

STRATEGIC AND FUNCTIONAL REVIEW OF THE CARTAGENA CONVENTION

UNEP 2021

B. Objective of the Strategic and Functional Review

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C. Terms of Reference

Four distinct but interlinked thematic clusters as follows:

- Thematic cluster A: Organizational structure - reporting lines, efficiency of hierarchical structure, accountability mechanisms, links with headquarters and deficiency of Convention's institutional governance mechanisms.
- Thematic cluster B: Work processes - Use of current levels of delegation of authority, adherence to United Nations Financial Rules.
- Thematic cluster C: Policy and programme coherence - Implementation of projects, outreach to member states, coordination with regional and corporate headquarters.
- Thematic cluster D: Financial sustainability - Gap between resources required and currently allocated for effective implementation of the convention's programmes, etc.

D. Methodology

- Desk based study – list of documents reviewed provided as an annex to the review.
- Interviews/meetings with the member states, CAR/RCU staff and senior managers at the UNEP Regional Office for Latin America and the Caribbean (ROLAC), Sub-Regional Office in Kingston, Jamaica; Coordinators of two UNEP-administered Regional Seas Programmes (RSP), the Barcelona Convention and Nairobi Convention, and corporate headquarters in Nairobi, among others.
- Questionnaires designed for National focal points, other stakeholders, and CAR/RCU staff – attached as annex to the review.

E. Results and Findings

- Parties appreciate the indispensable nature of the Cartagena Convention – being the only legally binding instrument covering the Wider Caribbean Region on coastal and marine resources.
- Parties appreciate that the Cartagena Regional Coordinating Unit with its limited human and financial resources had stretched itself to its limits to implement important projects.
- However, there is a strong impression that of a once proud and globally recognized flagship programme of the United Nations Environment Programme has lost its way. The Cartagena Convention Secretariat has problems of management, finance and operations that need to be addressed urgently.

F. Recommendations

- The Strategic and Functional Review of the Cartagena Convention Secretariat recommends 25 strategic actions to improve the situation.
- More than 90 per cent of the suggestions of improvement in the review relate to improving operational effectiveness - productivity, efficiency, outsourcing, partnering, cost savings, change management - rather than altering the strategy/strategies relating to the implementation of the mandate of the Convention.
- There is an immediate need to address the financial situation of the Convention and the organizational structure of the secretariat in order to improve efficiency and effectiveness of delivery and service to the Parties.

F. Recommendations - Strategic Actions on Organizational Structure

A. <u>Strategic Action on Organizational Structure</u>		
Strategic action 1: Strategic action 1: Reclassification and restructuring of posts		
Strategic action 2: Definition of responsibilities, authority, reporting lines and accountability of each position on the organization chart		
Strategic action 3: Quick implementation of the new organization chart within stipulated timelines		
Strategic action 4: Competencies and skill sets in job descriptions to be updated		
Strategic action 5: Training needs of staff to be identified and rationalized		
Strategic action 6: Imperative need for political support from UNEP headquarters		
Strategic action 8: Increased operational efficiency: all urgent and time-sensitive demands for information to be coordinated through UNEP's Ecosystem Integration Branch		
Strategic action 10: Transparency and accountability		
Strategic action 2: A working group should be established to evaluate current architecture – organizational and technical –of RACs		

F. Recommendations - Strategic Actions on Work Process

B. <u>Strategic Action on Work process</u>		
Strategic action 1: Convention Secretariat needs to clarify roles of Bureau and Conference of the Parties (COP)		
Strategic action 2: Participation of Programme Managers to assist Coordinator in Bureau meetings		
Strategic action 1: Ecosystem Integration Branch must fully evaluate proceedings of last Scientific and Technical Advisory Committee (STAC) meeting, where several contracting parties faced significant difficulties		
Strategic action 3: Work done in working groups and decisions taken during STAC and COP meetings should accurately reflect government opinions. The Secretariat's role should be to ensure that balanced debates take place and that the parties' decisions are implemented		

