoring

A further comparative advantage of the Secretariat over the balance of the Decade lies in the area of monitoring. However, the Secretariat alone cannot nor should not be exclusively responsible for monitoring.

Monitoring, in this context, is multi-dimensional. The Secretariat is uniquely placed to be the nexus for all monitoring-related activities conducted by a variety of bodies, both elements of the United Nations and Parties themselves. In terms of United Nations functions, monitoring and mainstreaming go hand in hand. The Secretariat, given its central role as the principle support arm for the Conference of Parties, can and should play the coordinating and amalgamating function with respect to the synthesis of the reporting conducted by other UN bodies. In so doing, the Secretariat can provide Parties with more easily accessible information and can also provide needed synthesis and analytical services in order to be able to provide Parties with “the big picture”. This latter support service is clearly required if Parties are to be able to have a more comprehensive awareness of the pace of implementation.

One of the most important monitoring-related activities focuses on the national reports which Parties are committed to providing. Implicitly, these national reports should be derived from performance in relation to the goals and objectives which have been set out in individual NBSAPs. The Secretariat's role herein is dual.

First, and most obviously, the Secretariat can perform a synthesis and coordination function with respect to the national reports themselves. This however, is a fairly traditional and somewhat passive function.

Second, just as the Secretariat should strive to increase the level of cross-governmental participation in the NBSAP process which was described earlier concerning mainstreaming, the Secretariat can play a more active challenge function with Parties, by both qualitatively reviewing national reports and also providing capacity building to Parties, on demand, so as to strengthen their individual abilities to more conclusively report on biodiversity and biosafety considerations and achievements. This latter role demonstrates the transverse nature of the monitoring activity and the degree to which monitoring can be a proactive mechanism involving strengthening national Parties, and others.

In relation to the Secretariat's comparative advantage with respect to monitoring, not only is the Secretariat the most appropriate mechanism for Parties to turn to, its lengthy history of being independent from any particular body in terms of strategic direction, and its role as an honest broker with respect to its extensive functions in support of the Conference of Parties and other entities, allows it to be seen as relatively impartial. Its long-time provision of capacity building services also uniquely positions it to further support Parties and others so as to strengthen their own monitoring and subsequent reporting.

5.3.5 Other Areas of Responsibility

The foregoing has presented four salient comparative advantages of the Secretariat. To fulfill their implications would necessarily require some degree of redirection of other aspects of work of the Secretariat so as to ensure that these four functions can fully support Parties. Several of these current areas of responsibility relate to the coordination of scientific and technical information.

The Secretariat, given its size, cannot nor should not be expected to be a definitive source for scientific and technical information. At present, the Secretariat, at the direction of COP, provides such support in specific contexts for example, related to inland waters and marine matters, and climate change considerations to name only several. In a number of instances, the SCBD has begun to develop an outsourcing approach to the provision of technical and scientific information, recognizing the inherent difficulties in maintaining a sufficient degree of professional capacity. These however, are clearly only a narrow slice of the complete range of scientific and technical information with respect to biodiversity and biosafety considerations. Both to some respects could be seen as the responsibility of other entities in the United Nations system, either individually or collectively. This anomaly is a clear example of the necessity to promote mainstreaming across the United Nations so that organizations that have significant resources can be harnessed in support of specific scientific or technical matters. In this light, the balance of the Decade would see a Secretariat moving more toward facilitative and coordinative roles.

These considerations with respect to the provision of subject-specific scientific and technical information can be used to demonstrate a new approach to establishing operational level partnerships with institutions that already possess the required expertise. For the last several years, the Secretariat has considered such partnerships within the context of "contracting out"/ "outsourcing". However, over the upcoming biennium, the Secretariat can expand this notion from simply contracting, to the establishment of a true partnership. In this way, the decisions of COP to request specific normative or scientific and technical information can be better served, with the Secretariat playing a coordinative and convening role, along with providing contextually relevant value-added elements such as the relationship between the particular matter in question and the Strategic Plan and the Aichi Targets. Necessarily adopting a more partnership-based approach will have internal implications.

At present, the Secretariat has established two relatively small sub-units to serve each of the Cartagena and Nagoya Protocols. These very important functions however, are not in effect, ends in themselves, although in the short-term the ratification of the Nagoya Protocol is of crucial significance. In terms of biosafety, the Strategic Plan for Biosafety contains specific reporting requirements for signatory Parties. These requirements, while subject-specific, are inherently related to the overall monitoring function. Therefore, the on-going work in support of these Protocols is, in essence, subsumed in the four areas of comparative advantage.

Earlier Findings discussed some of the shortfalls that presently exist with respect to the Secretariat's approach to Knowledge Management and Information Services. These functions are crucial, given contemporary trends. However, the Secretariat's current approaches, as noted earlier, do not appear to be sufficiently flexible. Just as the Secretariat should not be considered to be an exclusive source for scientific and technical support, nor should it attempt to create all-encompassing information systems. Rather, given the other comparative advantages of the Secretariat, it would appear that its role with respect to Information Management should be that of a clearing house or a platform on which others can build and provide the specific technical or scientific information. In this context therefore, the Secretariat's approach to Knowledge

Management would in essence be analogous to its convening function – providing the platform on which others can interact. This inherently involves the Secretariat transforming its approach to Knowledge Management, recognizing that content in itself is probably secondary to playing a facilitative role to encourage others to use Secretariat platforms as a form of an open community of practice.

6 Proposed Medium Term Operational Results Framework

From the outset, this assignment contained a commitment to develop an initial Corporate Results Framework for the Secretariat. This commitment was ratified by the Secretariat on two occasions, first when the Inception Report was accepted and second, when the management team of the SCBD actively took part in the design of an early version of this Framework.

This commitment was in large part due to the diagnostic activities throughout the Functional Review. These diagnostics confirm Universalialia's analysis, expanding on issues such as prioritization and focus which were central in both the external electronic survey and the series of key stakeholder interviews.

In short, the drumbeat of requests for the Secretariat to strengthen its sense of the whole as opposed to an amalgam of parts, combined with near unanimous requests for the Secretariat to apprise Parties of its strengths, or put another way, its comparative advantage or niche, along with requests that the Secretariat suggest priorities for its actions, further confirms the benefits of establishing some form of intellectual framework on which to ground decision-making within the Secretariat.

Two sets of workshops with the management team ensued. The Heads of Unit and the Executive Secretary came together to address issues such as the various strengths (or most important functions) of the Secretariat's units, the nature of the Aichi Targets themselves in relation to the work of the Secretariat and the identification of the most important types of work that the Secretariat either currently performs or should perform to support the attainment of the Aichi Targets.

These workshops also concentrated on the kinds of functions undertaken by the Secretariat in support of either COP decisions or by extension, support for the attainment of the Aichi Targets. There was general consensus that the role of the Secretariat, with the possible exception of external communications, was that of intermediation, supporting Parties, catalyzing Parties and others, or providing fora for Parties and others, in their individual and collective efforts to meet their Aichi Targets.

It is necessary for a moment to address an issue of strategic focus that was raised by many of the key stakeholders. Strategically, the management of the Secretariat recognized that for the balance of the Decade, their long-term strategic mission was to support the achievement of the Strategic Plan on Biodiversity, the Strategic Plan for Biosafety and the attainment of the Aichi Targets.

It is important again to underscore that the Medium Term Results Framework presented below does not prioritize the Aichi Targets. Just as the proposed listing of Secretariat Comparative Advantages presented in the immediately preceding section, this exercise is designed to highlight areas where the Secretariat has a comparative advantage and where given its capacities, it can best serve the Parties. This Framework therefore is designed to not only strengthen the management and delivery capacity of the Secretariat, it is also designed to advise the Parties of the comparative strengths of the Secretariat so that Parties themselves may come to recognize how to best harness these strengths.

The implication of this strategic recognition for the balance of the Decade therefore has considerably influenced the following Results Framework.

The Framework consists of three hierarchies:

- 1) **Goals:** High-level objectives for the Secretariat. Only six have been identified.
- 2) **Objectives:** Objectives in this context are a somewhat subordinate level of result which speaks to aspects of the attainment of the larger Goal. Like Goals, they are cast in the classical language of Results-Based Management in terms of what the Objective wishes to change, improve, introduce or strengthen. They do not contain in themselves statements of what would be done to do so.
- 3) **Activities:** Activities to be included in this suggested Results Framework will be expressions of broad general kinds of work that are undertaken to achieve the stated Objectives. They are means and not ends. The specific activities that correspond to each Goal and Objective should be determined by the Secretariat after further consultation and finalization of the Comparative Advantages of the SCBD so as to translate thematic considerations in practicalities.

