

Joint Managerial Functions

**Proposal from the Executive Secretary of the Basel, Rotterdam and Stockholm Conventions for the organization of the secretariats of the three conventions**

21 December, 2011

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## **Executive Summary**

This paper represents the proposal from the Executive Secretary of the Basel, Rotterdam and Stockholm Conventions for the organization of the secretariats of the three conventions, as requested by the three Conferences of the Parties held in 2011 in their decisions on joint managerial functions.

The Executive Secretary is proposing a shift from the current structure, generally referred to as a programmatic structure, to a future matrix structure. The current structure principally consists of three separate secretariats dedicated to each of the three conventions plus a joint convention services group dedicated to providing common support services to each secretariat. The proposed future structure would establish a single integrated secretariat dedicating to serving all three conventions equally, and would consist of four branches covering administrative services, convention operations, technical assistance and scientific support. The proposed future structure would also considerably simplify the organization of the secretariat, and ultimately reduce the number of senior managers.

The proposal provides a rationale for the restructuring, and includes sections on goals and objectives, as well as on advantages and disadvantages. It also describes the process for developing this proposal, which included the work of a secretariat task force on restructuring, which developed a thorough operations analysis, as well as extensive discussions with regional groups at all three of the 2011 COPs. The paper also includes a timeline for implementation and next steps.

The proposal notes issues associated with filling management posts and the need to remain within the 2012-2013 approved budget for each convention. Because the management posts will be filled through an open competitive process, the proposed future organization designates them as new vacant posts. However, it is expected that these posts can be filled within the approved budgets and without creating an overly top-heavy organization, and the proposal indicates how this would happen. The proposal also notes demographic issues in the secretariat and its management.

A number of new management controls are proposed within this paper. Such measures are needed to support the successful transition to, and operation of, a matrix organization. Finally, a draft vision for the secretariat is included in this paper, which should be helpful in guiding secretariat management into the future.

It is the sincere hope of the Executive Secretary that this proposal advances the vision and aspirations of Parties for organizational synergies within the secretariat, and would welcome any comments or input to help strengthen this proposal to better meet the needs of Parties.

*Jim Willis*  
*Executive Secretary*

## 1. Introduction

This paper represents the proposal from the Executive Secretary of the Basel, Rotterdam and Stockholm Conventions for the organization of the secretariats of the three conventions, as called for in paragraph 4 of section II on Joint Managerial Functions of decisions BC-10/29, RC-5/12 and SC-5/27 of the respective Conferences of the Parties.

On the basis of the February 2010 decisions of the Extraordinary Meetings of the Conferences of the Parties to the Basel, Rotterdam and Stockholm Conventions in paragraph 6 of section II on Joint Managerial Functions (decisions BC.Ex-1/1, RC.Ex-1/1 and SC.Ex-1/1) Parties had anticipated a proposal from the Executive Secretary in time for the 2011 COPs. However, recognizing that the new Executive Secretary had only taken up his duty station the week preceding the Stockholm COP, the first in the 2011 cycle, Parties provided an extension until the end of 2011. This has allowed the holding of the three successful 2011 COPs while at the same time has given the Executive Secretary the opportunity to take stock of the work of the secretariats and their staff, to learn the views of Parties and other stakeholders on the work of the secretariat and organizational issues that should be addressed, and to analyze the processes and operations currently in place. Hopefully Parties will agree that this additional time has resulted in a more thoughtful and better-supported proposal than might have been otherwise possible.

In particular, the Executive Secretary would like to express his gratitude for the extremely helpful guidance received (1) from Parties through meetings with regional groups at all three of the 2011 COPs as well as the kind and generous counsel of the permanent missions to the United Nations in Geneva, and (2) from the staff of the secretariat through one-to-one discussions and through the work of secretariat task forces to support this initiative. This proposal would have been much poorer without this assistance.

While this proposal does try to synthesize the views of stakeholders noted above, many of its elements will reflect the personal management approach and vision of the Executive Secretary. It may be useful to reviewers to begin this proposal by reflecting on a few of these considerations.

- The primary intent of this proposal is to build a structure to better support synergies – in the case of the secretariat this means primarily identifying and implementing efficiencies that translate into increased support to Parties. As such, eliminating redundancies, identifying resource savings, building upon best practices, and strengthening the focus on delivery of services to Parties are key considerations.
- Of almost equal importance is building a sustainable secretariat. In this context, sustainability is a complex set of concepts, including, for example, ensuring that new treaties could be added to the structure if that is the wish of governments, having a well trained and regionally and gender balanced staff and management, building a structure that reinforces and rewards teamwork both within the secretariat and with external partners, having a structure that can absorb

potential financial shortfalls caused, e.g., by significant arrears, having in place a set of standard operating procedures for all of the secretariat operations, and having appropriate management controls to ensure the work is completed on time, is of high quality, and is appropriately budgeted and accounted for.

