

CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES
OF WILD FAUNA AND FLORA

Seventh Meeting of the Conference of the Parties

Lausanne (Switzerland), 9 to 20 October 1989

Financing and Budgeting of the Secretariat
and of Meetings of the Conference of the Parties

External Funding

PLANS FOR EXTERNAL FUNDING

Report from the Secretariat

1. In its report to the Parties on external funding (document Doc. 7.12) the Secretariat stated the following:

"The Secretariat considers that there are many ways in which the development of the Convention is dependent upon activities which are not covered by the regular funding of the Convention. Thus, it is of paramount importance that the Secretariat should seek and negotiate external funding to enable such projects to be undertaken and thus improve the implementation and the evolution of the Convention".
2. In the same report the Secretariat indicated that more than US\$ 3,000,000 in external funding (both financial and in kind) has been received since the 6th meeting of the Conference of the Parties for 1987, 1988 and future years.
3. The Secretariat, convinced that external funding has had and will continue to have a major impact on the fulfillment of the objectives of the Convention, intends to intensify its search for funding which will allow for activities which, while not covered by regular budget, are vital to the work of the Convention.
4. There are two major ways in which governments and NGOs could financially contribute to projects. Firstly, by contributing the necessary funds directly to specific projects as in the past. However, despite the generosity of the donors, those funds are insufficient. This is why, as a second mechanism, the Secretariat is pursuing the possibility of establishing a major capital fund, the interest of which could be used to finance projects.
5. At the moment, the following projects await funding:
 - participation of developing countries in CITES meetings
 - CITES enforcement seminars
 - participation in regional meetings

- participation in African Elephant Working Group meetings
- assistance in the preparation of annual reports
- provision of export/import permits
- provision of security stamps
- installation of telex/fax facilities for authorities in developing countries
- technical assistance missions
- computerization in several countries
- establishment of CITES regional offices
- significant trade study on plants
- establishment of proper control system for ivory trade
- Identification Manual on plants
- publication of the Identification Manual in French and Spanish
- CITES Newsletter
- continuation of study on significant trade in Appendix II species of fauna
- conservation of the African elephant
- establishment of management programmes for caiman resources in Latin America
- sustainable utilization of Asian monitor lizards
- management of seaturtle populations
- surveys of the status of the following species:
 - Asian bonytongue in Indonesia
 - South American Boidae
 - South-East Asian parrots
 - Latin American parrots
 - crocodiles in East, West and Central Africa
 - South American cats
 - Asian pangolins
 - African monitor lizards
 - Manus green snail

N.B. This list is not exhaustive.

6. In Annexe 1 the Secretariat presents budgetary plans for these projects for 1990 - 1995, but wishes to stress that the projects will be undertaken only if donors contribute sufficient funds to each project.
7. All projects established with external funding are administered in the same way as the regular budget, i.e., under the Financial Regulations and Rules of the United Nations. In addition the Secretariat will continue its past practice of informing the Standing Committee of external funding activities in its regular reports to that Committee.

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As this document constitutes the final one to be discussed in relation to the financing and budgeting of the Secretariat and of meetings of the Conference of the Parties, the Secretariat submits to the attention of the Parties, as Annex 2 to this document, a draft resolution on the financing and budgeting of the Secretariat and of meetings of the Conference of the Parties.

Plans for Activities Funded from External Sources
(in US\$)

<u>Projects</u>	<u>1990</u>	<u>1991</u>	<u>1992</u>	<u>1993</u>	<u>1994</u>	<u>1995</u>
<u>Staffing</u>						
- Professional staff	414,000	428,700	356,500	295,000	304,000	325,000 ¹
- Support staff	80,000	83,500	87,000	92,000	96,000	101,000 ¹
<u>Meetings</u>						
- Conference of Parties		350,000		400,000		450,000
- AEWG meetings	50,000	50,000	50,000	60,000	60,000	60,000
- Animals Committee	15,000	15,000	15,000	20,000	20,000	20,000
- Plants Committee	15,000	15,000	15,000	20,000	20,000	20,000
- Enforcement seminars	70,000	70,000	70,000	80,000	80,000	80,000
<u>Assistance to Parties</u>						
- Annual reports	20,000	20,000	20,000	30,000	30,000	30,000
- Export/import permits	15,000	15,000	15,000	15,000	15,000	15,000
- Security stamps	7,000	7,000	7,000	7,000	7,000	7,000
- Telex/fax facilities	40,000	20,000	20,000			
- Technical missions	60,000	60,000	60,000	100,000	100,000	100,000
- CITES regional offices	120,000	120,000	120,000	150,000	180,000	200,000
<u>Others</u>						
- ID Manual	100,000	100,000	100,000	100,000	100,000	100,000
- ID in French/Spanish	50,000	50,000	50,000	50,000	50,000	50,000
- WTMU contract	30,000	33,000	34,000	36,000	38,000	40,000
- Nomenclature	10,000	12,000	13,000	14,000	15,000	16,000
- Species in legislation	40,000	40,000	40,000	40,000	40,000	40,000
- Computerization	250,000					

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¹ See document Doc. 7.11 Annexes 1, 3 and 4 for details.

