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REPORT ON THE FUNCTIONAL REVIEW OF THE SECRETARIAT

Note by the Executive Secretary

I. INTRODUCTION

1. In its decision XII/32, paragraph 3, the Conference of the Parties (COP) requested the Executive Secretary to complete the Functional Review of the Secretariat of the Convention on Biological Diversity in consultation with the Executive Director of the United Nations Environment Programme (UNEP). In paragraph 4 of the same decision, the Conference of the Parties also requested the Executive Secretary to notify the Parties when each of steps 1, 2, and 3 as set out in the annex to document [UNEP/CBD/COP/12/28](#), is completed and consult the Bureau on the progress of the Functional Review.
2. The Conference of the Parties, in paragraph 5 of decision XII/32, also requested the Executive Secretary to submit the final report of the in-depth Functional Review of the Secretariat, including individual post analysis, in time for discussion at the first meeting of the Subsidiary Body on Implementation, with a view to preparing a decision for the thirteenth meeting of the Conference of the Parties.
3. Furthermore, the Conference of the Parties authorized the Executive Secretary, on an exceptional basis and within the United Nations rules and regulations, and without prejudice to the decision of the thirteenth meeting of the Conference of the Parties on the in-depth Functional Review and the classification of staff positions, to adjust the staffing levels, numbers and structure of the Secretariat in the light of the continuing outputs of the Functional Review, provided that the overall cost of the Secretariat remains within that of the indicative staffing table, and to report on the adjustments made at the thirteenth meeting of the Conference of the Parties.
4. The steps as set up in the annex to document [UNEP/CBD/COP/12/28](#) are aimed at putting in place at the Secretariat new managerial tools and an updated organizational structure through an iterative process and to sharpen the results focus of the Secretariat to ensure the optimization of the use of the human and financial resources allocated by the Parties. The three steps outlined actions in fulfilment of the functional review of the Secretariat are as follows: Step 1: Planning of the biennial work of the Secretariat based on the Strategic Plan of the Convention and its Aichi Targets, the Strategic Plan of the Biosafety Protocol and decisions from COP 12 of the Convention, COP-MOP 7 of the Cartagena Protocol and COP-MOP 1 of the Nagoya Protocol; Step 2: Organizational design based on the Medium-term Operational Results Framework (MTORF) and Article 24 of the Convention, design of work plans (results-based framework), development of internal operating policies, operationalization of the result-

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based frameworks and policies and new Secretariat-wide approaches; and Step 3: Reorientation and/or design of functions (posts) to address new approaches which involves post descriptions for all positions, regularization of functions according to United Nations rules and regulations in collaboration with the UNEP/United Nations Office at Nairobi (UNON), preparation of report on lessons learned on progressive evolution and post-by-post organizational design based a proactive design targeted toward strengthening the capacity of the Secretariat for the balance of the decade, presentation of budget based on the renewed Secretariat and report to COP and COP-MOPs.

5. The present report on the functional review of the Secretariat to the Subsidiary Body on Implementation provides an introduction and the mandates within which the functional review is being undertaken. Section II outlines the details of the functional review process and the results of each step. Section III provides a summary of the outstanding work of the functional review process. Suggested recommendations are provided in the note by the Executive Secretary on administration of the Convention (UNEP/CBD/SBI/1/13).

II. THE FUNCTIONAL REVIEW PROCESS AND OUTPUTS

Step 1: Planning of the biennial work of the Secretariat

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

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

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

A. Results-based Management Framework (RBMF)

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

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

11. In the development and implementation of a Results-based Management Framework tool, the basic guiding principles were applied. **Utility** - to ensure that managers can use the framework to explain their activities to Parties as a response to the mandates and to institute sound performance measurement

approaches; **shared ownership** - to meet the needs of all staff and with the active involvement of managers, to ensure that information needs of managers, as well as formal accountability requirements are met; **transparency** - to ensure that all staff understand what outcomes are expected as well as how and when they will be measured; **action-oriented** - to ensure that information needed by managers and other stakeholders is available when it is required; **credibility** - to ensure that professional standards are adhered to and that the framework establishes realistic commitments for measurement and reporting; and **flexibility** - to respond to any changing context within which designed activities are working and could be adjusted as necessary.