- The proposal focuses exclusively on attempting to design and implement the best possible structure for the secretariat. As such, it is neutral with respect to encumbered posts and does not propose any reductions in posts at this point in time. Rather, all encumbered (and vacant) posts were carried from the current organization into the future organization. Clearly, issues associated making the transition to the future organization while staying within the 2012-2013 approved budgets must be addressed. However, it is felt that these issues are best addressed as part of the process of filling the management positions in the new structure and that filling new posts will depend on finding commensurate savings elsewhere.
- The proposal also reflects the Executive Secretary's preference for a simpler, less hierarchical structure. Such a structure can significantly reduce the number of review and decision-making steps and better empower staff to manage their own work. This can greatly facilitate teamwork horizontally across the organization, which is essential to a matrix structure such as the one proposed.
- This proposal addresses only the UNEP part of the secretariat; it is understood that the full proposal to the 2013 COPs may be broader, including FAO, and changes, if necessary, would build upon lessons learned from implementing this proposal.

Considerable thanks are due to the UNEP Executive Director for his input and feedback. The Executive Director was very generous with his time, and discussions with him on the respective roles of the convention secretariat and UNEP proper were invaluable. There is a strong understanding within UNEP that building synergies is critical to our mutual success in working to protect the environment, and is not limited to the MEAs. Thanks are also due to Bakary Kante and the Division of Environmental Law and Conventions for their support during 2011 in better integrating the convention secretariat into the UNEP family, as well as for their support to the three 2011 Conferences of the Parties and in carrying out many of the resulting decisions.

## **2. Background of COP Decisions**

The following lists the relevant Basel, Rotterdam and Stockholm COP synergies decisions. The March 2008 report of the ad hoc joint working group is also included for ease of reference, as is the November 2009 Note by the secretariats on Joint Activities to the Bali ExCOPs. However, decisions of subsidiary bodies are not included. The secretariat has compiled these decisions related to synergies and made them available on the Secretariat website (<http://www.basel.int/TheConvention/Synergies/Decisions/tabid/2505/Default.aspx>).

<b>Decision</b>	<b>Date</b>	<b>Title</b>
RC-1/17	September 2004	Financing and budget for the biennium 2005-2006
SC-1/18	May 2005	Enhancing synergies within the chemicals and waste cluster
SC-1/4	May 2005	Financing and budget for the biennium 2006-2007
RC-2/6	September 2005	Enhancing synergies between the secretariats of the chemicals and waste conventions
SC-2/15	May 2006	Synergies
RC-3/8	October 2006	Cooperation and coordination between the Basel, Stockholm and Rotterdam Conventions
BC-VIII/8	December 2006	Cooperation and coordination between the Basel, Stockholm and Rotterdam Conventions
	March 2008	Recommendation of the Ad Hoc Joint Working Group on Enhancing Cooperation and Coordination Among the Basel, Rotterdam and Stockholm Conventions
BC-IX/10	June 2008	Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions
RC-4/11	October 2008	Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions
SC-4/34	May 2009	Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions
	November 2009	Joint Activities, Note by the secretariats
BC.Ex-1/1	February 2010	Omnibus decision adopted by the Conference of the Parties to the Basel Convention
RC.Ex-1/1	February 2010	Omnibus decision adopted by the Conference of the Parties to the Rotterdam Convention
SC.Ex-1/1	February 2010	Omnibus decision adopted by the Conference of the Parties of the Stockholm Convention

SC-5/27	April 2011	Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions
RC-5/12	June 2011	Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions
BC-10/29	October 2011	Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions

