

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



Seventeenth meeting of the Conference of the Parties  
Johannesburg (South Africa), 24 September – 5 October 2016

Administrative and financial matters

Administration, finance and budget of the Secretariat  
and of meetings of the Conference of the Parties

ADMINISTRATION OF THE SECRETARIAT

1. This document has been prepared by the Secretariat.

Staffing situation

2. The indicative staffing table for the Secretariat for the period 2014-2016 includes 19 posts funded from the general CITES Trust Fund (CTL), 3.25 posts funded from the Programme Support Costs (PSC) and 8.5 project posts funded from the voluntary external Trust Fund (QTL).
3. Resolution Conf. 16.2 on *Financing and the costed programme of work for the Secretariat for the triennium 2014-2016*, indicates that, at its 16th meeting, the Conference of the Parties, among other things:

*DECIDES that:*

- a) *the Secretary-General shall have the authority to make staffing decisions as necessary to implement the priorities of the Parties in accordance with the costed programme of work, provided that they are within the overall budget, and taken in accordance with the Memorandum of Understanding between the CITES Standing Committee and the Executive Director of UNEP concerning Secretariat Services to and Support of the Convention.*
4. During the period 2014-2015, a number of staffing changes took place within the Secretariat for a variety of reasons, and in particular because of the mandatory retirement of five senior staff members over the course of 12 months. The introduction of the changes in the staff of the Secretariat was set out in document SC66 Doc. 9.2, presented at the 66th meeting of the Standing Committee (SC66, Geneva, January 2016).
  5. It should be noted that the established posts are charged with actual staff expenditures and are filled either by regular recruitment via the United Nations recruitment system (called Inspira) or by making a temporary appointment while the recruitment process is underway.
  6. At the time of writing (April 2016), there were three funded vacant Professional posts funded from the general CITES Trust Fund (CTL) and one General Service post funded by the voluntary external Trust Fund (QTL). The status of filling these posts is as follows:
    - a) At the time of writing, the Secretariat was finalizing the recruitment of the P-4 post of Environmental Affairs Officer (Fauna), which was expected to be filled in May/June 2016;
    - b) Two P-5 posts, Chief of Legal Affairs and Compliance Services and Chief of Knowledge Management and Outreach Services, were recruited from staff serving within the Secretariat in late 2015. Their posts became vacant and the Secretariat has filled these two posts, namely the P-4 Communications and Outreach Officer and the P-4 Capacity-Building Coordinator, on a temporary basis through loan

arrangements until the recruitments are finalized. The full Inspira recruitment of these two posts is expected to be completed by the end of 2016; and

- c) One General Service post, funded by the external Trust Fund (QTL) and based in Nairobi, is still vacant and efforts are underway to finalize the recruitment in the second quarter of 2016.
7. The staffing resources available to the Secretariat have been declining while the effort required to fulfil its mandates and functions has been continually expanding. The number of Parties has continued to grow; the organization of the Animals and Plants Committee meetings has become increasingly demanding, and the meetings of the Standing Committee have become “mini-CoP” meetings, with the number of observers and side events and the level of media interest continuing to increase. Furthermore, the number of Resolutions and Decisions adopted at each meeting of the Conference of the Parties has become more challenging. Statics showing the number of established and encumbered posts (Annex 1), increases in the number of Parties from 2000 to 2015 (Annex 2) and increases in the number of delegates participating at the CITES meetings (Annex 3) are attached to this document. An earlier version was presented at SC66 in document SC66 Doc.10.2.
8. It should be recognized that the number of established posts funded from the general CITES Trust Fund (CTL) has decreased significantly over the last 15 years, during which time several staff members who retired or resigned were not replaced. Since the year 2000, the number of core-funded posts has been reduced from 26 to 19 in 2016; a decrease of nearly 26 per cent.
9. The limited number of staff in the Secretariat, the significant increase in workload, and the retirement of five highly experienced staff has placed the Secretariat under enormous pressure. Notwithstanding, the Secretariat has continued to fulfil all of its functions through the efforts of highly dedicated and experienced staff members who have been willing to work well beyond their required hours of work, as well as through obtaining the services of short-term project-hired staff, interns, secondments and gratis personnel. However, in the medium to long term this arrangement is not sustainable and is placing significant strains on the Secretariat’s staff and on their personal health and well-being.
10. With regard to Parties’ in-kind support: the European Union has contributed funds for the MIKE team in Nairobi and for a Project Assistant; Germany has generously provided a Junior Professional Officer (JPO) to assist with work on marine species; the Republic of Korea has sent a number of highly-qualified interns through their Korean Environment Corporation International Environment Expert Training Program (KECO-IEETP); and the United Kingdom of Great Britain and Northern Ireland has provided an ICCWC Support Officer.
11. The Secretariat is therefore proposing a modest increase in the staffing component funded from the general CITES Trust Fund (CTL) to meet the current and new demands. This proposal is presented in document CoP17 Doc. 7.3, Annex 2 (incremental growth scenario), for consideration at the present meeting.
12. As noted above, the Secretariat is in the process of a major transition as a result of all the staffing changes, and this places it under added pressure. The Secretariat expresses its deep gratitude to all Parties and stakeholders for their continued support and understanding.
13. The Secretariat is grateful to Parties for their contributions to the general CITES Trust Fund (CTL) and to those donors that have enabled it to employ additional staff resources through the voluntary external Trust Fund (QTL) and in particular the European Union, Germany, Republic of Korea and the United Kingdom.