This differentiation between ends and means needs to be emphasized. During two sets of managerial workshops much of the discussion focussed on the means by which the Secretariat would achieve various Goals. One of the most important strategic managerial challenges for the balance of the Decade will be to differentiate whether a particular type of work in the Secretariat actively contributes to attaining one of its Goals. Is it a means to an identified end; or simply an end in itself?

The Results Framework presented below contains a specific Goal related to the internal management of the Secretariat. Experience with similar frameworks shows a diversity of opinions with respect to the inclusion of an internalized goal. Although a case can be made that such a goal is implicit and therefore not formally necessary, it is equally important to recognize that the Secretariat needs a results-based anchor on which to plan and manage. It also needs an ability to better articulate internal managerial improvements. For example, during staff workshops and other fora with all members of staff, it became evident that there were gaps in the way the Secretariat planned and managed training and internal capacity building activities. The new Results Framework below would provide a degree of consistency. Equally, an internal goal such as that proposed is highly symbolic from the perspective of improving staff morale in that it recognizes the importance of the staff as the most important resource that the Secretariat as a whole possesses.

The Results Framework below also includes a suggested version of a Vision for the Secretariat and a Mission Statement for the balance of the Decade.

Both are important elements of any classical results framework in the fact that they anchor an organization to its most significant reasons for being in both the practical and conceptual sense. The suggested Vision and Mission for the Secretariat draws its inspiration from the Strategic Plan for Biodiversity and from the Strategic Plan for Biosafety.

Exhibit 6.1 Suggested Vision for the SCBD 2014-2020

| Suggested Vision for the SCBD 2014-2020 Supporting the recognition of the centrality of biodiversity and biosafety for sustainable human development | | |
|---|--|---|
| Suggested Mission of SCBD 2014-2020 The Mission of the SCBD is to undertake the functions assigned by Article 24 of the Convention with additional focus of facilitating and supporting the Parties in their efforts to implement the Strategic Plan for Biodiversity 2011-2020, the Strategic Plan for Biosafety 2011- 2020, and to achieve the Aichi Targets. | | |
| Operational Goals | Related Objectives | Related Types of Activities (to be completed at a later date) |
| 1 Support Parties to set the global agenda for biodiversity and biosafety | 1.1 Provide a convening platform for actors to share information, build consensus and take decisions on biodiversity and biosafety | |
| | 1.2 Provide support to the normative function of the Conference of Parties | |
| 2 Promote the “mainstreaming” of biodiversity and biosafety into the global development agenda | 2.1 Broaden awareness among UN members and organizations of the value of biodiversity and biosafety to the post 2015 global development agenda | |
| | 2.2 Broaden awareness and understanding of the intrinsic values of biodiversity and biosafety among general audiences and civil society | |
| 3 Support Parties in their efforts to integrate biodiversity and biosafety into national development planning processes and | 3.1 Foster increased recognition of the value of comprehensive national policy instruments that integrate biodiversity | |

| Suggested Vision for the SCBD 2014-2020 Supporting the recognition of the centrality of biodiversity and biosafety for sustainable human development | | |
|---|--|---|
| Suggested Mission of SCBD 2014-2020 The Mission of the SCBD is to undertake the functions assigned by Article 24 of the Convention with additional focus of facilitating and supporting the Parties in their efforts to implement the Strategic Plan for Biodiversity 2011-2020, the Strategic Plan for Biosafety 2011- 2020, and to achieve the Aichi Targets. | | |
| Operational Goals | Related Objectives | Related Types of Activities (to be completed at a later date) |
| national resource allocation processes, including the relevant national reporting formats | 3.2 Provide mechanisms for promoting full integration of biodiversity and biosafety considerations into the economic, social and political practices of Parties and key stakeholders | |
| | 3.3 Increase knowledge and awareness among Parties to keep track of progress toward the implementation of the Strategic Plan on Biodiversity and the fulfillment of the Aichi Targets and the Strategic Plan for the Cartagena Protocol on biosafety, as appropriate | |
| 4 Foster increased general awareness of the values of biodiversity including biosafety among the public at large and civil society | 4.1 Broaden awareness and understanding of the value of biodiversity and biosafety to general audiences and civil society as a whole by gathering and disseminating information | |
| 5 Support Parties in their efforts to update and implement their NBSAPS and collectively achieve the goals | 5.1 Strengthen Parties in their implementation capacity by highlighting lessons learned from successful case studies | |

| Suggested Vision for the SCBD 2014-2020 Supporting the recognition of the centrality of biodiversity and biosafety for sustainable human development | | |
|---|--|---|
| Suggested Mission of SCBD 2014-2020 The Mission of the SCBD is to undertake the functions assigned by Article 24 of the Convention with additional focus of facilitating and supporting the Parties in their efforts to implement the Strategic Plan for Biodiversity 2011-2020, the Strategic Plan for Biosafety 2011- 2020, and to achieve the Aichi Targets. | | |
| Operational Goals | Related Objectives | Related Types of Activities (to be completed at a later date) |
| of the Strategic Plans for Biodiversity and Biosafety and the Aichi Targets | 5.2 Contribute to knowledge management of practices and projects used to maintain and subsequently implement NBSAPS | |
| | 5.3 Broaden awareness and understanding of the centrality of NBSAPs as the national planning tool to promote biodiversity and biosafety among general audiences and civil society as a whole | |
| | 5.4 Increase knowledge and awareness among Parties of the degree of progress toward the attainment of the goals set in their NBSAPs and by extension the Aichi Targets | |
| 6 Strengthen the capacity of the Secretariat and its staff and managers to support Parties in advancing the Goals and Targets of the Convention and its Protocols, in implementing COP decisions and in monitoring overall progress | 6.1 Foster increased internal communications, information sharing and dialogue among the staff and managers of the SCBD | |
| | 6.2 Increase programmatic efficiency and effectiveness | |
| | 6.3 Strengthen the organization's capacity to respond to new challenges | |

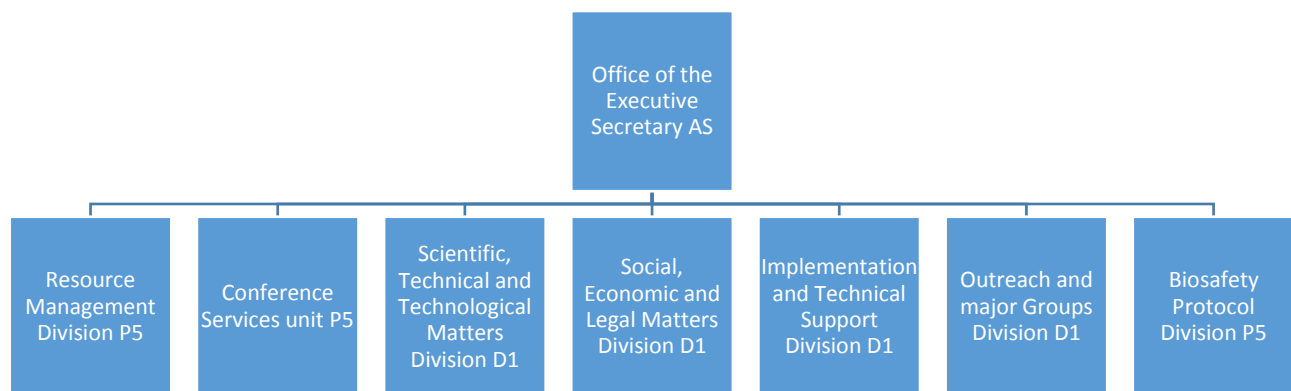
| Suggested Vision for the SCBD 2014-2020 Supporting the recognition of the centrality of biodiversity and biosafety for sustainable human development | | |
|---|--|---|
| Suggested Mission of SCBD 2014-2020 The Mission of the SCBD is to undertake the functions assigned by Article 24 of the Convention with additional focus of facilitating and supporting the Parties in their efforts to implement the Strategic Plan for Biodiversity 2011-2020, the Strategic Plan for Biosafety 2011- 2020, and to achieve the Aichi Targets. | | |
| Operational Goals | Related Objectives | Related Types of Activities (to be completed at a later date) |
| | 6.4 Strengthen the capacity of staff and managers to respond to the Secretariat's priorities and requests placed upon it | |

7 Suggested Basic Organizational Architecture

From the outset of this Functional Review, there has been an expectation that one of the eventual outcomes of the process would relate to addressing the organizational design of the Secretariat. Early on in the process, it became apparent to both Universalis and the management of the Secretariat that issues related to organizational design should best be cast not in terms of a static desk audit of existing positions. Rather, given that the challenges facing the Secretariat largely relate to articulating its roles and responsibilities and its areas of comparative advantage, it would be beneficial to first address these truly functional issues and only then move toward developing an organizational design that would complement a strategic position for the Secretariat as a whole.