### **3. Overview of secretariat functions and organization as of November 2011**

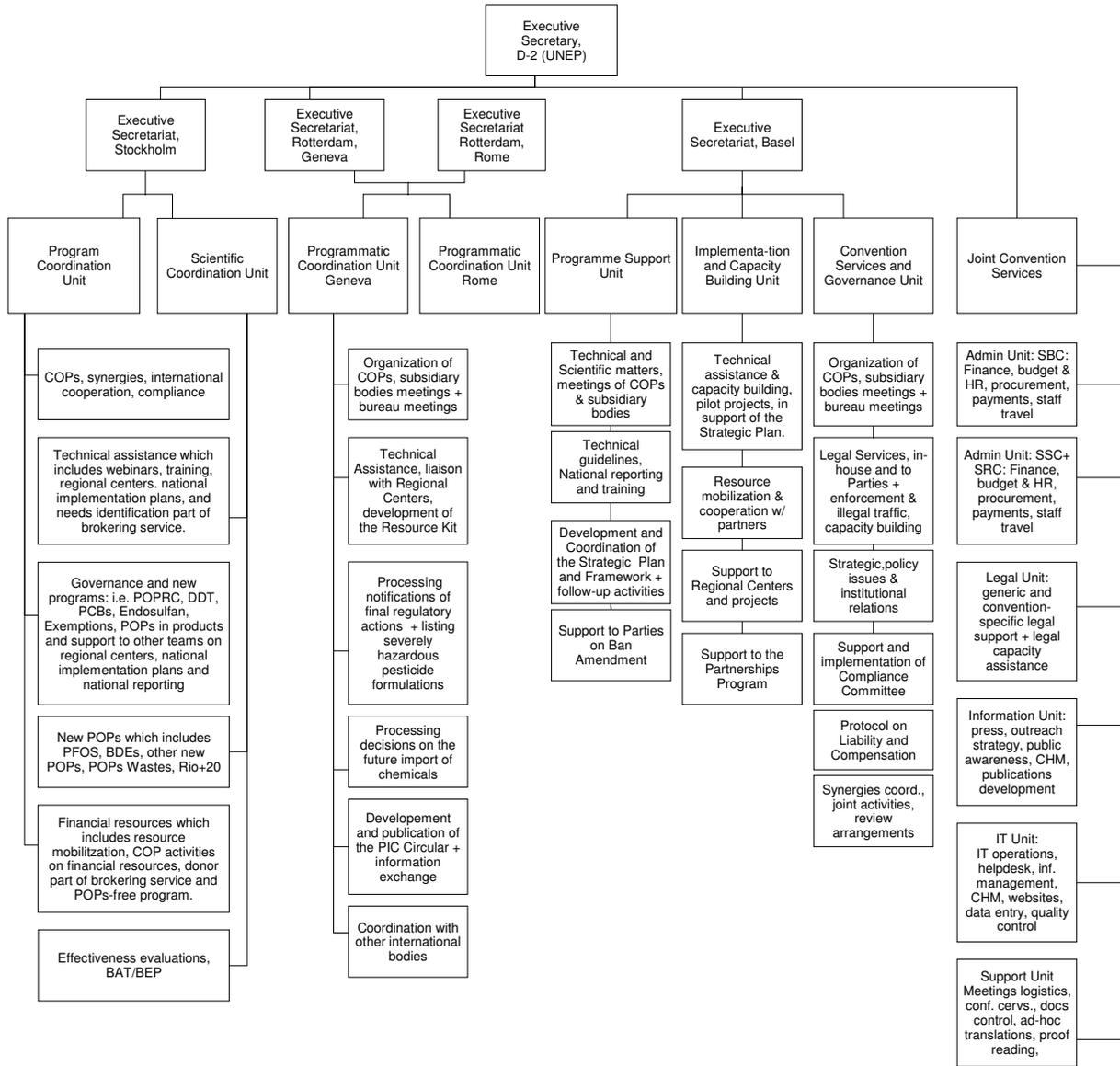
Figure 1 shows a functional organigramme that describes, at a high level of aggregation, the main functions of each major structural unit of the current secretariat.

Figure 2 shows a staffing organigramme that places each of the posts of the current secretariat within each of the secretariat structural units. This organigramme includes all posts within the secretariat established under general or voluntary trust funds of the three conventions, as well as posts funded through programme support costs. Source of funding for each post is indicated on the organigramme, i.e., whether the post is funded by the general or voluntary trust funds of one of the conventions, or is funded through programme support costs. Names of staff members are omitted. Vacant posts are indicated as such; all other posts are encumbered, and may be occupied by staff under permanent, fixed-term or temporary contracts.