#### Administrative changes within the United Nations

14. As reported in document SC66 Doc. 9.2 at SC66, the introduction and deployment of “Umoja” took place on 1 June 2015 for UNEP, worldwide. This administrative reform initiative for the United Nations Secretariat is intended to provide a simplified and real-time approach to the Organization’s management of finances, resources and assets and will require a complete re-working of the way the UN manages its administration in both business processes and systems.
15. Since Umoja was introduced, the UN has encountered several issues in harmonizing and unifying the disparate operating models and business practices used at over 400 UN locations into one common Enterprise Resource Planning (ERP) software solution.

16. Experience of other entities, including the United Nations Development Programme and other UN system agencies, funds and programmes, shows that it takes a considerable time and a dedicated and continuous effort to find solutions and to adjust the organization to a new way of managing the day-to-day operations.
17. In view of the above, the UN Headquarters has established an Umoja Post-Implementation Review Task Force (UPIR-TF) whose mandate is to monitor and address concerns and issues arising from the deployment of the Umoja. By the end of February 2016, 288 problems had been identified resulting from the deployment of Umoja in June 2015 and action was being taken to deal with them. These issues include matters related to reporting to donors, travel management, backlogs in processing of payments and correction of cash conversion issues that arose during the migration of data into Umoja.
18. In September 2015, UNEP established an Umoja Competence Centre (UCC) to better meet the need to resolve concerns related to business processes surrounding Umoja, data conversion, reporting, mapping, support to UNEP's offices and training.
19. At the time of writing there were still areas of uncertainty in relation to the implementation of Umoja and the precise nature of the impact it will have on the CITES Secretariat. For instance, since the deployment of Umoja, the delegation of authority related to approval and certifying functions has temporarily been suspended and is still centralized in UNEP, except for areas related to travel of staff and meeting participants and requisition functions relating to procurement, which were released back from the UNEP headquarters in late December 2015. Furthermore, changes in CITES bank accounts, which since 1 May 2015 have only been able to accept contributions and not make payments, has caused and continues to cause serious delays in processing of payments to consultants, implementing partners and vendors. As a result, the Secretariat is still limited to executing tasks in Umoja related to the creation of documents for processing, while the approving and processing of payments is done by either UNEP or UNON.
20. It should be noted that this change is having a major impact on the operation of the Secretariat and will affect the implementation of the programme of work for the remainder of the triennium 2014-2016. It has also placed considerable additional strain on the staff of the Secretariat, especially its administrative staff. Since the launch of Umoja, the Secretariat has continued to work closely with UNEP, its MEA focal point on operational and administrative issues, and UNON to resolve outstanding issues related to cash availability, donor reporting, and pending payments.
21. UNEP is also working on revising the delegation of authority (DoA) policy and framework for its Division Directors and executive heads of MEAs. In its first phase, the focus will be to establish a DoA policy that is meeting UNEP's needs, including those of its divisions and regional offices. The second phase of this initiative will start in April/May 2016 will focus on an MEA-specific DoA framework.
22. The Secretariat has informed UNEP, that it is important that the future DoA is fully in line with the existing Memorandum of Understanding between the Standing Committee and Executive Director of UNEP, which recognizes the legal autonomy of the Convention in relation to UNEP and accepts the full authority of its Secretary-General. It should also be noted that UNEP has requested a review of this MoU, which will need to be addressed through a process established under the Standing Committee at its next meeting.
23. The UNEP Secretariat acknowledges that, in the long term, Umoja will reinforce the new DoA and provide more accurate reporting and monitoring tools for management and donors. However, lessons learned since the deployment of the system and the ongoing situation is causing concerns and major challenges for small convention secretariats. There is a clear need, at headquarters level, to revise current business processes, to establish adequate standing operating procedures and targeted training and ongoing support in the day-to-day operation of the Secretariat.
24. The Secretariat sincerely thanks Parties, donors, partners and other stakeholders for their patience and understanding during this major change for the UN, UNEP and UNEP-administered secretariats.