Before moving to the presentation of an organizational design model, it is best to look back at the evolution of the organizational structure of the Secretariat. An earlier consulting report developed in 2007, laid out the then organizational design. The Exhibit below shows a very flat organizational design with some seven sub-units. This design had its genesis in Decision COP VIII/31.

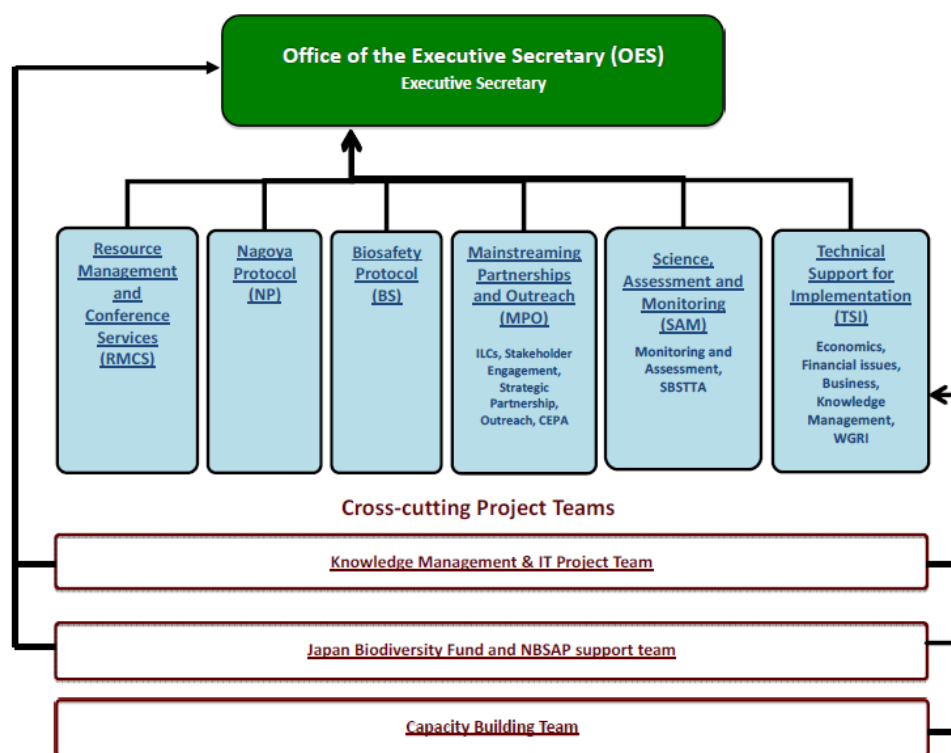
Exhibit 7.1 Organization Chart of the Secretariat to the Convention on Biological Diversity – 2007



This design however, pre-dated the promulgation of the Strategic Plan on Biodiversity and the Aichi Targets. As earlier elements of this Functional Review have highlighted, these two instruments have constituted a watershed with respect to the future of the Convention on Biodiversity as a whole. They have given sharp focus to the long-standing aspiration of Parties to place greater emphasis on what is generally called “implementation”.

The appointment of a new Executive Secretary in early 2012 resulted in conceptual as well as organizational changes for the Secretariat. Conceptually, the new Executive Secretary underscored the commitment to more focus the work of the Secretariat on support to Parties in their quest to implement. The role of the Secretariat as an agent to support implementation by Parties and not as an implementing agent itself was underscored. The new Executive Secretary, in 2012, instituted a number of provisional changes to the organizational design of the Secretariat, largely concentrating on the formation of ad hoc project teams. This ad hoc approach however, as has been described earlier in this Function Review, encountered conceptual as well as managerial challenges. These temporary arrangements did not sufficiently address issues related to internal overlaps which have resulted in loss of efficiency and an inability to foster internal synergies. The Exhibit below presents the current organizational structure during the review period.

Exhibit 7.2 Overall Structure



As earlier Findings showed, it is evident from this design and from supporting position-by-position descriptions that overlaps and duplications remain. There is a lack of clarity with respect to the management of crucial information systems, electronic clearing houses and other Management Information Systems (MIS) used by the Secretariat. Capacity building functions, crucial to support Parties in their implementation of the Aichi Targets and their necessary work related to NBSAPs are fragmented across several units. Internal task forces, established by the new Executive Secretary in late 2012, pointed out specifically “SCBD training and capacity building activities are currently delivered in a piece-meal manner with limited coordination and collaboration among different divisions and programs within the Secretariat”.

Equally, crucial monitoring functions are divided between several units thereby again reducing the possibilities for synergies and better internal use of resources to meet ever changing requirements.

7.1 Linking Form to Function

The following presents a suggested basic architecture for the Secretariat. This proposed design also reflects the areas of comparative advantage and the Medium Term Results Framework which have been developed for the Secretariat by Universalia, linking form to function. This Plan recognizes that the upcoming biennium, 2014-2016, is likely to be a period of transition for both the Parties to the Convention and the Secretariat. Accordingly, this basic architectural design proposed by Universalia should not be construed to be final. Rather, based on feedback from the upcoming COP to be held in Korea, it is likely that some alterations might ensue in terms of allocation of functions across sub-units.

A new organizational design for the Secretariat should be focussed around the four areas of comparative advantage that were introduced earlier in this Medium Term Operational Plan, integrating all the specific individual functions and tasks that relate to:

- Convening Functions
- Mainstreaming Functions
- Support for Implementation Functions
- Monitoring Functions

As well, there would naturally need to be a continuation of a centralized administrative and conference support element.

One specific set of responsibilities however requires a more detailed explanation. Earlier Findings demonstrated the structural and programmatic gaps with respect to the management of Information Systems in general and Knowledge Management within the Secretariat as a whole. The current ad hoc approach, while constituting an effort to better integrate these functions and maximize the potential for synergies, has not fulfilled these expectations. Accordingly, while Universalia at present has not recommended any degree of detail with respect to the specific organizational structure to embody the notion of four functional operational centres, with respect to IT and KM, Universalia specifically recommends their integration into one unit Information Technology and Knowledge Management, led by one manager.

8 Suggested Internal Renewal

8.1.1 New Internal Planning Tools

Universalialia has found that the Secretariat at present operates within a traditional approach to resource allocation, largely on the basis of the decisions made at each biennial COP. This results in input control and a very conservative approach to programmatic stewardship via reporting on individual outputs of decisions. This approach does not reflect contemporary trends in the United Nations system which favour a more outcome-oriented managerial system, based on the paradigm of seeking more information about what difference an organization has made as opposed to simply what it has done. The implications of the Strategic Plan and the Aichi Targets result in a different kind of planning universe, one now more driven by what has changed or improved and less driven by what is simply done. In short, from a managerial perspective, the Strategic Plan and the Aichi Targets imply the need to bring the principles on which Results Based Management is based to the planning paradigm of the Secretariat.

Accordingly, a Medium Term Operational Results Framework has been recommended by Universalialia. This new Results Framework will enable the Secretariat to more carefully plan its work and to better report on its programmatic stewardship. Such a Medium Term Plan should include a Secretariat-wide resource mobilization strategy so as to close gaps that exist with respect to the current ad hoc approach to voluntary resource mobilization in the period of time between COPs.

Turning to the day-to-day management of the Secretariat, for a results-based framework such as that described above to be effective, it must be translated into individual unit work planning, again transforming the planning from being input control driven towards being results driven, namely how the work of any particular unit contributes to the larger goal. Introducing such an approach to internal planning will improve the internal focus of the Secretariat and better inform the management of the Secretariat with respect to its organizational performance.

8.1.2 Improving Internal Dialogue and Communications

Earlier Findings in this Functional Review showed the extent to which staff were of the view that internal communications and dialogue within the Secretariat were less than optimal and resulted in barriers to effective performance.

It is all too easy to simply suggest new approaches to internal communication to address issues such as these. Universalialia however, is of the view that what staff expressed was less related to simply sharing information from management to staff, and more about promoting dialogue and synergies among staff.

To this end, Universalialia identified a tendency among staff themselves to compartmentalize, viewing their roles fairly narrowly and largely in the context of their sub-unit and not their contribution to the Secretariat as a whole. This is only natural given the current compartmentalized structure of the Secretariat. However, Universalialia's proposals with respect to the articulation of cross-cutting comparative advantages, combined with an organizational design that would mirror these comparative advantages, result in an opportunity to break down barriers that have existed.