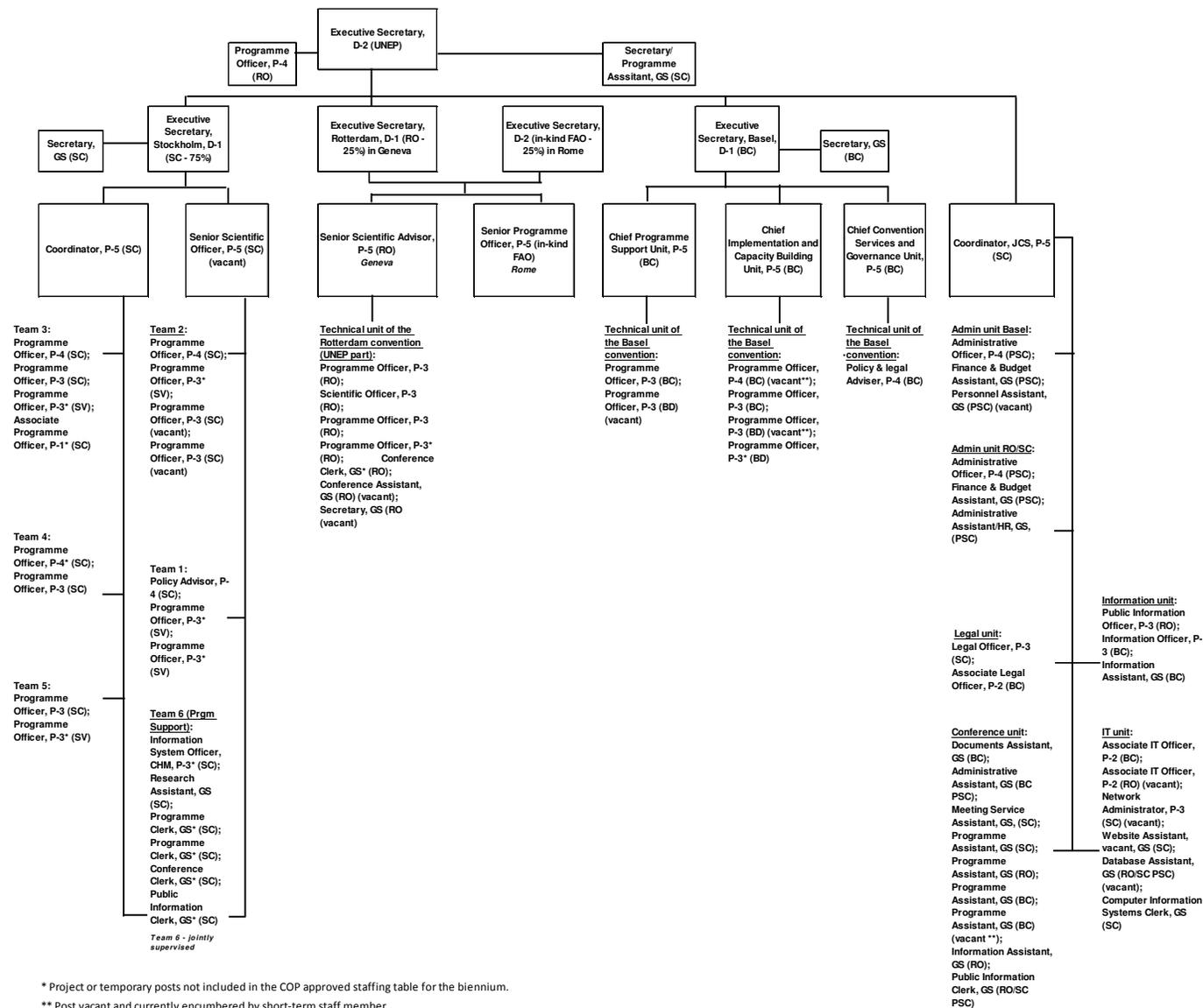
There are currently 64 encumbered posts, and 11 vacant posts, for a total of 75 posts altogether.

Figures 1 and 2 are current as of November 2011.

**Figure 1. Functional organigramme - current structure**



**Figure 2. Staffing organigramme - current structure**



## 4. Goals and objectives of restructuring

In developing a proposal for the organization of the future secretariat, the Executive Secretary considered it important to develop (1) a set of goals and objectives that such restructuring should be designed to accomplish, and (2) a draft vision for the secretariat. The subsections below provide a non-exhaustive listing of goals and objectives that the proposed restructuring is intended to help achieve. A draft vision is included in Annex A of this proposal, and is intended to provide a long term view as to how the secretariat will orient itself in carrying out the mission entrusted to it by the Conventions and Parties. Comments from Parties and other stakeholders on this draft vision would be welcome.

### a. Improved operational synergies

Clearly the primary goal of this restructuring should be to support the relevant synergies decisions and activities approved by the COPs, as well as to be forward-looking in identifying and implementing additional synergies consistent with Party decisions. The following indicates a number of areas where this should occur.

**Resource savings** – through the consolidation and integration of like functions, e.g. reduced space and equipment requirements will result in reduced rental and leasing costs. Similarly, reducing the current top-heaviness of the secretariat should also lead to resource savings (and increased efficiency, as below). This will allow reallocation of resources to more directly benefit Parties, e.g., through activities.

**Increased efficiency** – by reducing redundancies, e.g. by eliminating the need for a separate technical assistance or conference management service for each of the three MEAs, and by empowering staff to work more broadly in their areas of training and experience.