F. Recommendations - Strategic Actions on Policy and Programme Coherence

C. <u>Strategic Action on Policy and Programme Coherence</u>		
<p>Strategic action 5: Closer engagement with the Global Environment Facility (GEF) to ensure involvement of Cartagena Convention Secretariat in more marine projects</p>		
<p>Strategic action 6: UNEP to have high-level engagement with United Nations Development Programme (UNDP) for the Caribbean Regional Coordinating Unit (CAR/RCU) to act as Secretariat for the PROCARIBE project (Protecting and Restoring the Ocean’s natural Capital, building Resilience and supporting region-wide Investments for sustainable Blue socio-Economic development)</p>		
<p>Strategic action 8: CAR/RCU to invest in building strong relationships with the global multilateral environmental agreements (MEAs) and other Regional Seas Programmes (RSPs)</p>		
<p>Strategic action 11: Cartagena Convention Secretariat cannot respond to every request that is not endorsed by its Conference of the Parties (COP). It must be prepared for strategic trade-offs.</p>		
<p>Strategic action 7: Clear demarcation of functions and responsibilities of UNEP’s Regional Office of Latin America and the Caribbean (ROLAC) and CAR/RCU regional and subregional offices</p>		
<p>Strategic action 4: Engage RAC in the Centre of Research and Environmental Management of Transport (CIMAB), Cuba and resolve long-standing issues</p>		

F. Recommendations - Strategic Actions on Financial Sustainability

<u>D. Strategic Action on Financial sustainability</u>		
Strategic action 1: Flagging Clause 24 on Administration of Amendment 1 dated 13 December 2014 to the “Financial Rules for the Convention” for the attention of the parties		
Strategic action 2: Increasing coordination and communication with countries that have outstanding contributions		
Strategic action 3: Cost-saving measures for financial sustainability		
Strategic action 4: Sustained engagement with major donors		
Strategic action 7: Linking UNEP’s successful Greening the Insurance and Banking Industry with the work of the Cartagena Convention Secretariat that serves the most hurricane-prone area in the world		
Strategic action 9: Voluntary contributions of member states in the form of secondment of Junior Professional Officers/Associate Experts		

Status of contribution to the Caribbean Trust Fund

Year	2014	2015	2016	2017	2018	2019	2020
Contributions Received	982,109	1,053,575	964,388	947,928	1,090,040	630,682	1,267,098
Expenditure	1,564,758	1,046,336	1,062,604	997,228	1,032,393	1,328,590	929,647

Notes:

2019 USA Contribution paid in early 2020 US govt contribution delayed across UNEP

2019 Expenditure includes travel for COP/IGM against extraordinary contribution from The Netherlands

2020 Expenditure reduced due to partial off-set of P-4 LBS PMO position against project funds

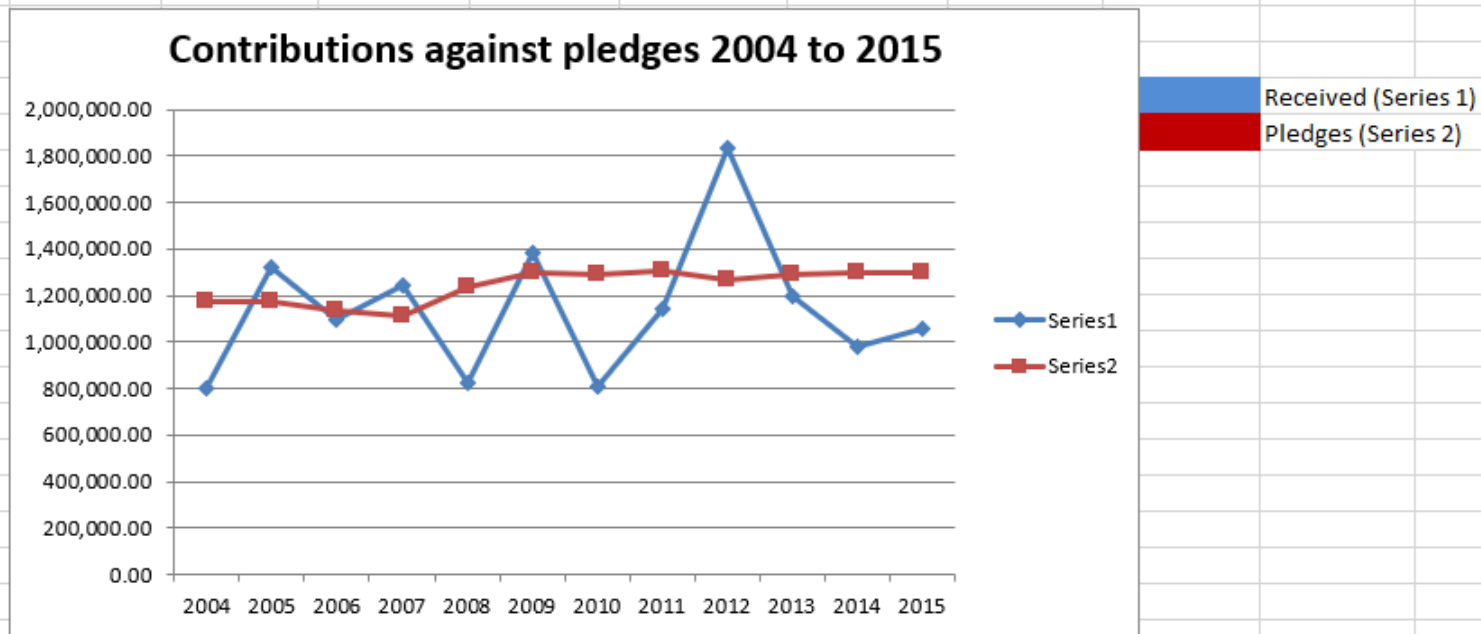
Year	Contributions	Expenditure	%age	Year	Contributions	Expenditure	%age
2014	982,109	1,564,758	159%				
2015	1,053,575	1,046,336	99%	2015	1,053,575	1,046,336	99%
2016	964,388	1,062,604	110%	2016	964,388	1,062,604	110%
2017	947,928	997,228	105%	2017	947,928	997,228	105%
2018	1,090,040	1,032,393	95%	2018	1,090,040	1,032,393	95%
2019	630,682	1,328,590	211%	2019	630,682	1,328,590	211%
2020	1,267,098	929,647	73%	2020	1,267,098	929,647	73%
Total	6,935,820	7,961,556	115%	Total	5,953,711	6,396,798	107%
Average	1,387,164	1,592,311	115%	Average	1,190,742	1,279,360	107%

