



ANNUAL REPORT OF THE SECRETARIAT

2011

Article XII of the text of the Convention requires the CITES Secretariat to prepare annual reports to the Parties on its work and on the implementation of the Convention. This document, which covers the year 2011, is the 34th annual report of the Secretariat.

CITES – A snapshot view

The Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) is a treaty created to ensure that international trade in wild animals and plants does not threaten their survival. It entered into force on 1 July 1975 and is currently one of the largest multilateral environmental agreements in existence, with a membership of 175 countries. CITES works through a system of import and export permits, and accords varying degrees of protection to more than 34,000 species. Its Secretariat is part of the United Nations Environment Programme.

CITES Strategic Vision: 2008-2013

In 2007, the Conference of the Parties to CITES, its supreme decision-making body, adopted Resolution Conf. 14.2 on the [CITES Strategic Vision: 2008-2013](#). This Resolution contains three goals that the Conference has identified as the key components of the Strategic Vision:

- Goal 1: Ensure compliance with and implementation and enforcement of the Convention.
- Goal 2: Secure the necessary financial resources and means for the operation and implementation of the Convention.
- Goal 3: Contribute to significantly reducing the rate of biodiversity loss by ensuring that CITES and other multilateral instruments and processes are coherent and mutually supportive.

The goals aim at consolidating the existing strengths of CITES, ensuring the implementation of the mandate of the Convention, and further improving the relationship with relevant multilateral environmental agreements and related conventions, agreements and associations.

CITES Secretariat

The CITES Secretariat is administered by the United Nations Environment Programme (UNEP) and is located in the International Environment House in Geneva, Switzerland.

The Secretariat plays a coordinating, advisory and servicing role in the working of the Convention, with its functions being prescribed in the Convention text and various resolutions adopted by Conferences of the Parties. It provides assistance to Parties in the fields of legislation, enforcement, science, financing, technology and training; it arranges and services meetings of its technical committees and other workshops; it undertakes scientific and technical studies; it makes recommendations regarding the implementation of the Convention; it centralizes and distributes knowledge and information relevant to the Parties; it maintains all the reference texts essential to the implementation of the Convention (the list of protected species, the Resolutions and Decisions adopted by the Conference of the Parties, etc.); and it raises external funds to implement activities decided by the Parties.

In 2010, the Executive Director of the United Nations Environment Programme (UNEP) has given the Secretary-General of CITES [delegated authority](#) on administrative and financial matters, which aims to ensure the provision of secretariat services to CITES or the Convention and to delegate the appropriate authority and responsibility to the Secretary-General within an accountability context.

In September 2011, the Executive Director of UNEP and the Standing Committee of CITES signed a [Memorandum of Understanding](#) to further clarify the relationship between UNEP and CITES. The memorandum covered issues such as the programmatic relationship between both entities, financial matters and budgets, administrative support and programme support costs, and performance evaluation and management review.

Human resources

The Secretariat is comprised of 22 regular staff based in Geneva as at the end of 2011. Along with these regular staff in Geneva, the Secretariat has two project professional staff and two support staff members, based in the UNEP headquarters in Gigiri (Nairobi), Kenya, for the implementation of the [Monitoring the Illegal Killing of Elephants \(MIKE\) programme](#).

The regular staff and project staff of the Secretariat consists of 16 Professional staff and 10 General Support staff, which includes individuals representing 18 nationalities coming from the regions of Africa (Kenya and South Africa), Asia (China, Japan and the Philippines), Europe (Belgium, France, Sweden, Switzerland and the United Kingdom), Central and South America and the Caribbean (Argentina, Brazil, Chile, Colombia and El Salvador), North America (Canada and the United States) and Oceania (Australia).

[Mr. John Scanlon](#) assumed the post of Secretary-General in 2010. Under the Secretary-General, the Secretariat is organized based on the following [organizational chart](#):

- Administrative Services
- Corporate Services
 - Governing Bodies and Meeting Services
 - Knowledge Management and Outreach Services
- Implementation Services
 - Scientific Services
 - Regulatory Services (Legal Affairs and Trade Policy and Enforcement Support)
- Capacity Building Services

Secretary-General support

The Administrative Services Team provides support to the Secretary-General on administrative and human resources matters and on financial management. It gives guidance on UN rules and regulations related to administration, including issues on recruitment, staff administration, internship, and any other personnel management issues. It also provides guidance on UN financial rules and regulations related to the Trust Fund management, bank account, travel, procurement, hospitality and other financial matters.

Corporate Services is comprised of two teams: Governing Bodies and Meeting Services and Knowledge Management and Outreach Services. These two teams provide support to the Convention on organization of meetings, matters related to information technology, e.g. trade monitoring database, e-permitting, knowledge management, liaison with major groups, fundraising and outreach.