**Improved delivery** – the ability to establish coherent teams able to operate in greater depth to serve the needs of Parties, e.g., having a single technical assistance function with staff trained in all three MEAs will provide for greater coverage of issues even during peak workloads, and best practices for particular tasks and functions can be identified and applied.

**Better integration** – a secretariat staff better able to deliver services related to all three MEAs simultaneously, without the need for additional staffing, and consequently better able to influence synergies externally, for example through supporting synergistic projects delivered through regional centres or by IGO partners.

**Better ability to identify further synergies** – a structure that can facilitate the identification of areas of resource savings, better integration of services and improved delivery to Parties, for example by having staff members work more closely together on topical areas that are common between the three MEAs.

**A single, clear point of leadership and responsibility** – with a new single Executive Secretary for the parts of the secretariats provided by UNEP, it is necessary to align the

future structure to support the single joint head and address current organizational ambiguities resulting from having multiple Executive Secretaries and operational layers.

b. Strengthened long-term sustainability

A secondary goal of restructuring, but one of nearly equal importance, is to strengthen the long-term sustainability of the secretariat. Sustainability, in this context, means a secretariat that is flexible, adaptable and can continually improve, with demographics that are broadly representative of the client community, and with management focused on leadership and accountability to Parties. Such a structure should reinforce a client-focused culture, shared vision and internal opportunities for advancement, and should position the secretariat to be a consistent, responsive organization for many years to come.

**Focused leadership and management** – secretariat management focused on team building, giving equal weight and attention to each of the three MEAs, managing outcomes to ensure deadlines, budgets and Party expectations are met, empowering Secretariat staff with appropriate levels of delegation and authority, and providing overall leadership and vision for the Secretariat within the UN system.

**Flexible staffing** – ensuring that staff are trained and appropriately empowered in the work of all three MEAs, with opportunities for visibility and advancement. Team leaders should see their role as project managers for the convention-specific tasks of the secretariat, supported as appropriate by secretariat management, and with opportunities for professional staff to take on a number of team leader roles.

**Adaptable to change** – the secretariat structure and culture should be such that, should Parties so desire, new treaties, amendments, subsidiary bodies and policies can be rapidly and seamlessly integrated into the structure.

**Learning organization** – the secretariat should be open to new ideas, and apply “best practices” where already learned by one of the three current secretariats or where developed in the future. Training for staff members in areas relevant to the secretariat should be provided, including, among other things, on the work of the conventions a staff member may be less familiar with, as well as areas such as management, leading teams, and working in a matrix organization.

**Improved demographics** – the secretariat should work towards a staff and management demographic pattern with improved gender and regional balance.

**Enhanced accountability** – accountability measures need to be put in place that will ensure that each convention is given equal attention, is appropriately treated as a legally autonomous instrument, and that the separate budgets approved by COPs are strictly adhered to. In addition, new measures to ensure successful oversight of matrix-oriented operations are necessary. Such measures include, but are not limited to, establishing standard operating procedures for all secretariat functions and processes, timekeeping systems that account for hours spent on each convention, establishing clear reporting lines, and increasing the transparency of the secretariat and its work so that Parties can follow progress and financial and human resources on an ongoing basis.

### C. Party and staff issues

The Executive Secretary undertook a number of initiatives between May and November, 2011 to obtain the views of Parties, secretariat staff and the UNEP Executive Director on the possible future organization of the secretariat. Many of these issues are very relevant to the future organization of the secretariat, and represent matters that should be addressed by the secretariat as it transitions into the future structure. A compilation of these issues is contained in Annex B and the process followed is described in the following section of this proposal.

## **5. Overview of process followed by the Executive Secretary to develop this proposal**

The Executive Secretary used a series of consultations in order to understand and integrate the views and perspectives of Parties and staff into the proposal. Annex B summarizes the results of those consultations.

In total, this represented well over 100 hours of discussion, input and exploration of ideas. Specifically, the Executive Secretary:

- Met with all regional groups (Africa, Asia Pacific, Latin America and Caribbean, Central and Eastern Europe, European Union and JUSSCANNZ) during the Conferences of the Parties to the Stockholm Convention (April 2011), Rotterdam Convention (June 2011), and Basel Convention (October 2011). Note that it was not possible to meet with two regional groups during the Basel COP because the meeting ended early on Friday. In general, these discussions were between one half and one hour in length.
- Met with officers of Geneva-based permanent missions in November 2011.
- Met individually with all staff members of the Basel, Rotterdam and Stockholm Convention secretariats and Joint Convention Services between May and November 2011. In general, these discussions were at least one hour in length, with several follow-up discussions.
- Met with all staff of the three conventions/JCS on 3 occasions in “all-hands” meetings specifically to discuss the possible reorganization and to have an open discussion of issues.
- Established a secretariat-based task force on restructuring.
- Met with the Executive Director in June and November 2011.