While the Secretariat, over the last several years, has engaged in a number of consultative processes with staff, there remains a degree of apprehension about the transparency of these processes. Accordingly, should decisions be taken to go forward in whole or in part with the designs that Universalialia has proposed, it will be essential for the Secretariat to find new ways of engaging staff in the renewal process. For example, it would be beneficial for a staff-management forum to be established to advise the Executive Secretary on an on-going basis about staff issues. This forum

clearly would need strong representation from the existing Staff Association. However, Universalialia suggests that such a forum not be limited to only representatives of the Staff Association.

8.1.3 Strengthening Managerial Capacity

Universalialia's proposals with respect to the articulation of the Secretariat's comparative advantages, their translation into a new Results Framework and a refreshed organizational design where "form follows function", cumulatively result in considerable conceptual and managerial challenges for the Secretariat as a whole and for its management team in particular. In renewal processes such as these, there is a natural tendency to focus on concrete matters and especially organizational design issues. Such however tends to overlook the more subtle changes in behaviours that are equally if not more important for the transformation of an organization. Universalialia's proposals not only would transform what the Secretariat does and how it is structured, implicitly they also would change how the Secretariat conceptualizes itself and how it internally functions.

The suggested organizational design that Universalialia has outlined earlier in this Functional Review probably will lead to the need for fewer, rather than more, management positions. This in itself will constitute a considerable challenge to effect, given UN-wide human resource management practices. Nevertheless, it is essential to emphasize that successful transformations such as this will require the transformation of the management team, in effect, an organization's leaders. It is not reasonable to assume that the effects of transformation fall primarily on members of staff and not equally on managers.

Universalialia's proposals would result in a new approach to managing within the Secretariat. This new approach would be less driven by subject-specific structures and more based on cross-cutting and holistic approaches to addressing complex issues and forging new relationships. Indeed, the suggested comparative advantages of mainstreaming and monitoring tend to imply that new skill sets will be needed so as to equip a management team to meet less specifically technical or scientific challenges, and challenges more related to activities such as liaison and coordination with others, partnership formation and, most importantly, breaking down historic internal barriers within the Secretariat (the tendency for subject-specific compartmentalization) which was identified during the data collection phases of this Review.

Universalialia recommends that the Secretariat set aside sufficient resources to mount a process of managerial capacity assessments, followed by managerial training so as to fill gaps in skills and understanding. In terms of managerial capacity assessments, the 360 degree individual and peer capacity assessment process probably would benefit the Secretariat collectively and individual managers. Such assessment processes are designed as means to strengthen capacity and not assess individual professional performance. These assessments, widely used in the private sector to build management team capacity, focus on identifying the management skills which an organization requires, a set of management competencies that are unique for each organization. Multi-rater approaches where peers, subordinates and superiors all rate each other have been proven to provide individual managers with a holistic perspective of strengths and challenges.

Following such an assessment, individual and team management capacity building programming can be introduced. In this way, the managerial capacity building is demand-driven, focusing on the needs identified through the managerial capacity assessments, and not supply-based. In many instances, management training tends to be driven by the supply of services at hand, regardless of whether they reflect the needs of the organization and its managers.

A process such as this is not without its costs, however. Universalialia is of the view that the success of the transformation that it proposes rests to a large degree in the capacity of the management team of the Secretariat to respond to the multi-dimensional challenges that transformation and change inherently bring about.

9 Implementing These Proposals

To implement a re-focusing of the Secretariat toward the four major comparative advantages described above will require the Secretariat to revisit long-standing management practices so as to sharpen its results focus and to ensure the maximization of the present human and financial resources allocated by COP. Universalialia has made proposals with respect to these matters.

Such a managerial transformation however cannot be implemented overnight. It will require a transitional biennium so as to begin to put in place new managerial tools and an appropriate and refreshed organizational structure.

9.1 Transition and Change

The renewal of the Secretariat which is inherent in the articulation of its comparative advantages, a new Results Framework and a new organizational design, will be a complex and sensitive process. Such organizational transformation requires a relatively prolonged period of implementation. In this instance, Universalialia recommends that the 2014-2016 biennium be used to effect a process of transformation, through a systematic change management exercise.

At the time of writing (September, 2014) Universalialia's proposals have yet to be fully considered by the management of the Secretariat. While there has been general consensus about overall direction, fine tuning will be required to better articulate the Secretariat's comparative advantages, the building blocks for this renewal process. The upcoming COP may provide an early opportunity for the Secretariat to seek overall direction. Therefore, it is reasonable to assume that the articulation of these building blocks will be an iterative process for some time.

Utilizing the principle that "form follows function", it is likely that the development of a more effective organizational design will as well be a process of short-term experimentation, followed by regularization. In our estimation, it would be unwise to begin a process of substantive organizational renewal until clarity has been provided with respect to the articulation of the comparative advantages of the Secretariat. For example, while Universalialia has proposed that mainstreaming and implementation be identified as two defining characteristics and comparative advantages, concepts such as these will need to be fleshed out over the coming months. Only then can a process of organizational design begin to fully take shape.

Accordingly, it is also very likely that this degree of transformation will result in uncertainties, both in relation to staff perceptions and the views of the stakeholders who work with the Secretariat on a daily basis. The management of change is frequently overlooked in organizational transformations, in lieu of more mechanistic processes such as post-by-post design. The effect of Universalialia's proposals will be to undertake a root and branch conceptualization of the Secretariat which will lead to a substantive reorganization. Universalialia recommends that immediately in the wake of receiving COP's views with respect to the future direction and organization of the Secretariat, the Executive Secretary appoint one of the members of the management team to assume responsibilities for the overall coordination of the transformation process and also to assume the functions of a Change Management Coordinator.

It is essential to have clear lines of authority during a transformation such as that envisaged herein. It is not reasonable to attempt to have multiple lines of authority or to artificially sub-divide tasks and responsibilities. Doing so results in increased risks of mixed messages and lack of focus. As well, such an internal Coordinator can ensure consistent messaging and communication with the staff.

This change process necessarily will impact on the members of staff of the Secretariat. Change in itself is normally seen by members of staff to be threatening not only in relation to the maintenance of their individual employment, but also to their sense of themselves in terms of professional worth. The survey of members of staff conducted for this Functional Review points toward a relatively persistent degree of apprehension of change and of the intentions of the management of the Secretariat, balanced with a relatively strong degree of confidence in the bona fides of the Executive Secretary himself and in the overall benefits that might accrue through an organizational transformation. Therefore, care will need to be taken to work continuously with staff during the transformation process so as to engage them and not simply impose. In this context, the expression “people tend to support that which they themselves have designed” might become a maxim for the transformation process that Universalialia has presented.

9.2 Suggested Implementation Plan

As noted at the inception of this Report, it has been developed largely as a strategic level roadmap and not a step-by-step workplan, or post-by-post description. That said, it is important to develop a timeline so as to demonstrate the magnitude of the tasks involved and by extension, the degree of on-going managerial commitment to change that will be required.

9.2.1 Step 1- Getting Ready for Renewal

Immediately after COP, the Secretariat should begin to operationalize this Plan by looking in the balance of 2014 toward the implications of the listing of comparative advantages of the SCBD, and the accompanying Medium Term Results Framework. One of the first tasks will be to develop a consensus on the issues related to comparative advantages and unique niches; so these fundamental characteristics can be translated into the Results Framework. Only then, issues related to organizational design be satisfactorily addressed. Initial steps toward overall reorientation should be commenced by the end of 2014. At that time and as part of the Change Management Process suggested above, a “priority list” would need to be developed to more carefully map out the transition process as a whole.

9.2.2 Step 2 - Developing the Detailed Design

In early 2015, consideration should be given to developing a series of internal operating policies regarding partnership formation, the renewal of the information technology and information management approach of the Secretariat as a whole, the reorientation of capacity building (already underway) and the development of a new comprehensive and consolidated approach to monitoring. These new Secretariat-wide approaches should be in place by September, 2015.

9.2.3 Step 3 - Finalizing the Design



Subsequently and on the basis of nearly a year of experimentation, the Secretariat should begin to formalize a new organization design through the commencement of the renewal of the post descriptions for all positions. This exercise is likely to result in some degree of individual dislocation and care will need to be taken to ensure that members of staff are given every opportunity to participate in this process. This practical process should commence no later than September, 2015, with the view to having a fully developed new organization design ready by May/June 2016. In this way, it would be possible to submit to COP in 2016 lessons learned from nearly two years of progressive evolution and to present a post-by-post organizational design based not on “fixing problems of the past” but a proactive design targeted toward strengthening the capacity of the Secretariat for the balance of the Decade.