#### Recommendation

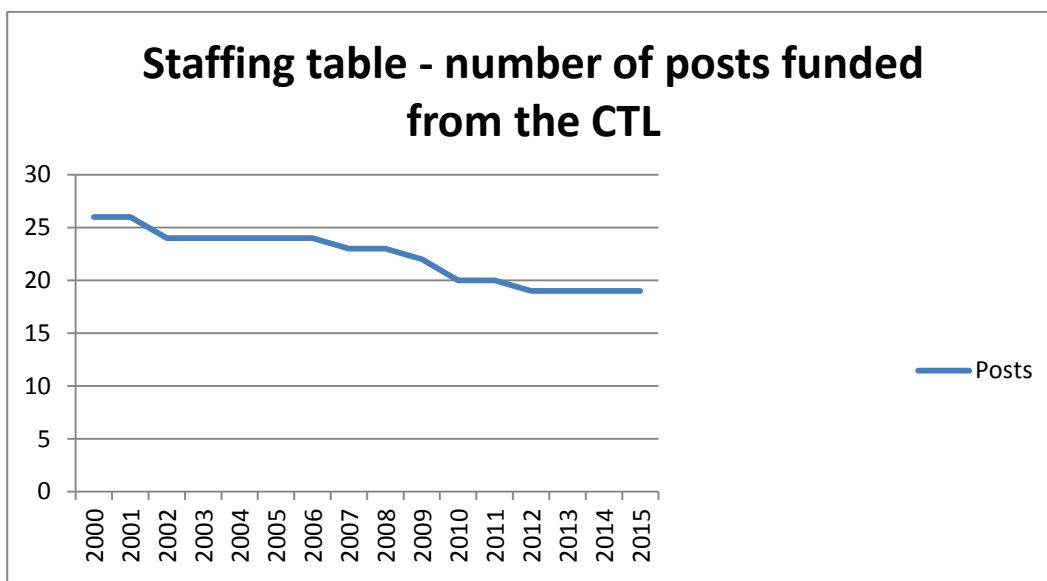
25. The Conference of the Parties is invited to take note of this report.

Annex 1: Number of posts within the CITES Secretariat from 2000 to 2015

**Number of posts within the CITES Secretariat from 2000 to 2015 funded from the general CITES Trust Fund (CTL)**

Year	Posts
2000	26
2001	26
2002	24
2003	24
2004	24
2005	24
2006	24
2007	23
2008	23
2009	22
2010	20
2011	20
2012	19
2013	19
2014	19
2015	19

In addition to the above CTL funded posts, the Secretariat also has 3.25 posts that are funded from the Programme Support Costs; one Administrative Officer, one Administrative Assistant, one Finance Assistant and 0.25 Information Network Officer.