B. Medium-term Operational Results Framework of the Secretariat

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

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

14. The outputs of the planning phase are available as the MTORF (UNEP/CBD/SBI/1/INF/22) and the Results-based Management Framework for the biennium, 2015-2016, comprising of 284 activities derived from Secretariat-wide mandates. An analysis of the Secretariat-wide biennium activities as identified according to the operational goals and functional objectives of the MTORF from the Results-based Management Framework Tool is also available in the annex to the present note.

Step 2: Process towards an organizational design

Secretariat-wide approach to programmes of work

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

16. As a result of this exercise, taking into account the operational goals and functional objectives of the MTORF of the Secretariat, cross-cutting Secretariat-wide activities were identified and clustered into following eight Secretariat-wide cross-cutting categories for an integrated Secretariat-wide implementation, bearing in mind that not all Secretariat activities are reflected in these clusters:

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

Matrix (integrated) approach to Secretariat-wide activities

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

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

19. The matrix approach also took into account the biennial working cycle where the first year immediately after COP and COP-MOP meetings is mostly used by the Secretariat in executing implementation support functions while in the second year of the biennium, activities of the Secretariat shift to meeting support functions such as document preparation, logistics arrangements etc.

Matrix approach teams

20. A core team of (2-6 staff) from across the Secretariat led by middle level staff (P3 – P5 levels) and contributing staff (10 – 20 staff who remain subject specialists working in a mutually supportive manner with core team) were established to execute projects under each of the cross-cutting clusters.

Matrix approach projects

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

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

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

Outputs of the Pilot Phase Matrix (integrated) Approach to Secretariat work**A. Legal and Intergovernmental Affairs**

24. The Legal and Intergovernmental Affairs cluster identified its mandate as *"Promote the overall legal consistency of processes and workflow of the Secretariat, in particular, in areas that need legal expertise and in managing intergovernmental processes. The cluster provides legal support to the Secretariat in carrying out its functions and to Parties in their efforts to implement the Convention and the Protocols."*

25. The cluster identified its core functions as (a) assisting in the preparation of the provisional agendas, annotations, including organization of work for meetings of COP and COP-MOPs and advising on the choreographies and the conduct of business; (b) coordinating the planning of meetings organized in preparation for COP and COP-MOPs, including the meetings of subsidiary bodies, with a view to

maximizing coherence and integration; (c) reviewing draft recommendations and draft decisions with a view to promoting coherence and consistency, including with procedures and any existing guidelines; as well as complementarity with previous decisions.

26. The following projects were initiated during the pilot phase under the Legal and Intergovernmental Affairs cluster for completion in the biennium: (a) preparation of the plan for the concurrent organization of COP 13, Cartagena Protocol COP-MOP 8 and Nagoya Protocol COP-MOP 2; (b) reviewing of the workflow for all intersessional activities; (c) review of draft recommendations in all Secretariat documents for complementarity, consistency and coherence.

B. Capacity-building

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

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

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

30. The following projects were initiated during the pilot phase under the Capacity- building cluster for completion in the biennium. (a) establishment of a CBD-branded learning management system (LMS) to facilitate the hosting, delivery, administration, tracking and assessment of e-learning offerings (including e-learning courses/modules and webinars) for Parties, which is accessible at: <http://scbd.unssc.org/>;

(b) development of a repository and a user-interface for capacity-building resources to facilitate the capture and structured access to information on a wide range of capacity-building initiatives, tools and resources, and opportunities for supporting the implementation of CBD and its Protocols.

C. Knowledge management

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

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

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

D. Resource mobilization

34. The resource mobilization cluster identified its mandate as ‘*Facilitate resource mobilization for the implementation of the Convention and its Protocols*’.

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

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

E. Cooperation and mainstreaming

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

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

39. The following projects were initiated during the pilot phase under the cooperation and mainstreaming cluster for completion in the biennium. (a) conceptualization of an IT tool to

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

F. Communication

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

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

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

G. Monitoring

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

44. The core functions identified by the monitoring cluster are: (a) facilitate the submission of information on implementation by Parties and the gathering, analysis and dissemination of the information; (b) promote coherent submission and analysis of information, optimized use of all information gathered, and Secretariat-wide access to, and use of, this information for the preparation of documents as well as the development of further guidance and tools related to monitoring implementation with the ultimate goal of further supporting the implementation of the Convention and its Protocols.