	<u>1990</u>	<u>1991</u>	<u>1992</u>	<u>1993</u>	<u>1994</u>	<u>1995</u>
<u>Species Management</u>						
- Caiman resources	100,000	100,000	100,000	100,000	100,000	100,000
- Asian monitor lizards	100,000	300,000	400,000	200,000		
- Sea turtles	100,000	100,000	100,000	100,000	100,000	100,000
<u>Species Studies</u>						
- Asian bonytongue	30,000					
- South American Boidae		30,000	30,000			
- South-East Asia parrots	40,000					
- Latin American parrots	45,000					
- Crocodiles in Africa	70,000	70,000	70,000			
- South American cats			45,000			
- Asian pangolins		25,000				
- African monitor lizards	45,000					
- Manus green snail		15,000				
- Other species	<u>173,000</u>	<u>22,800</u>	<u>196,000</u>	<u>1,537,000</u>	<u>1,783,000</u>	<u>1,831,000</u>
TOTAL	2,089,000	2,229,200	2,013,500	3,446,000	3,138,000	3,685,000

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In addition, the following projects, not included in the budget submitted to the Conference of the Parties (Doc. 7.11), might be considered by the Parties as high priorities and included under external funding in the budget: conservation of the African elephant (US\$ 2,000,000/year), CITES Newsletter (US\$ 50,000/year), Regional meetings (US\$ 50,000/year), Trade study on plants (US\$ 100,000/year).

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES

Financing and Budgeting of the Secretariat
and of Meetings of the Conference of the Parties

RECALLING Resolution Conf. 6.2 adopted at the sixth meeting of the Conference of the Parties (Ottawa, 1987);

HAVING REVIEWED the 1987 and 1988 accounts and the 1990-1992 budget estimates submitted by the Secretariat;

HAVING NOTED the revised estimates of expenditures for 1989 presented by the Secretariat;

HAVING REVIEWED the 1990-1995 medium term budget estimates;

RECOGNIZING that regular funding by UNEP ceased after 1983 and that the funding of the Secretariat and of meetings of the Conference of the Parties is now solely the responsibility of the Parties;

ACKNOWLEDGING with appreciation the support provided to the Secretariat by the Executive Director of UNEP, which has provided, as an interim measure, direct financial assistance to cover the shortage in financial resources in 1987 and the first half of 1988;

ACKNOWLEDGING that the financial amendment to the Convention, adopted in Bonn in 1979, has entered into force on 13 April 1987;

RECOGNIZING the continuing need for administrative and financial arrangements between the Parties and the Executive Director of UNEP;

NOTING the considerable increase in the numbers of Parties as well as organizations attending the meetings of the Conference of the Parties as observers, and the resulting additional expenditure incurred by the Secretariat;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

APPROVES the 1987 and 1988 accounts and TAKES NOTE of the estimates of expenditure for 1989;

APPROVES the 1990-1992 budget;

TAKES NOTE of the 1990-1995 medium term budget estimates;

REQUESTS that the Executive Director of UNEP, with the approval of the Governing Council of UNEP, seek the consent of the United Nations Secretary General for an extension of the Trust Fund until 31 December 1995 to provide financial support for the aims of the Convention in accordance with the Terms of Reference for the Administration of the Trust Fund for the Convention on International Trade in Endangered Species of Wild Fauna and Flora, attached as the Annex to this Resolution;

APPROVES the Terms of Reference for the Administration of the Trust Fund attached as the Annex to this Resolution for the financial periods beginning on 1 January 1990 and ending on 31 December 1995;

AGREES

- a) that contributions to the Trust Fund shall be based on the United Nations scale of assessment as amended from time to time, adjusted to take account of the fact that not all members of the United Nations are Parties to the Convention;
- b) that any other basis of assessment of contributions shall not be used without the consent of all Parties present and voting at a meeting of the Conference of the Parties;
- c) that any change in the basic scale of contributions which would increase the liability of a Party to contribute, or would impose a new such liability, shall not apply to that Party without its consent, and that any such proposal to change the basic scale of contributions from that currently in use shall only be considered by the Conference of the Parties if notice of such proposal has been communicated by the Secretariat to all Parties at least 90 days before the meeting; and
- d) that Parties should pay their contributions to the Trust Fund in accordance with the agreed scale as in the Table* attached to this Resolution, and whenever possible, should make special contributions to the Trust Fund above their assessed contributions;

REQUESTS all Parties to pay their contributions as far as possible during the year prior to the one to which they relate or in any case promptly by the beginning of the respective calendar year to which the contributions apply;

APPEALS strongly to those Parties which, for legal or other reasons, have so far been unable to contribute towards the Trust Fund to do so;

URGES all Parties which have not yet done so to deposit as soon as possible an instrument of acceptance of the amendments of 22 June 1979 and of 30 April 1983;

INVITES states not Party to the Convention, other governmental, inter-governmental and non-governmental organizations, and other sources to consider contributing to the Trust Fund;

DECIDES that the standard participation charge for all observer organizations other than the United Nations and its specialized agencies, as decided at the third meeting of the Conference of the Parties (New Delhi, 1981), be maintained to a minimum of US\$ 150 (except as otherwise decided by the Secretariat as required) and URGES such organizations to make a greater contribution if possible at least to meet their effective costs of participation; and

APPROVES the Secretariat report.