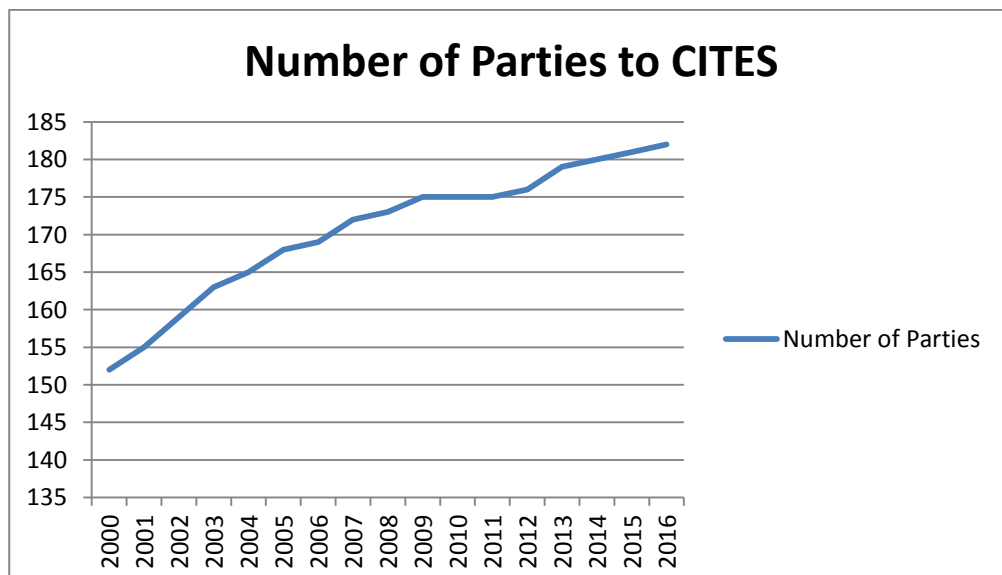


**Annex 2: Number of Parties to CITES from 2000 to 2016**

**Number of Parties to CITES from 2000 to 2016**

<b>Year</b>	<b>Number of Parties</b>
2000	152
2001	155
2002	159
2003	163
2004	165
2005	168
2006	169
2007	172
2008	173
2009	175
2010	175
2011	175
2012	176
2013	179
2014	180
2015	181
2016	182

In addition to the above CTL funded posts, the Secretariat also has 3.25 posts that are funded from the Programme Support Costs; one Administrative Officer, one Administrative Assistant, one Finance Assistant and 0.25 Information Network Officer.



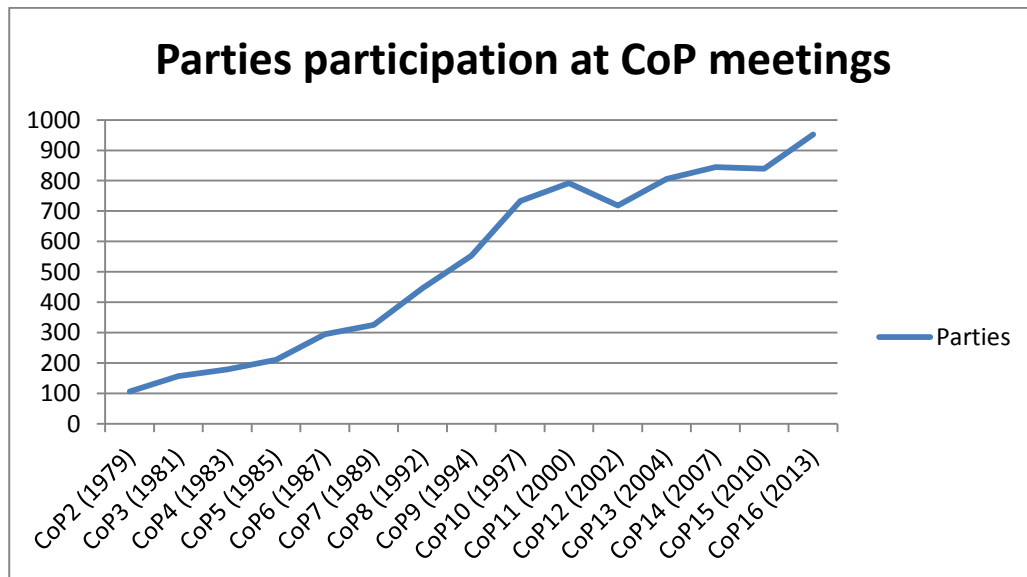
**Annex 3: Participants at the meetings of Governing Bodies and Animals and Plants Committees**