In conclusion therefore, the renewal of the Secretariat over the course of the next biennium is one which is based on a pragmatic series of consequential decisions that would build step by step to the articulation of a fully refreshed organization fit for purpose to meet today's and tomorrow's challenges.



Appendix I Summary of External and Internal Surveys

2014 Employee Web Based External Survey / Focal Point: National Government


Gender

| Response | Chart | Percentage | Count |
|------------------------|---|------------|------------|
| Female |  | 33.8% | 54 |
| Male |  | 66.2% | 106 |
| Total Responses | | | 160 |



In your present position do you engage the work of the Secretariat on an on-going basis?

| Response | Chart | Percentage | Count |
|------------------------|---|------------|------------|
| Yes |  | 94.3% | 150 |
| No |  | 5.7% | 9 |
| Total Responses | | | 159 |



What is your current relationship with the Secretariat to the CBD?

| Response | Chart | Percentage | Count |
|---|--|------------|------------|
| Focal point for my national government |  | 100.0% | 161 |
| Representative/advisor to a national or local/municipal government | | 0.0% | 0 |
| Representative of an agency of the United Nations or another type of multilateral organization including development banks and the facilities/funds established by them | | 0.0% | 0 |
| Representative of a NGO, a civil society group or a charitable group or philanthropy | | 0.0% | 0 |
| Representative of indigenous and local community organizations | | 0.0% | 0 |
| Representative of an academic institution or a member of an academic/science network | | 0.0% | 0 |
| Representative of a commercial enterprise | | 0.0% | 0 |
| Representative of ILCs | | 0.0% | 0 |
| Other (please indicate) | | 0.0% | 0 |
| Total Responses | | | 161 |







Did you participate in the most recent meeting of the Conference of Parties and or any intergovernmental meetings in any capacity?

| Response | Chart | Percentage | Count |
|------------------------|---|------------|------------|
| Yes |  | 69.4% | 109 |
| No |  | 30.6% | 48 |
| Total Responses | | | 157 |



Do your current responsibilities include ongoing functions related to the implementation of the Cartagena Protocol on Biosafety or the Nagoya Protocol?

| Response | Chart | Percentage | Count |
|------------------------|---|------------|------------|
| Yes |  | 69.2% | 108 |
| No |  | 30.8% | 48 |
| Total Responses | | | 156 |

How long have you been directly engaged with the Secretariat?

| Response | Chart | Percentage | Count |
|--|---|------------|------------|
| Less than one year |  | 13.8% | 22 |
| More than one year but less than three years |  | 20.0% | 32 |
| More than three years but less than five years |  | 10.0% | 16 |
| More than five years but less than seven years |  | 16.9% | 27 |
| More than seven years |  | 37.5% | 60 |
| I am not directly engaged in the work of the Secretariat |  | 1.9% | 3 |
| Total Responses | | | 160 |

Other than considering your current responsibilities, in the past have you had prior engagement with the Secretariat in any work-related capacity?

| Response | Chart | Percentage | Count |
|------------------------|---|------------|------------|
| Yes |  | 30.2% | 48 |
| No |  | 69.8% | 111 |
| Total Responses | | | 159 |

This set of questions asks you to consider the contemporary importance of the Convention on Biodiversity and the implications of the recently adopted Strategic Plan for Biodiversity 2011-2020.

| | Strongly Disagree | Disagree | Neither disagree nor agree | Agree | Strongly Agree | Don't Know/Not Applicable | Total Responses |
|---|-------------------|-----------|----------------------------|------------|----------------|---------------------------|-----------------|
| The challenges that face the implementation of the Convention on Biodiversity as a whole have been more profound than expected. | 2 (1.6%) | 10 (7.9%) | 10 (7.9%) | 62 (49.2%) | 38 (30.2%) | 4 (3.2%) | 126 |
| The Strategic Plan for Biodiversity 2011-2020 and the twenty Aichi Targets represent a concerted effort to better focus the overall implementation of the Convention to meet contemporary challenges. | 1 (0.8%) | 3 (2.4%) | 5 (4.0%) | 56 (44.4%) | 56 (44.4%) | 5 (4.0%) | 126 |
| The Strategic Plan for the Cartagena Protocol on Biosafety 2011- 2020 has introduced new approaches to the challenges inherent in the implementation of Cartagena Protocol. | 1 (0.8%) | 2 (1.6%) | 18 (14.4%) | 49 (39.2%) | 19 (15.2%) | 36 (28.8%) | 125 |
| To promote the achievement of the Aichi Targets, the COP will have to establish more specific priorities along with a work plan to achieve them. | 1 (0.8%) | 5 (4.0%) | 10 (7.9%) | 48 (38.1%) | 56 (44.4%) | 6 (4.8%) | 126 |
| The COP and other decision making bodies need to focus attention on a smaller number of strategic issues so as to better concentrate resources toward the achievement of the Aichi Targets. | 1 (0.8%) | 11 (8.7%) | 11 (8.7%) | 47 (37.3%) | 52 (41.3%) | 4 (3.2%) | 126 |
| More work needs to be done by COP to expand the range of global partnerships. | 1 (0.8%) | 6 (4.8%) | 16 (12.7%) | 50 (39.7%) | 43 (34.1%) | 10 (7.9%) | 126 |

| | Strongly Disagree | Disagree | Neither disagree nor agree | Agree | Strongly Agree | Don't Know/Not Applicable | Total Responses |
|---|-------------------|-----------|----------------------------|------------|----------------|---------------------------|-----------------|
| More work needs to be done by COP to enhance the depth of engagement of global partners. | 1 (0.8%) | 5 (4.0%) | 12 (9.5%) | 52 (41.3%) | 49 (38.9%) | 7 (5.6%) | 126 |
| More work needs to be done by COP to increase the level of participation by private enterprises to promote the implementation of the Convention as a whole and the attainment of the Aichi Targets. | 1 (0.8%) | 3 (2.4%) | 9 (7.1%) | 50 (39.7%) | 59 (46.8%) | 4 (3.2%) | 126 |
| More work needs to be done by COP to mobilize more financial and human resources. | 1 (0.8%) | 3 (2.4%) | 12 (9.5%) | 34 (27.0%) | 71 (56.3%) | 5 (4.0%) | 126 |
| More work needs to be done to integrate or mainstream biodiversity issues into the emerging global development agenda. | 1 (0.8%) | 2 (1.6%) | 3 (2.4%) | 36 (28.6%) | 79 (62.7%) | 5 (4.0%) | 126 |
| More work needs to be done to advance the ratification of the Nagoya Protocol and promote among Member States the adoption of the required national legislation or regulations, policy and administrative measures to implement the Protocol. | 3 (2.4%) | 4 (3.2%) | 12 (9.5%) | 49 (38.9%) | 48 (38.1%) | 10 (7.9%) | 126 |
| The Convention needs to shift focus towards supporting and monitoring implementation. | 1 (0.8%) | 10 (7.9%) | 10 (7.9%) | 47 (37.3%) | 52 (41.3%) | 6 (4.8%) | 126 |
| The COP needs to focus on reviewing implementation and providing feedback in an adaptive management mode. | 2 (1.6%) | 1 (0.8%) | 15 (11.9%) | 60 (47.6%) | 43 (34.1%) | 5 (4.0%) | 126 |

These questions ask you to assess the overall effectiveness of the work of the Secretariat, as well as the expectations of your government/organization to the Secretariat. A subsequent section will address specific activities.

| | Strongly Disagree | Disagree | Neither disagree nor agree | Agree | Strongly Agree | Don't Know/Not Applicable | Total Responses |
|---|-------------------|------------|----------------------------|------------|----------------|---------------------------|-----------------|
| The adoption of the Strategic Plan for Biodiversity and the Aichi Targets has changed the expectations by Parties about the responsibilities that the Secretariat must perform. | 1 (0.9%) | 9 (8.1%) | 28 (25.2%) | 44 (39.6%) | 17 (15.3%) | 12 (10.8%) | 111 |
| Since the adoption of the Strategic Plan for Biodiversity and the Aichi Targets, Parties expect more capacity building from the Secretariat, instead of supporting further decisions. | 2 (1.8%) | 7 (6.3%) | 9 (8.1%) | 39 (35.1%) | 44 (39.6%) | 10 (9.0%) | 111 |
| The Secretariat as a whole has changed the way it works in response to the Strategic Plan and the Aichi Targets. | 3 (2.7%) | 8 (7.2%) | 32 (28.8%) | 33 (29.7%) | 15 (13.5%) | 20 (18.0%) | 111 |
| Decisions from COP 10 by the COP and the implications of the adoption of the Strategic Plan have resulted in new tasks and/or an increased workload for the Secretariat. | 2 (1.8%) | 8 (7.2%) | 21 (18.9%) | 41 (36.9%) | 21 (18.9%) | 18 (16.2%) | 111 |
| Some of the long-standing functions of the Secretariat have lessened in importance due to the adoption of the Strategic Plan 2011-2020 and the Aichi Targets. | 4 (3.6%) | 12 (10.8%) | 35 (31.5%) | 26 (23.4%) | 7 (6.3%) | 27 (24.3%) | 111 |