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

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

H. Information and Communications Technology

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

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

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

50. The main activities undertaken include: (a) CHM online reporting tools that allows Parties to report on progress made on their national targets and on their financial framework; (b) CHM application programming interface (API) that allows open sharing of public data stored in CBD’s databases. This enables any external application to retrieve public data for further analyzing and presenting. The best external example of this automatic information exchange is the UNEP Infornea application that harvests CBD related information from the API to show on its website; (c) deployment of web and database servers on the Internet cloud, in strategic geographical locations, to offer optimal response when navigating CBD sites; (d) servicing of all other clusters: (i) capacity-building common format (Capacity-building); (ii) Decision Tracking System (Legal and Intergovernmental); (iii) API for interoperability (Knowledge management); (iv) InforMEA (Knowledge management); (v) IT tool to track mainstreaming and cooperation activities, processes and projects (Cooperation and Mainstreaming); (vi) visualization and display of reporting results, including statistical analysis, and map and list view of information (Monitoring); (vii) Financial reporting – Enhancement of the reporting tool (temporary access to partner agencies) (Resource Mobilization); (viii) integrated and coherent financial reporting and subsequent analysis (Resource Mobilization); (ix) Capacity-building Portal (Capacity-building); (x) meeting document page including agenda (Legal and Intergovernmental); and (xi) Advice on social media integration (Communication).

Lessons learned from the Pilot Phase Matrix (integrated) Approach to Secretariat work

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

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

New structure of the Secretariat

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

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

55. Three options were considered in developing a new organizational design of the Secretariat: (a) functional structure; (b) process structure and (c) hybrid structure. A functional organizational structure features a powerful management hierarchy running departments devoted to broad work classifications. In the exercise, this organizational structure would focus around the six Operational Goals as established in the Medium-term Operational Results Framework (MTORF) where all the specific individual functions and tasks would be integrated in the following Secretariat support areas: (a) support to policy-making at COP and COP-MOPs; (b) integration of biodiversity into international processes; (c) support to national planning and implementation processes; (d) outreach and awareness raising; (e) implementation of monitoring and evaluation; and (f) administration and finance. Each envisaged unit would contain the key functions necessary to deliver their outputs.

56. The functional structure was found to have the following drawbacks: (a) disproportionate work burden of the units, e.g. support to national processes accounts for 53 per cent of the activities in the RBMF; (b) seemingly lack of support to the Protocols; (c) staff perception to the radical change; (d) duplication of functions among units; (e) little collaboration and exchange of resources among the different units; (f) competition among the units; (g) determination of the skill sets that would fit into these functional units.

57. In the process structure, the organization would be divided around processes, such as conference services and information technology. Unlike a purely functional structure, a process-based organization considered how the different processes relate to each other and the Parties. The process structure brings together staff and managers to work toward accomplishing a goal. Each process starts when the need arises and ends with the delivery of the process outputs. In its application to the Secretariat, staff would be expected to be drawn across the Secretariat to work in a process towards a goal. A good example is that of the information technology (IT) and knowledge management (KM) cluster teams.

58. Among the advantages of the process structure are: (a) its ability to lead to an efficient exchange of information and use of resources; (b) staff being able to work together and communicate with each other frequently to solve problems; and (c) quick decision-making. However, its challenges would be creating managerial ambiguities and the requirement of deep understanding of all processes by staff.

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

60. A project is usually triggered by one of the thematic units and is enabled by the different process units working together or in sequence. Internal operating policies become essential to ensure standardization and successful completion of projects. This structure combines many of the advantages of the other two designs. In the hybrid design, the aim is to improve cross-sectorial coordination and integration of the Secretariat activities to improve efficiency. The establishment of Planning and Monitoring unit reporting directly to the Executive Secretary will ensure that any lag in activity execution can be brought quickly to the attention of the Executive Secretary for redress.

61. The new Secretariat structure comprising of the Office of the Executive Secretary and three divisions: 1. Scientific and Policy Support, 2. Mainstreaming and Outreach Support and 3. Implementation Support with their various units and their mandates is available as (UNEP/CBD/SBI/1/INF/23).