Implementation Services is comprised of two teams: Scientific Services and Regulatory Services. These two teams provide assistance to the Parties on technical and policy issues which include review of significant trade, non-detriment findings, the national legislation project and enforcement matters.

Capacity Building Services provides a coordinating role within the Secretariat and with partners with regards to capacity building services to the Parties.

Performance management

The Secretariat applies the UN Performance Management and Development System in its staff performance appraisal. This is done through an electronic application (e-performance system) that captures the main stages of the performance process (work plan, midpoint review and end-of-year performance appraisal).

Prior to the beginning of the performance cycle, and for the purposes of strengthening accountability in the Secretariat, senior managers meet with the Secretary-General and develop the action plan based on the implementation of goals in the Strategic Vision 2008-2013 and the Resolutions and Decisions adopted in the meetings of the Conference of the Parties. Priorities of each team are translated into work plans in the e-performance system. Work plans are developed in consultation with staff members concerned on an annual or biennial basis, depending on the needs of the team.

At the beginning of the performance cycle, the Chief of each team (First Reporting Officer) meets with the staff under their direct supervision to ensure that the objectives of the team are understood and individual work plans are prepared. First Reporting Officers work with staff members they supervise on the development of the staff member's individual work plan for the performance cycle.

During the course of the year, the First Reporting Officer and the staff member hold conversations and dialogue, formally and informally, and may have exchange of e-mails or other written communication on the progress of the performance goals set for the year. These conversations or written communications should address recognition for good performance and any shortcomings as they become apparent at any time during the cycle.

Within three months after the end of the performance appraisal cycle, the First Reporting Officer and the staff member meet to discuss the overall performance during the cycle.

CITES Financing

At its 14th meeting (CoP14, The Hague, 2007), the Conference of the Parties instructed the Secretariat to develop a costed programme of work (CPW) for 2009-2011 based on the strategic plan it had adopted for 2008-2013. Through the CPW, the Secretariat reports on its core and non-core activities, which shows the method of implementation of the activities with the corresponding funding from the Trust Fund or external sources.

The costed programme of work for the CITES Secretariat for 2011 can be found [here](#).

At its 61st meeting (Geneva, July 2011), the Standing Committee agreed to an extraordinary drawdown from the Trust Fund reserve for 2011 amounting to approximately 5 to 10% of the costed programme of work. The total Trust Fund expenditure for 2011, including the programme support costs, amounted to USD 5.51 million, which is 4.38 % over the budget of USD 5.28 million (as compared to the agreed extraordinary drawdown of approximately 5 to 10%). The actual salary costs and the higher costs of organizing the committee meetings contributed to the overexpenditure for this period. The Secretariat took significant measures to offset these over-expenditures through savings made in its programmatic activities and its operational and office running costs, such as office supplies and equipment, travel, publications, communication and hospitality.

At the 15th meeting of the Conference of the Parties (CoP15, Doha, 2010), the proposed CPW for 2012-2013 was presented to the Parties. After several meetings of the Budget Working Group and its recommendation to Committee II and finally to Plenary, the budget for 2012-2013 was adopted with an increase of 6 % in the Trust Fund contribution from the Parties and a drawdown from the Trust Fund Reserve of USD 450,000 per year. While this enables the Secretariat to retain all but one staff position for the period to the end of 2013, it is not a sustainable solution for future years.

CITES Trust Fund

The main administrative costs of the Secretariat, the meetings of the Conference of the Parties and of the permanent committees, and the CITES core activities are financed from the CITES Trust Fund.

The Trust Fund is funded by contributions from the Parties (member States) based on the United Nations scale of assessment, adjusted to take into account that not all members of the United Nations are party to the Convention. The Trust Fund budget for 2011 amounted to USD 5.28 million.

The paid contributions for 2011 amounted to USD 4.4 million. To date, the Secretariat employs a range of actions to ensure that Parties pay their contributions in a timely manner. The Secretariat sends requests to all Parties to pay their contributions before the beginning of the calendar year to which they apply. It also sends reminders at least three times a year to the Parties that have fallen into arrears with their contributions. The Secretariat also publishes and regularly updates information on the status of contributions to the CITES Trust Fund on the CITES website.

The status of Parties' contributions to the CITES Trust Fund as of 31 December 2011 can be found [here](#).

The CITES accounts form part of the UNEP financial statement and are administered by the United Nations Office in Nairobi (UNON). They are subject to a biennial audit by the External Board of Auditors of the United Nations. The UNEP audited accounts are certified correct and in accordance with the accounting policies and financial rules and regulations of the United Nations.

CITES Parties in 2011

No new Party joined CITES in 2011. As of December 2011, 175 Parties had joined CITES. The complete list of CITES Parties can be found [here](#).