One of the principal inputs for the drafting of this proposal came from a task force on restructuring established within the secretariat and chaired by Maria Cristina Cardenas Fischer. A summary of the work of this task force is attached as Annex C to this proposal.

The task force began its work in July 2011. To date, its primary outputs have been an operations analysis of all functions and processes of the secretariat, and a functional organigramme for the future secretariat, contained in section 6 of this proposal. The complete draft operations analysis is too extensive to be annexed to this proposal, however, it is available in draft form as a companion document titled "*Findings of the sub-groups set up under the secretariat task force on restructuring*", which is available on the Secretariat website ([http://www.basel.int/Portals/4/download.aspx?d=TasForceRestructure\\_FindingsOfTheSubgroups.pdf](http://www.basel.int/Portals/4/download.aspx?d=TasForceRestructure_FindingsOfTheSubgroups.pdf)). This draft contains many of the attributes of an operations analysis, and was used as a basis for the functional organigramme of the future secretariat. It will also form the basis for the development of standard operating procedures for all secretariat processes, which is planned to occur in 2012. The task force on restructuring is expected to continue its work through the completion of the restructuring exercise to facilitate a smooth transition.

The Executive Secretary also established three task forces in addition to the task force on restructuring. These were intended, in part, to also support the restructuring effort. Topics for these task forces were: space, training, and sustainability.

Drafting this proposal took place in November and December 2011.

## **6. Proposal for the organization of the secretariat of the three conventions**

Figure 3 shows a functional organigramme that describes, at a high level of aggregation, the main functions of each major structural unit of the proposed future secretariat. Annex C provides additional details on branch functions.

Figure 4 shows a staffing organigramme that places each of the posts of the future secretariat within each new secretariat structural unit. This organigramme brings forward all vacant and encumbered posts in the current secretariat (i.e., from figure 2). Please note that this does not conform to the indicative staffing tables in the budget tables accompanying the 2011 COP decisions. Names of staff are omitted. It also includes five new posts – a Deputy Executive Secretary (D1) and four Branch Chiefs (P5).

The five new management posts will be advertised internally and externally, and will be filled by the most qualified applicant, bearing in mind the need for improving the gender and regional balance at all levels of the secretariat. Annex D provides a summary of current secretariat demographics.

There are financial issues associated with creating and filling five new posts. Given that the three 2011 COPs all approved budgets at approximately zero nominal growth, it will be necessary for the Executive Secretary to find cost savings elsewhere if these posts are to be filled without exceeding the budgets for the 2012-2013 biennium. There may, consequently, be delays in filling some of these posts on a "permanent" basis until there is a reasonable certainty of finding and achieving cost savings. Posts will be temporarily filled by internal candidates on an "acting" basis pending completion of the recruitment

process. Some of the steps planned or underway to ensure that the approved budgets are not exceeded when filling these posts include:

- Where feasible, allowing attrition to free up additional resources. For example, since the Executive Secretary's arrival in April 2011 two staff members have departed and their posts remain vacant. (There has also been a hiring freeze in the secretariat since April 2011, and several other long-vacant posts remain unfilled.)
- Identifying cost savings from other areas that can be applied. For example, it is expected that consolidation of secretariat staff into reduced space will save approximately \$100,000 US/annum and a reduction in the numbers of high speed printers/scanners from 7 to 4 will result in savings of approximately \$30,000 US/annum.
- Because the five new posts will be open to the candidacies of internal staff, it is possible that a number of the posts may be filled internally, which would be cost-neutral.

The Executive Secretary also recognizes that there are perceptual issues associated with establishing five new high level posts. The intent is not to create a "top heavy" secretariat. Indeed, the goals are to reduce the number of management posts from the current nine to six in 2012, retain approximately the same ratio of posts at the P5 and above level that currently exists by using the processes noted in the above bullets, and by April 2013, ensure that the Executive Secretary position costs are met within the approved budgets of the three conventions. The full proposal called for in the joint managerial functions decisions will describe the extent to which these goals were achieved.