* The Table will be the scale of contributions for the triennium 1990-1992 adopted by the Conference of the Parties. (Note from the Secretariat).

**TERMS OF REFERENCE FOR THE ADMINISTRATION OF THE TRUST FUND
FOR THE CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED
SPECIES OF WILD FAUNA AND FLORA**

1. The Trust Fund for the Convention on International Trade in Endangered Species of Wild Fauna and Flora (hereinafter referred to as the Trust Fund) shall be further continued for a period of six years to provide financial support for the aims of the Convention.
2. Pursuant to the Financial Regulations and Rules of the United Nations, the Executive Director of the United Nations Environment Programme (UNEP), with the approval of the Governing Council of UNEP and the Secretary General of the United Nations, shall continue the Trust Fund for the administration of the Convention.
3. The Trust Fund shall cover two financial periods of three calendar years each: the first financial period begins on 1 January 1990 and ends on 31 December 1992; the second financial period begins on 1 January 1993 and ends on 31 December 1995. The appropriations of the Trust Fund for the first financial period shall be financed from:
 - a) the contributions made by the Parties by reference to the attached Table*, including contributions from any new Parties which are to be added to the Table*;
 - b) contributions from states not Party to the Convention, other governmental, inter-governmental and non-governmental organizations and other sources; and
 - c) any uncommitted appropriations from the 1988-1989 financial period.
4. The budget estimates covering the income and expenditure for each of the three calendar years constituting the financial period to which they relate, prepared in Swiss francs and US dollars, shall be submitted for approval to the regular meeting of the Conference of the Parties to the Convention.
5. The estimates of each of the calendar years covered by a financial period shall be specified according to objects of expenditure; and shall be accompanied by such information as may be required by, or on behalf of, the contributors, and such further information as the Executive Director of UNEP may deem useful and advisable. In particular, estimates shall also be prepared for each of the calendar years.
6. In addition to the budget estimates for the financial period described in the preceding paragraphs, the Secretary General of the Convention, in consultation with the Standing Committee and the Executive Director of UNEP, shall prepare a medium term plan as envisaged in Chapter III of Legislative and Financial Texts Regarding The United Nations Environment Programme and the Environment Fund. For the first financial period, the medium term plan will cover the years 1990-1995, inclusive, and will incorporate the budget for the 1990-1992 financial period.

* The Table will be the scale of contributions for the triennium 1990-1992 adopted by the Conference of the Parties. (Note from the Secretariat).

7. The proposed budget and medium term plan, including all the necessary information, shall be dispatched by the Secretariat to all Parties at least ninety days before the date fixed for the opening of the regular meeting of the Conference of the Parties.
8. The budget shall be adopted by a 3/4 majority of the Parties present and voting at the regular meeting.
9. In the event that the Executive Director of UNEP anticipates that there might be a shortfall in resources, over the year as a whole, he shall consult with the Secretary General of the Convention, who shall seek the advice of the Standing Committee as to its priorities for expenditure.
10. Upon the request of the Secretary General of the Convention, after seeking the advice of the Standing Committee, the Executive Director of UNEP should, to the extent consistent with the Financial Regulations and Rules of the United Nations, make transfers from one object of expenditure to another. At the end of any calendar year of a financial period, the Executive Director of UNEP may proceed to transfer any uncommitted balance of appropriations to the following calendar year, provided that the total budget approved by the Parties for the triennium shall not be exceeded unless this is specifically sanctioned in writing by the Standing Committee.
11. Commitments against the resources of the Trust Fund may be made only if they are covered by the necessary income of the Convention.
12. All contributions shall be paid in convertible currencies. Contributions from states that become Parties after the beginning of the financial period should be made on a pro-rata basis for the balance of the financial period.
13. At the end of each calendar year of a financial period, the Executive Director of UNEP shall submit to the Parties the accounts for the year. He shall also submit, as soon as practicable, the audited accounts for the financial period.
14. The Secretary General of the Convention shall provide the Standing Committee with an estimate of proposed expenditure over the coming calendar year simultaneously with, or as soon as possible after, distribution of the accounts and reports referred to in the preceding paragraphs.
15. The general procedures governing the operations of the Fund of UNEP and the Financial Regulations and Rules of the United Nations shall govern the financial operations of the Trust Fund for the Convention.
16. These Terms of Reference shall be effective for the financial periods of 1 January 1990 to 31 December 1995 subject to amendments at the eighth meeting of the Conference of the Parties.