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

(a) **Office of the Executive Secretary:**

The Executive Secretary, assisted by the Deputy Executive Secretary and the Management Committee provides strategic planning and management of the Secretariat to ensure its effectiveness in support of the Parties. The Office of the Executive Secretary will ensure coordination of the Secretariat's activities and in monitoring progress in the implementation of the Secretariat's work programme, in line with the Medium-term Operational Framework and decisions of the Conference of the Parties and meetings of the Parties. The Office of the Executive Secretary will also house the corporate legal services and ensure the coherence of the concurrent meetings, organization of work and consistency of procedures with the aim of improving the efficiency and the effectiveness of processes and structures under the Convention and the Protocols, It will also house a unit to help integrate reporting across the Convention and the Protocols and focus on improving the monitoring and review of implementation of the Convention.

(b) **Scientific and Policy Support:**

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

(c) **Mainstreaming and Outreach Support:**

Provide support to the Parties by leading and coordinating the Secretariat's work on mainstreaming of biodiversity, collaboration with partners in support of the Convention and its Protocols, and communications and outreach. It will include the Secretariat's work on gender and economics and resource mobilization, including engagement of the private sector.

(d) **Implementation Support:**

The division will ensure a coherent approach to capacity-building, technical and scientific cooperation, and ensure a coherent approach between the clearing-house mechanism, the biosafety and ABS clearing-houses. It will enable a focus on facilitating cooperation among Parties and by partners to

support implementation. With regard to these activities, the new division will seek innovative approaches, reach out to partners and foster learning-by-doing across the Secretariat. It will draw upon resources from both the core budget and voluntary contributions.



Figure.1 New SCBD structure

Step 3: Reorientation and/or design of functions

Review of programme staff posts

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

64. The scope of work of the analysis was to: (a) review and analyze the functions of each post at its establishment and compare these functions to the current functions of the incumbent, taking cognizance of the last two ePAS of the incumbent; (b) consider relevance/linkages of the functions of each post to providing the core functions of the Secretariat as envisaged in Article 24 of the Convention, as well as to the functions of the Medium-term Operation Results Framework; (c) identify any gaps or expanded responsibilities in the functions of each post as they currently exist; (d) identify whether the current duties and responsibilities of each post are commensurate with the level of the post; (e) provide advice on the level of the posts required to lead on the eight clusters identified as the emerging Secretariat-wide matrix

work in the functional review; (f) make recommendations on the findings keeping in view the Medium-term Operation Results Framework and the core functions of the Secretariat.

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

66. The pie chart below depicts the broad results of the individual programme post analysis. The full report of the analysis is available in document UNEP/CBD/SBI/1/INF/24.