**Number of participants at meeting of governing bodies and Animals and Plants Committees**

**Table A. Participants at meetings of the Conference of the Parties from CoP2 to CoP16**

Meetings	Parties	Observers	Total
CoP2 (1979)	106	129	<b>235</b>
CoP3 (1981)	157	208	<b>365</b>
CoP4 (1983)	179	124	<b>303</b>
CoP5 (1985)	211	239	<b>450</b>
CoP6 (1987)	295	339	<b>634</b>
CoP7 (1989)	325	371	<b>696</b>
CoP8 (1992)	447	562	<b>1009</b>
CoP9 (1994)	553	500	<b>1053</b>
CoP10 (1997)	733	403	<b>1136</b>
CoP11 (2000)	792	451	<b>1243</b>
CoP12 (2002)	718	447	<b>1165</b>
CoP13 (2004)	806	339	<b>1145</b>
CoP14 (2007)	845	403	<b>1248</b>
CoP15 (2010)	839	350	<b>1189</b>
CoP16 (2013)	952	568	<b>1520</b>

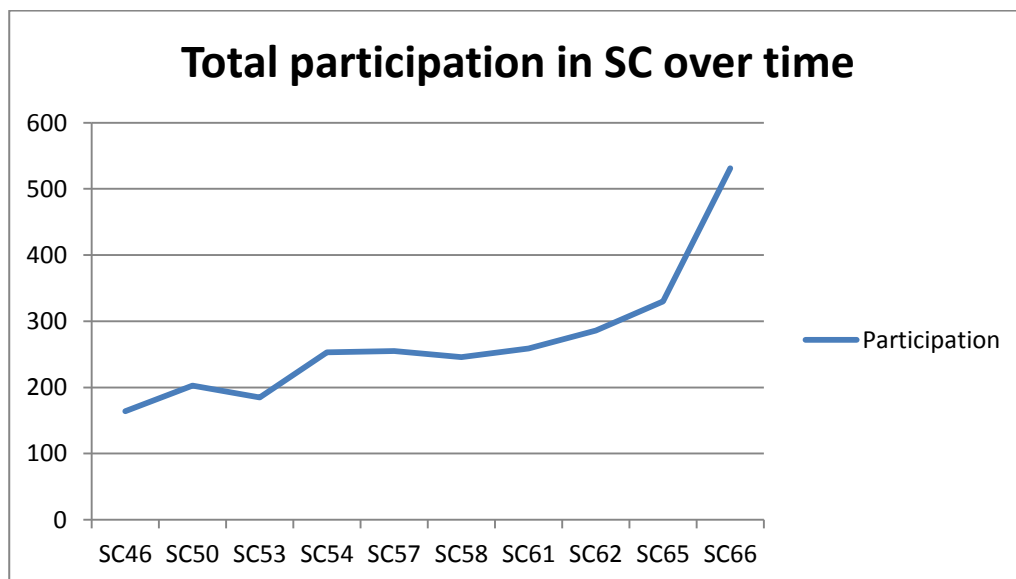
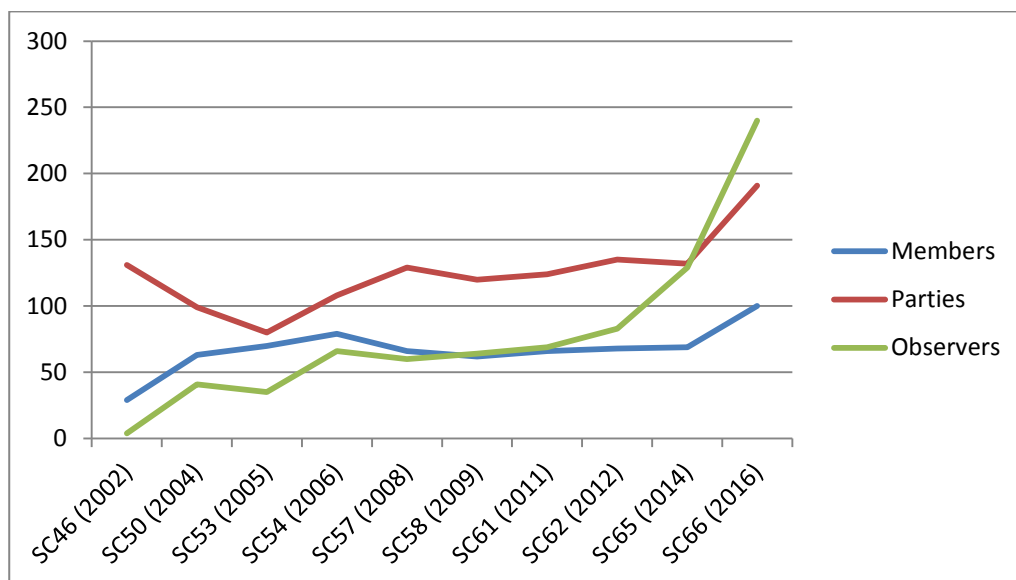
Note that the above number of participants per meeting does not include day visitors or accredited media.