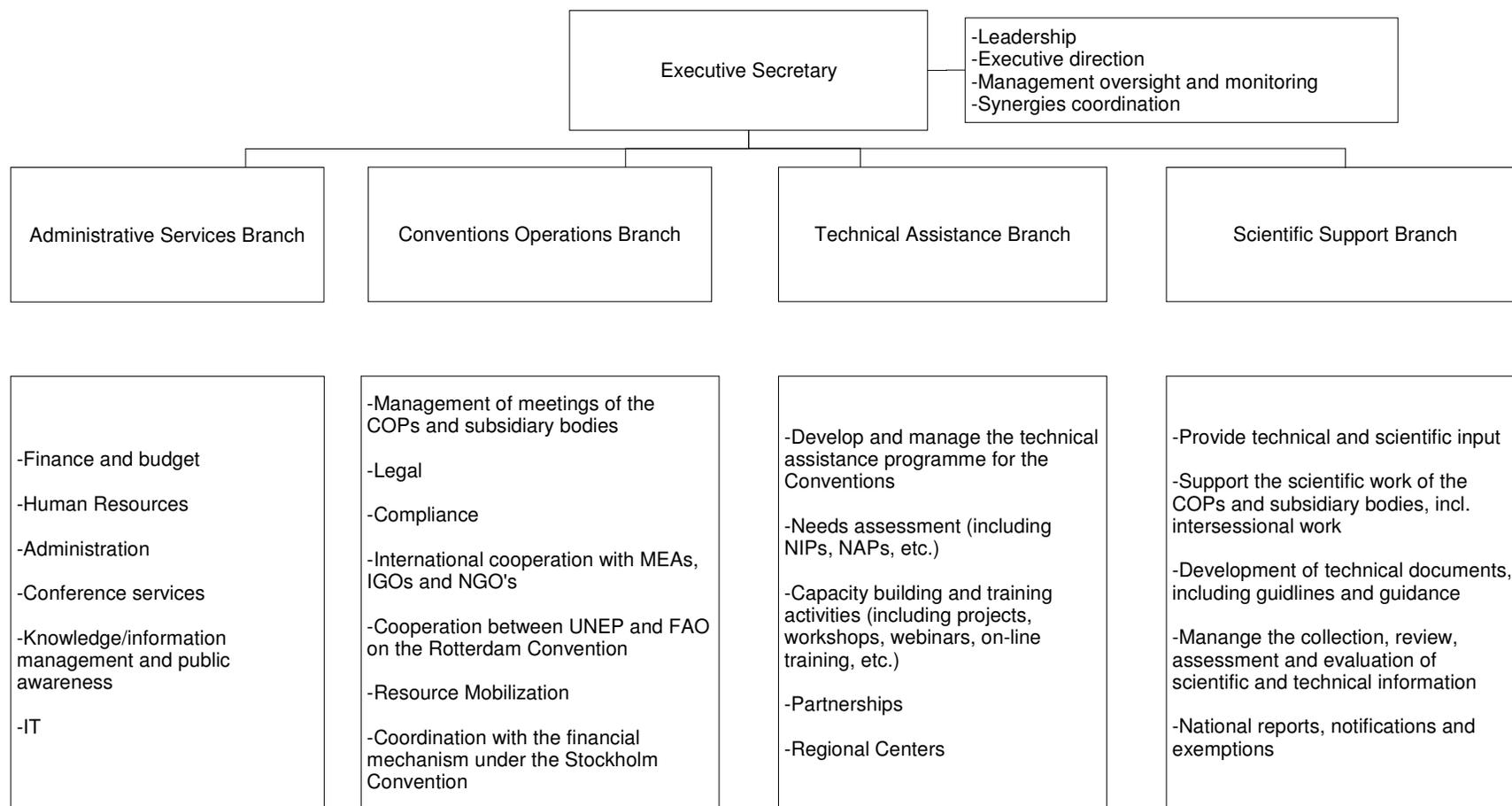
The organization structure of the future secretariat is what is traditionally referred to as a matrix organization. In the context of the future organization, this means that reporting lines will run vertically through the organization, with staff members of broadly similar skills or job functions pooled into the respective branches. Projects, on the other hand, will generally be performed by teams, with a team leader, which will function horizontally across the organization. For example, a regional training workshop would have a team leader from the Technical Assistance Branch, with team members from the Scientific Support Branch (in a needed scientific discipline(s)) as well as the Administrative Services Branch (to assist with organizational logistics). The matrix management approach generally conforms to UNEP's management structure. Note that a critical challenge often faced by matrix structures is that staff members may be confused or conflicted as a result of conflicting loyalties. In order to overcome this potential obstacle, the secretariat will establish standard operating procedures for all processes and functions, which will require the sign-off of the Chiefs of all affected Branches. Training will also be undertaken to ensure staff members have a better understanding of how to work in a matrix environment.