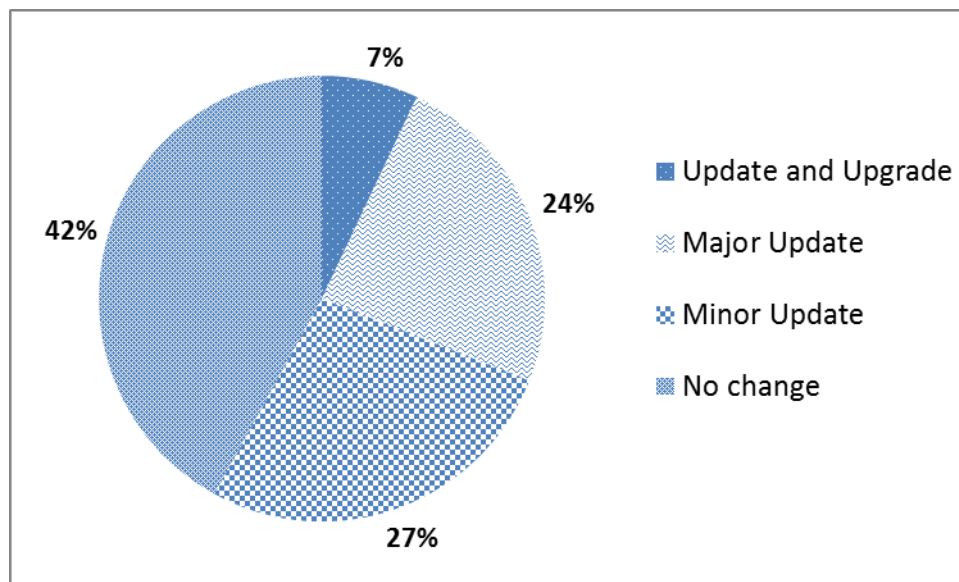


Figure 2: Results of the individual Programme post analysis

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

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

69. As requested in decision XII/32, paragraph 3, the Secretariat has been in consultations with the Executive Director of UNEP, regarding the processes during the functional review. A report was presented to UNEP on the completion of the planning phase. The bureaux of COP and COP-MOPs have also been updated regularly during the period.

III. SUMMARY OF THE OUTSTANDING WORK OF THE FUNCTIONAL REVIEW

70. The outstanding work prior to the concurrent meeting of COP and COP-MOPs includes: (a) ensuring smooth and effective change management at the Secretariat; (b) the full operationalization of the integrated approach to work through the new Secretariat structure; (c) the review/update of the terms of reference of posts in line with the Medium-term Operational Results Framework of the Secretariat and within United Nations rules and regulations.

*Annex***ANALYSIS OF THE SECRETARIAT-WIDE BIENNIUM ACTIVITIES IN THE MEDIUM TERM OPERATIONAL RESULTS FRAMEWORK OF THE SECRETARIAT (MTORF)**

Operational Goals		
1. Support COP and COP-MOPs including preparatory processes in an integrated and coherent manner	45	16%
2. Enhance the integration of biodiversity into the development agenda and relevant international processes	19	7%
3. Support Parties in meeting their obligations under the Convention and the Protocols, including integration of biodiversity, biosafety and access and benefit-sharing into national development planning, implementation and other relevant processes	151	53%
4. Enhance the political profile of the Convention and its Protocols by raising general awareness of the value of biodiversity, biosafety and access and benefit-sharing related issues	27	10%
5. Support the review and evaluation of the implementation of the Convention and its Protocols	18	6%
6. Ensure that the Secretariat, its managers and staff, function efficiently to provide support to Parties, COP and COP MOPs	24	8%
	284	100%
Functional objectives		
1.1 Facilitate the convening of the meetings of the Convention and the Protocols for review of implementation and decision-making	9	3%
1.2 Improve the efficiency and effectiveness of processes and structures under the Convention and the Protocols	3	1%
1.3 Provide neutral, balanced and evidence-based reports and technical and scientific analysis to facilitate decision-making	33	12%
2.1 Facilitate the integration of the biodiversity agenda into all relevant international intergovernmental processes, under the United Nations and others	15	5%
2.2 Support efforts to include biodiversity in other relevant global initiatives of non-governmental stakeholders	4	1%
3.1 Facilitate capacity-building, and promote technical and scientific cooperation among Parties, to collectively achieve the goals of the strategic plans for biodiversity and biosafety; and the Aichi Biodiversity Targets	59	21%

3.2 Manage and facilitate access to, and sharing of, knowledge and information relevant to biodiversity, biosafety and access and benefit-sharing	37	13%
3.3 Facilitate resource mobilization for the implementation of the Convention and its Protocols	28	10%
3.4 Provide information, tools and technical guidelines in support of national implementation of the Conventions and Protocols	27	10%
4.1 Increase awareness and understanding of the importance of biodiversity, biosafety and access and benefit-sharing related issues among decision makers, civil society, business, sectoral actors and the public at large	24	8%
4.2 Facilitate and enhance political support for implementation of the Convention and its Protocols	1	0%
4.3 Promote universal membership of the Convention and its Protocols	2	1%
5.1 Facilitate the review and evaluation of national, regional and other actions, in particular targets and indicators established in accordance with the strategic plans, in achieving the Aichi Biodiversity Targets and compliance with its Protocols	11	4%
5.2 Monitoring and assessment of biodiversity	7	2%
6.1 Provide management and strategic planning to maximize the effectiveness of the Secretariat	10	4%
6.2 Provide fund management and logistics support under the guidance of the Parties and within the rules and regulations of the United Nations	8	3%
6.3 Provide efficient administrative and human resources support to staff of the Convention and its Protocols	6	2%
	284	100%