Trend of contribution to the Caribbean Trust Fund

Trend of contributions vis-à-vis pledges from 2004 to 2015

	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015
	68%	113%	97%	112%	66%	106%	63%	87%	145%	93%	76%	81%
Received	800,634.34	1,323,203.90	1,099,025.77	1,243,432.77	820,267.96	1,384,215.63	810,822.00	1,144,102.89	1,836,188.82	1,196,255.21	982,109.00	1,053,575.00
Pledges	1,176,227.62	1,170,338.14	1,136,374.00	1,113,002.00	1,234,066.00	1,300,807.00	1,290,587.67	1,308,943.00	1,267,126.00	1,291,064.00	1,295,333.00	1,295,333.00

*Note some of the contributions received include payments for outstanding contributions in prior years.



Proposed staffing table of the Secretariat

Reclassification of staff positions

Current			Proposed *		
Caribbean Trust Fund	Level	Standard UN Costs**	Caribbean Trust Fund	Level	Standard UN Costs
Coordinator	D1	247,900	Coordinator*	P5	204,300
Pollution (AMEP)	P4	184,900	Pollution (AMEP)	P4	184,900
Biodiversity (SPAW)	P4	184,900	Biodiversity (SPAW)	P4	184,900
Sub-Total Professional Posts		617,700	Sub-Total Professional Posts		574,100
Senior Personal Assistant	G6	45,800	Senior Personal Assistant	G6	45,800
Finance and Budget Assistant	G6	45,800	Senior/Administrative Assistant (Alternate Certifying Officer)***	G6/G7	45,800
Information Systems Assistant	G6	45,800	Information Systems Assistant	G6	45,800
Programme Assistant - AMEP	G5	45,800	Programme Assistant - AMEP	G5	45,800
Programme Assistant - SPAW	G5	45,800	Programme Assistant - SPAW	G5	45,800
Finance Assistant	G5	45,800	Finance and Budget Assistant	G5	45,800
Team Assistant - Communication	G5	45,800	Team Assistant - Communication	G5	45,800
Team Assistant - Administration	G4	45,800	Team Assistant - Administration	G4	45,800
Driver	G2	45,800	Driver/Admin Assistant - Assets Focal Point	G3	45,800
Sub-Total General Service Posts		412,200	Sub-Total General Service Posts		412,200
Total Costs		1,029,900	Total Costs		986,300
Overhead Trust Fund (OTA) - PSC	Level	Standard UN Costs	Overhead Trust Fund (OTA) - PSC	Level	Standard UN Costs
Administrative & Funds Management Officer*	P4	184,900	Administrative & Funds Management Officer	P3	151,000

Thank you



United Nations Avenue, Gigiri
PO Box 30552 – 00100 GPO Nairobi, Kenya

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