These questions ask for your views about whether the Secretariat as a whole is effective in carrying out its mandate.

| | Strongly Disagree | Disagree | Neither disagree nor agree | Agree | Strongly Agree | Don't Know/ Not Applicable | Total Responses |
|--|-------------------|------------|----------------------------|------------|----------------|----------------------------|-----------------|
| Overall, the Secretariat performs its activities and services in an effective way. | 0 (0.0%) | 6 (5.8%) | 12 (11.5%) | 60 (57.7%) | 24 (23.1%) | 2 (1.9%) | 104 |
| Overall, the Secretariat performs its activities and services in an efficient way. | 0 (0.0%) | 9 (8.7%) | 13 (12.5%) | 51 (49.0%) | 24 (23.1%) | 7 (6.7%) | 104 |
| From your government/organization's perspective, at present, the Secretariat as a whole can carry out all the tasks assigned to it by the COP in a way that meets my government/ organization's needs. | 0 (0.0%) | 18 (17.5%) | 19 (18.4%) | 48 (46.6%) | 13 (12.6%) | 5 (4.9%) | 103 |
| Over the past six years, there have been an increasing number of tasks assigned to the Secretariat as a whole. | 0 (0.0%) | 4 (3.9%) | 19 (18.4%) | 51 (49.5%) | 16 (15.5%) | 13 (12.6%) | 103 |
| The Secretariat is able to address the needs of its stakeholders (largely Parties to the Convention). | 0 (0.0%) | 10 (9.7%) | 22 (21.4%) | 52 (50.5%) | 13 (12.6%) | 6 (5.8%) | 103 |
| The overall services and information provided by the Secretariat are of the professional quality that is required to meet the needs of my government/ organization. | 0 (0.0%) | 9 (8.8%) | 4 (3.9%) | 62 (60.8%) | 25 (24.5%) | 2 (2.0%) | 102 |
| The overall services and information provided by the Secretariat are relevant to the needs of my government/ organization. | 0 (0.0%) | 2 (2.0%) | 16 (15.7%) | 55 (53.9%) | 27 (26.5%) | 2 (2.0%) | 102 |
| The electronic information systems of the Secretariat include various clearing house functions of sufficient quality to meet the needs of my government/ organization. | 0 (0.0%) | 8 (7.8%) | 13 (12.7%) | 52 (51.0%) | 22 (21.6%) | 7 (6.9%) | 102 |

| | Strongly Disagree | Disagree | Neither disagree nor agree | Agree | Strongly Agree | Don't Know/ Not Applicable | Total Responses |
|--|-------------------|------------|----------------------------|------------|----------------|----------------------------|-----------------|
| The electronic information systems of the Secretariat make easy to find and use material that is relevant to the needs of my government/ organization. | 0 (0.0%) | 9 (8.8%) | 13 (12.7%) | 50 (49.0%) | 27 (26.5%) | 3 (2.9%) | 102 |
| The capacity building and related services provided by the Secretariat are relevant to the needs of my organization in its role in implementing the Convention, the Aichi Targets and/or the Biosafety Protocol and Nagoya Protocol. | 1 (1.0%) | 10 (9.8%) | 20 (19.6%) | 45 (44.1%) | 16 (15.7%) | 10 (9.8%) | 102 |
| From the perspective of my government/organization, the Secretariat's external communications and outreach (CEPA) are adequate in promoting general awareness of the Convention and the importance of its implementation, now including the implementation of the Aichi Targets and the Biosafety Protocol | 3 (2.9%) | 15 (14.7%) | 21 (20.6%) | 42 (41.2%) | 11 (10.8%) | 10 (9.8%) | 102 |
| The Secretariat's fund raising strategy allows supporting capacity building activities and participation of eligible country representatives in major meetings. | 1 (1.0%) | 12 (11.9%) | 20 (19.8%) | 45 (44.6%) | 12 (11.9%) | 11 (10.9%) | 101 |
| The Secretariat's monitoring systems provide my government/organization with sufficient information to meet its needs. | 0 (0.0%) | 12 (11.9%) | 28 (27.7%) | 38 (37.6%) | 13 (12.9%) | 10 (9.9%) | 101 |
| The Secretariat should engage more at the country and subnational levels in capacity building and projects. | 6 (5.9%) | 6 (5.9%) | 14 (13.9%) | 32 (31.7%) | 40 (39.6%) | 3 (3.0%) | 101 |

| | Strongly Disagree | Disagree | Neither disagree nor agree | Agree | Strongly Agree | Don't Know/ Not Applicable | Total Responses |
|--|-------------------|----------|----------------------------|------------|----------------|----------------------------|-----------------|
| The Secretariat should engage more in policy making with other international bodies. | 3 (3.0%) | 4 (4.0%) | 18 (17.8%) | 31 (30.7%) | 38 (37.6%) | 7 (6.9%) | 101 |
| The Secretariat should focus on producing materials for use by partners (e.g., scientific assessments and policy documents). | 2 (2.0%) | 6 (5.9%) | 17 (16.8%) | 40 (39.6%) | 32 (31.7%) | 4 (4.0%) | 101 |

These questions ask you to consider how the Secretariat as a whole plans and reports.

| | Strongly Disagree | Disagree | Neither disagree nor agree | Agree | Strongly Agree | Don't Know/Not Applicable | Total Responses |
|---|-------------------|------------|----------------------------|------------|----------------|---------------------------|-----------------|
| The Secretariat has provided the COP with a clear vision on how it would respond to new needs and decisions in future. | 1 (1.0%) | 12 (12.0%) | 17 (17.0%) | 44 (44.0%) | 11 (11.0%) | 15 (15.0%) | 100 |
| The Secretariat has provided the COP with sufficient information to assess its results, not only what it did over a biennium, but what difference the work of the Secretariat made in relation to the overall implementation of the Convention. | 0 (0.0%) | 13 (13.0%) | 26 (26.0%) | 37 (37.0%) | 14 (14.0%) | 10 (10.0%) | 100 |



This survey is only one part of the Functional Review of the Secretariat. This Review may uncover gaps in capacity and shortfalls in the way the Secretariat functions. Accordingly, the following set of questions ask you, from the perspective of the organization you represent, to advise us on the desirability of various approaches to renewal, should of course, renewal be required. In this way, your views will become an important addition to our data set and will show the general directions that you would recommend strengthening the Secretariat.

| | Not Important at all | Not Very Important | Only Marginally Important | Important | Very Important | Don't Know/ Not Applicable | Total Responses |
|--|----------------------------|-----------------------|---------------------------------|------------|-------------------|-------------------------------------|--------------------|
| The Secretariat needs to give priority to efforts that are more directly linked to supporting Parties implement the Aichi Targets and the Strategic Plan for Biodiversity. | 0 (0.0%) | 0 (0.0%) | 5 (5.3%) | 33 (34.7%) | 50 (52.6%) | 7 (7.4%) | 95 |
| The Secretariat needs to reconsider how it provides traditional secretariat support to the Convention process so as to maximize its resources towards support for implementation of the Aichi Targets and the Strategic Plan for the Cartagena Protocol. | 0 (0.0%) | 4 (4.2%) | 4 (4.2%) | 46 (48.4%) | 34 (35.8%) | 7 (7.4%) | 95 |
| The Secretariat needs to adopt a more active position in relation to building new partnerships to strengthen the ability of Parties to implement the Aichi Targets and the Strategic Plan for Biosafety. | 0 (0.0%) | 3 (3.2%) | 13 (13.7%) | 32 (33.7%) | 42 (44.2%) | 5 (5.3%) | 95 |





| | Not Important at all | Not Very Important | Only Marginally Important | Important | Very Important | Don't Know/ Not Applicable | Total Responses |
|--|----------------------------|-----------------------|---------------------------------|------------|-------------------|-------------------------------------|--------------------|
| The Secretariat needs to recommend to the COP an overall more strategic approach to the mobilization of new resources to promote implementation by Parties. | 0 (0.0%) | 4 (4.2%) | 7 (7.4%) | 26 (27.4%) | 54 (56.8%) | 4 (4.2%) | 95 |
| The Secretariat needs to introduce new and more sensitive means of monitoring the attainment of the Aichi Targets so as to better inform parties of the level of attainment. | 1 (1.1%) | 3 (3.2%) | 6 (6.3%) | 40 (42.1%) | 40 (42.1%) | 5 (5.3%) | 95 |
| The Secretariat needs to introduce stronger overall programmatic reporting systems that emphasize not only what it has done, but what difference it has made. | 2 (2.1%) | 5 (5.3%) | 10 (10.5%) | 35 (36.8%) | 37 (38.9%) | 6 (6.3%) | 95 |