**Table B. Participants at the Standing Committee meetings from SC46 to SC65**

Meeting	Members	Parties	Observers	Total
SC46 (2002)	29	131	4	164
SC50 (2004)	63	99	41	203
SC53 (2005)	70	80	35	185
SC54 (2006)	79	108	66	253
SC57 (2008)	66	129	60	255
SC58 (2009)	62	120	64	246
SC61 (2011)	66	124	69	259
SC62 (2012)	68	135	83	286
SC65 (2014)	69	132	129	330
SC66 (2016)	100	191	240	531

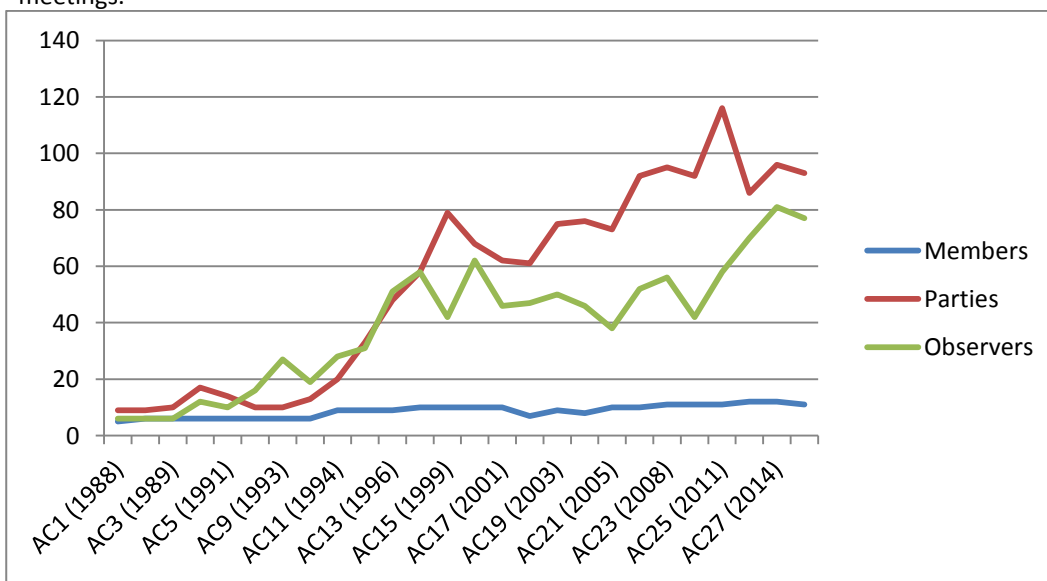
Note that the SC meetings before and after the CoPs are not included in above table, as separate registration data to show SC participation are not available.