2014 Employee Web Based Internal Survey






Gender

| Response | Chart | Percentage | Count |
|------------------------|---|------------|-----------|
| Female |  | 61.6% | 53 |
| Male |  | 38.4% | 33 |
| Total Responses | | | 86 |



What kind of a position do you occupy?

| Response | Chart | Percentage | Count |
|--------------------------------|---|------------|-----------|
| General post |  | 44.7% | 38 |
| Professional post |  | 40.0% | 34 |
| Contractor/Consultant |  | 9.4% | 8 |
| Seconded/expert on mission/JPO |  | 5.9% | 5 |
| Total Responses | | | 85 |

How long have you been in your current position or job?

| Response | Chart | Percentage | Count |
|---|---|------------|-----------|
| Less than one year |  | 19.8% | 17 |
| More than a year but less than three |  | 12.8% | 11 |
| More than three years but less than seven |  | 30.2% | 26 |
| More than seven years but less than ten years |  | 15.1% | 13 |
| More than ten years |  | 22.1% | 19 |
| Total Responses | | | 86 |







Before this current job, did you have another job with the Secretariat?

| Response | Chart | Percentage | Count |
|------------------------|---|------------|-----------|
| Yes |  | 23.3% | 20 |
| No |  | 76.7% | 66 |
| Total Responses | | | 86 |



In your current job do you have supervisory responsibility over any other members of staff, and/or do you lead a task force or a work team?

| Response | Chart | Percentage | Count |
|------------------------|---|------------|-----------|
| Yes |  | 44.7% | 38 |
| No |  | 55.3% | 47 |
| Total Responses | | | 85 |

Generally, what would you consider to be the major kind of work that you perform? Please select only the most significant choice from the list?

| Response | Chart | Percentage | Count |
|---|---|------------|-----------|
| I provide administrative, clerical or logistical support for others |  | 31.4% | 27 |
| I provide financial or human resources management support for others |  | 8.1% | 7 |
| I work to disseminate information to stakeholders outside of the Secretariat |  | 18.6% | 16 |
| I develop policies and programming that support the implementation of COP decisions |  | 33.7% | 29 |
| I develop and/or maintain information and communications technology solutions for the Secretariat to use externally or internally |  | 4.7% | 4 |
| I manage others |  | 3.5% | 3 |
| Total Responses | | | 86 |

Have you ever worked for as a staff member or as a consultant in another agency of the United Nations?

| Response | Chart | Percentage | Count |
|------------------------|---|------------|-----------|
| Yes |  | 44.2% | 38 |
| No |  | 55.8% | 48 |
| Total Responses | | | 86 |

This set of questions asks you to consider how your unit or work team functions and whether it can meet the challenges that face it today. A series of statements are presented. Please rate them in relation to your personal views and the effectiveness of your unit. For the purpose of this survey, effectiveness means “the ability of your unit to perform all the tasks which have been assigned to it”.

| | Strongly disagree | Disagree | Neither disagree nor agree | Agree | Strongly agree | Don't know/ Not applicable | Total Responses |
|--|-------------------|---------------|----------------------------|---------------|----------------|----------------------------|-----------------|
| B1. My unit has a clear workplan that lays out what we are to do. | 6 (7.8%) | 13 (16.9%) | 13 (16.9%) | 25 (32.5%) | 13 (16.9%) | 7 (9.1%) | 77 |
| B2. I fully understand what I am expected to do in relation to my unit's workplan. | 4 (5.1%) | 13 (16.5%) | 12 (15.2%) | 24 (30.4%) | 22 (27.8%) | 4 (5.1%) | 79 |
| B3. My unit has enough human resources to be able to carry out all the duties assigned to us in a fully satisfactory fashion. | 18 (23.1%) | 30 (38.5%) | 15 (19.2%) | 11 (14.1%) | 4 (5.1%) | 0 (0.0%) | 78 |
| B4. My unit has enough financial resources, including ICT resources to be able to carry out all the duties assigned to us in a fully satisfactory fashion. | 12 (15.2%) | 27 (34.2%) | 13 (16.5%) | 15 (19.0%) | 8 (10.1%) | 4 (5.1%) | 79 |
| B5. My unit has enough authority to be able to carry out all the duties assigned to us in a fully satisfactory fashion. | 9 (11.4%) | 10 (12.7%) | 18 (22.8%) | 29 (36.7%) | 12 (15.2%) | 1 (1.3%) | 79 |

These questions ask whether you feel that you have all the tools and systems that you and your coworkers in your immediate unit have access to

| | Strongly disagree | Disagree | Neither disagree nor agree | Agree | Strongly agree | Don't know/ Not applicable | Total Responses |
|--|-------------------|---------------|----------------------------|---------------|----------------|----------------------------|-----------------|
| C1. I have all the work tools that are required to do my own job. | 5 (7.2%) | 13 (18.8%) | 13 (18.8%) | 26 (37.7%) | 12 (17.4%) | 0 (0.0%) | 69 |
| C2. I have the possibility to participate in trainings, skill development, knowledge management or any other activities related to professional development. | 17 (24.6%) | 26 (37.7%) | 10 (14.5%) | 12 (17.4%) | 3 (4.3%) | 1 (1.4%) | 69 |

| | Strongly disagree | Disagree | Neither disagree nor agree | Agree | Strongly agree | Don't know/ Not applicable | Total Responses |
|---|-------------------|---------------|----------------------------|---------------|----------------|----------------------------|-----------------|
| C3. My unit has all the tools that are required so that we can meet the expectations set out in our workplan. | 6 (8.7%) | 23 (33.3%) | 17 (24.6%) | 15 (21.7%) | 6 (8.7%) | 2 (2.9%) | 69 |
| C4. The Information and Communications Technology system that my unit works with enables us to perform all the tasks that are set down in our work plans. | 15 (22.1%) | 9 (13.2%) | 19 (27.9%) | 17 (25.0%) | 5 (7.4%) | 3 (4.4%) | 68 |

These questions ask whether you feel that you have all the tools and systems that you and your coworkers in your immediate unit have access to

| | Strongly disagree | Disagree | Neither disagree nor agree | Agree | Strongly agree | Don't know/Not applicable | Total Responses |
|---|-------------------|---------------|----------------------------|---------------|----------------|---------------------------|-----------------|
| D1. At present, the Secretariat as a whole can carry out all the tasks assigned to it by the COP. | 8 (11.6%) | 26 (37.7%) | 13 (18.8%) | 15 (21.7%) | 1 (1.4%) | 6 (8.7%) | 69 |
| D2. There have been an increasing number of tasks assigned to the Secretariat as a whole. | 0 (0.0%) | 1 (1.4%) | 4 (5.8%) | 29 (42.0%) | 30 (43.5%) | 5 (7.2%) | 69 |
| D3. The Secretariat is able to address the needs of its stakeholders (largely the members of the COP). | 5 (7.2%) | 21 (30.4%) | 14 (20.3%) | 21 (30.4%) | 1 (1.4%) | 7 (10.1%) | 69 |
| D4. Most of the staff's work is directly stemming from a clear COP decision as to what is to be done or not. | 4 (5.8%) | 13 (18.8%) | 12 (17.4%) | 28 (40.6%) | 8 (11.6%) | 4 (5.8%) | 69 |
| D5. The decision-making process within the Secretariat is clear. | 16 (23.2%) | 26 (37.7%) | 12 (17.4%) | 14 (20.3%) | 0 (0.0%) | 1 (1.4%) | 69 |
| D6. The Strategic Plan for Biodiversity 2011-2020 and the Aichi Targets are changing the way the Secretariat works. | 3 (4.4%) | 9 (13.2%) | 15 (22.1%) | 32 (47.1%) | 4 (5.9%) | 5 (7.4%) | 68 |

| | Strongly disagree | Disagree | Neither disagree nor agree | Agree | Strongly agree | Don't know/Not applicable | Total Responses |
|---|-------------------|---------------|----------------------------|--------------|----------------|---------------------------|-----------------|
| D7. The way to undertake the new tasks that have resulted from the Strategic Plan for Biodiversity 2011- 2020 and the Aichi Targets is clear. | 6 (9.0%) | 33 (49.3%) | 15 (22.4%) | 7 (10.4%) | 1 (1.5%) | 5 (7.5%) | 67 |

These questions ask you to consider how the Secretariat is structured and whether its structure promotes the ability to perform its work

| | Strongly disagree | Disagree | Neither disagree nor agree | Agree | Strongly agree | Don't know/Not applicable | Total Responses |
|--|-------------------|---------------|----------------------------|---------------|----------------|---------------------------|-----------------|
| E1. I understand the current structure of the Secretariat. | 3 (4.5%) | 14 (20.9%) | 9 (13.4%) | 31 (46.3%) | 9 (13.4%) | 1 (1.5%) | 67 |
| E2. The current structure of the Secretariat is such that ideas can be shared across units and that working synergies are promoted. | 13 (19.7%) | 27 (40.9%) | 14 (21.2%) | 10 (15.2%) | 1 (1.5%) | 1 (1.5%) | 66 |
| E3. The current structure of the Secretariat enables me and my co-workers in other units to work together. | 8 (12.1%) | 21 (31.8%) | 15 (22.7%) | 19 (28.8%) | 1 (1.5%) | 2 (3.0%) | 66 |
| E4. The current structure of the Secretariat promotes the sharing of information across unit lines. | 14 (20.9%) | 30 (44.8%) | 16 (23.9%) | 4 (6.0%) | 1 (1.5%) | 2 (3.0%) | 67 |
| E5. From my perspective, there are no overlaps or duplications in the current structure of the Secretariat. | 16 (23.9%) | 24 (35.8%) | 12 (17.9%) | 6 (9.0%) | 2 (3.0%) | 7 (10.4%) | 67 |
| E6. From my perspective, the role and responsibilities of each employee is clear. I have a clear idea of who leads what within the Secretariat and what are the processes for engaging in such work. | 13 (19.4%) | 26 (38.8%) | 11 (16.4%) | 14 (20.9%) | 2 (3.0%) | 1 (1.5%) | 67 |

These questions ask you to consider how information is shared both within the Secretariat and with outside stakeholders

| | Strongly disagree | Disagree | Neither disagree nor agree | Agree | Strongly agree | Don't know/Not applicable | Total Responses |
|--|-------------------|---------------|----------------------------|---------------|----------------|---------------------------|-----------------|
| F1. The methods of internal communication and information sharing within the Secretariat provide me with the information I need to do my job adequately. | 8 (12.7%) | 25 (39.7%) | 11 (17.5%) | 18 (28.6%) | 1 (1.6%) | 0 (0.0%) | 63 |
| F2. The method of internal communications, information sharing and ICT systems used within the Secretariat are easy to use. | 8 (12.7%) | 18 (28.6%) | 15 (23.8%) | 19 (30.2%) | 1 (1.6%) | 2 (3.2%) | 63 |
| F3. The methods of external communication, information sharing and ICT systems are easy to access and use by staff like me in the course of our work. | 3 (4.8%) | 10 (15.9%) | 23 (36.5%) | 22 (34.9%) | 3 (4.8%) | 2 (3.2%) | 63 |

These questions ask you to consider how the Secretariat as a whole plans

| | Strongly disagree | Disagree | Neither disagree nor agree | Agree | Strongly agree | Don't know/Not applicable | Total Responses |
|--|-------------------|---------------|----------------------------|---------------|----------------|---------------------------|-----------------|
| G1. The Secretariat has established a clear vision for its future and how it will respond to new needs and decisions of the COP. | 14 (22.2%) | 20 (31.7%) | 19 (30.2%) | 7 (11.1%) | 0 (0.0%) | 3 (4.8%) | 63 |
| G2. The Secretariat's current approach to biennial planning is sufficient to meet changing needs and demands. | 10 (15.9%) | 22 (34.9%) | 16 (25.4%) | 10 (15.9%) | 0 (0.0%) | 5 (7.9%) | 63 |

Appendix II List of People Interviewed

| Name | Title | Section/Organization | Method of consultation |
|------------------------|---------------------|--|------------------------|
| BARBUT, Monique | Executive Secretary | UNCCD | Phone Interview |
| BENITEZ-DIAZ, Hesiquio | Director | Enlace y Asuntos Internacionales - CONABIO - Mexico | Phone Interview |
| BERG, Lars | SCBD Focal Point | Ministry of Environment – Government of Sweden | Phone Interview |
| BOUVIER, Christophe | Director | Office of Operations - UNEP | Phone Interview |
| BREIER, Nicola | SCBD Focal Point | University of Bonn. Germany | Phone Interview |
| CARINO, Joji | Director | Forest People Programme | Phone Interview |
| COLLETTE, Linda | Secretary | Commission on Genetic Resources for Food and Agriculture - Natural Resources - FAO | Phone Interview |
| DONALDSON, John | Chief director | SANBI (South Africa) | In person |
| ELMI, Suleiman | Director | Human Resources and Management Services - UNON | Phone Interview |
| GJERDE, Kristina | Policy Advisor | Global Marine Program - IUCN | Phone Interview |
| HICKEY, Valerie | SCBD Focal Point | World Bank | In person |
| HUTTON, Jon | Director | Bioversity and UNEP/WCMC | Phone Interview |
| LARIGUDERIE, Anne | Executive Director | Intergovernmental Platform on Biodiversity and Ecosystem Services (IPBESS) | Phone Interview |

| Name | Title | Section/Organization | Method of consultation |
|----------------------|------------------------------------|---|------------------------|
| LE DUC, Jean-Patrick | SCBD Focal Point | Government of France | In person |
| LOWE, Janet | SCBD Focal Point | Intergovernmental Committee for the Nagoya Protocol on ABS, Ministry of Foreign Affairs and Trade – Government of New Zealand | Phone Interview |
| MANSUR, Eduardo | Director | Forest Assessment, Management and Conservation Division - FAO | Phone Interview |
| MARIEN, Nele | Coordinator | CBD Alliance | In person |
| MULENKEI, Lucy | Representative | Indigenous International Forum on Biodiversity (United Nations). | In person |
| NNADOZIE, Kent | Representative | The International Treaty on Plant Genetic Resources for Food and Agriculture | In person |
| OGWAL, Francis | SCBD Focal Point | Government of Uganda | In person |
| OKUDA, Naohisa | Director | Global Biodiversity Strategy Office, Nature Conservation Bureau, Ministry of the Environment, Government of Japan | Phone Interview |
| OLIVA, Roberto | Executive Director | ASEAN Centre for Biodiversity | In person |
| OWUSU-BINEY, Alex | GEF Portfolio Manager for Biosfety | UNEP | Phone Interview |
| PANDE, Hem | Additional Secretary | Ministry of Environment and Forests – Government of India | Phone Interview |
| PERREZ, Franz. X | Ambassador and Head of Division | International Affairs Division Federal Office for the Environment Government of Switzerland | Phone Interview |
| QWATHEKANA, Malta | Senior Policy Advisor | International Biodiversity and Heritage Cooperation, Department of Environmental Affairs – Government of South Africa | Phone Interview |
| RICE, Jake | SCBD Focal Point | Government of Canada | In person |

| Name | Title | Section/Organization | Method of consultation |
|--------------------------|---|---|------------------------|
| RODRIGUEZ, Carlos Manuel | Senior Policy Adviser Vice President | Conservation International – Costa Rica | Phone Interview |
| SAKIYAMA, Melina | Student | Global Youth Biodiversity Network | In person |
| SANDERS, Jessica | Fisheries Officer | FAO | In person |
| SCHWARGER, Christian | Student | Global Youth Biodiversity Network | In person |
| SEKHRAN, Nik | Head | Biodiversity Programme - UNDP | Phone Interview |
| SHESTAKOV, Alexander | SBSTTA member | WWF | Phone Interview |
| SOLHAUG, Tone | SCBD Focal Point | Government of Norway | In person |
| THOMAS, Spencer | SCBD Focal Point | Government of Grenada | Phone Interview |
| VIOLETTI, Daniele | Chief | Staff Unit – UNFCCC | Phone Interview |
| VON WEISSENBERG, Marina | SCBD Focal Point | Government of Finland | Phone Interview |