**Table C. Participants at the Animals Committee from AC1 to AC28**

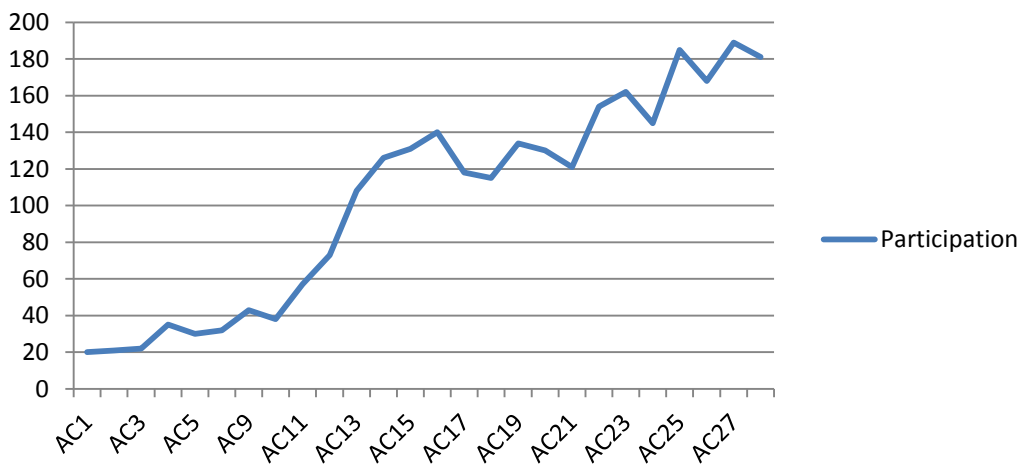
Meeting	Members	Parties	Observers	Total
AC1 (1988)	5	9	6	<b>20</b>
AC2 (1989)	6	9	6	<b>21</b>
AC3 (1989)	6	10	6	<b>22</b>
AC4 (1990)	6	17	12	<b>35</b>
AC5 (1991)	6	14	10	<b>30</b>
AC8 (1992)	6	10	16	<b>32</b>
AC9 (1993)	6	10	27	<b>43</b>
AC10 (1994)	6	13	19	<b>38</b>
AC11 (1994)	9	20	28	<b>57</b>
AC12 (1995)	9	33	31	<b>73</b>
AC13 (1996)	9	48	51	<b>108</b>
AC14 (1998)	10	58	58	<b>126</b>
AC15 (1999)	10	79	42	<b>131</b>
AC16 (2000)	10	68	62	<b>140</b>
AC17 (2001)	10	62	46	<b>118</b>
AC18 (2002)	7	61	47	<b>115</b>
AC19 (2003)	9	75	50	<b>134</b>
AC20 (2004)	8	76	46	<b>130</b>
AC21 (2005)	10	73	38	<b>121</b>
AC22 (2006)	10	92	52	<b>154</b>
AC23 (2008)	11	95	56	<b>162</b>
AC24 (2009)	11	92	42	<b>145</b>
AC25 (2011)	11	116	58	<b>185</b>
AC26 (2012)	12	86	70	<b>168</b>
AC27 (2014)	12	96	81	<b>189</b>
AC28 (2015)	11	93	77	<b>181</b>

Note that AC6 (1992) and AC7 (1992) are not included in the above data as they were 1-day meetings.





## Total participation in AC over time



**Table D. Participants at the Plants Committe from PC1 to PC22**

Meeting	Members	Parties	Observers	Total
PC1 (1988)	5	12	14	<b>31</b>
PC2 (1991)	5	10	5	<b>20</b>
PC3 (1992)	5	13	8	<b>26</b>
PC4 (1993)	6	13	12	<b>31</b>
PC5 (1994)	6	24	28	<b>58</b>
PC6 (1995)	8	39	25	<b>72</b>
PC7 (1996)	8	40	32	<b>80</b>
PC8 (1997)	8	53	16	<b>77</b>
PC9 (1999)	9	42	14	<b>65</b>
PC10 (2000)	10	32	14	<b>56</b>
PC11 (2001)	9	48	10	<b>67</b>
PC12 (2002)	10	39	15	<b>64</b>
PC13 (2003)	10	44	15	<b>69</b>
PC14 (2004)	9	47	12	<b>68</b>
PC15 (2005)	10	58	13	<b>81</b>
PC16 (2006)	9	64	20	<b>93</b>
PC17 (2008)	11	70	25	<b>106</b>
PC18 (2009)	9	80	12	<b>101</b>
PC19 (2011)	10	91	21	<b>122</b>
PC20 (2012)	10	76	25	<b>111</b>
PC21 (2014)	12	71	16	<b>99</b>
PC22 (2015)	12	77	19	<b>108</b>