In addition, operating in a matrix structure will mean that at any given time a staff member may be working on any of the three MEAs. This will require stricter management controls to ensure that resources are properly apportioned to each of the

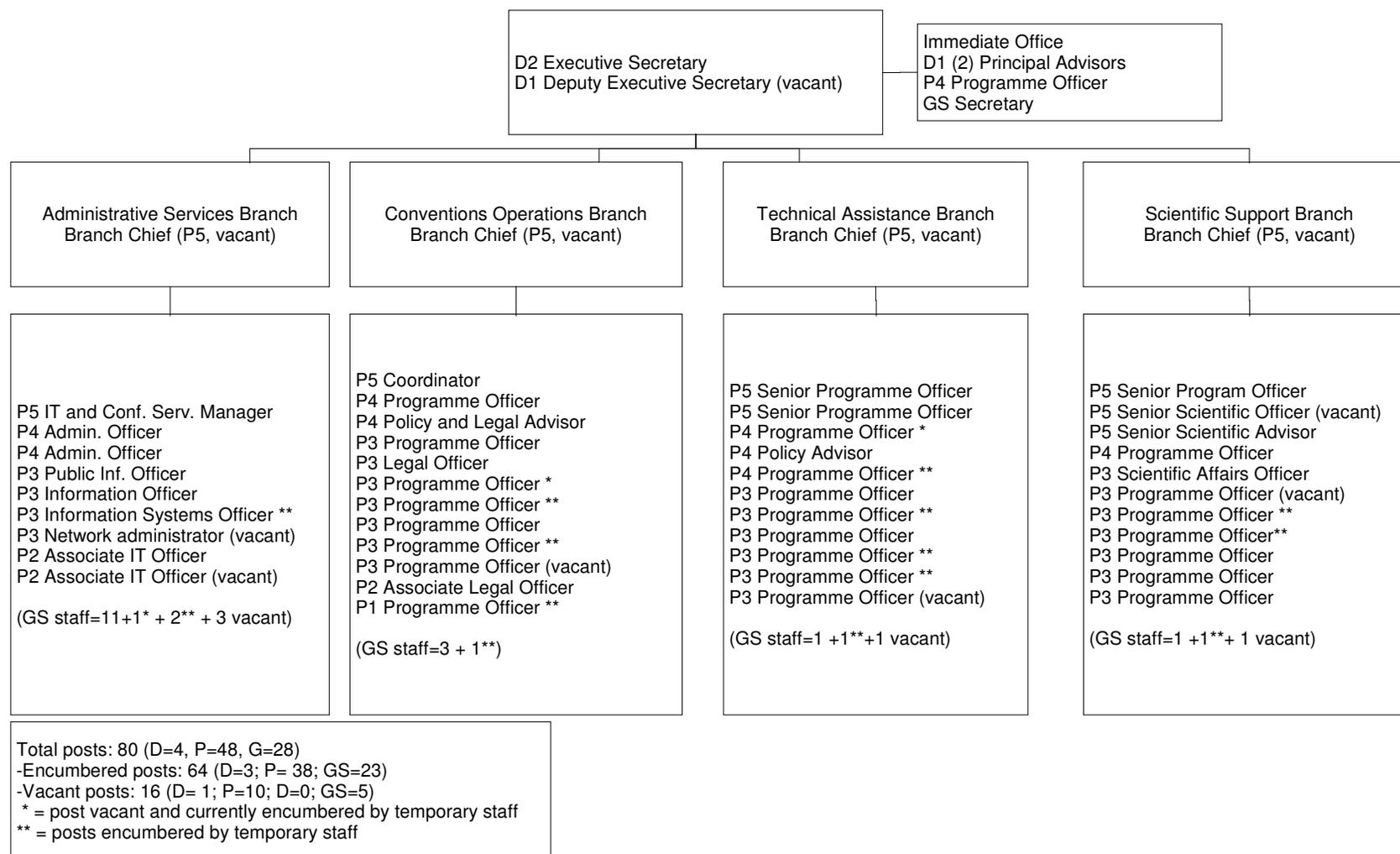
approved budgets of the three MEAs. The secretariat has developed and is implementing a time accounting system that will allow each employee to attribute their working hours to the appropriate convention budget line. Non-staff costs will continue to be allocated to the appropriate MEA-approved budget line.

This proposal does not address organizational issues below the branch level, for several reasons. First, it would be better to have the Branch Chiefs in position before designing Branch internal structures and filling subordinate management positions, if any. Second, reducing the number of reporting lines and applying a simpler hierarchical structure tends to improve the performance of matrix organizations. And third, assuming that the only direct reports to the Branch Chiefs are the P staff (with G staff typically reporting to P staff as opposed to the Branch Chief), each manager would supervise between 7 and 11 staff, well within the norms for appropriate span of control. In other words, there will be a preference for retaining a flat structure in each branch unless operational realities indicate the need for subsidiary structures (e.g., units). Any follow-up proposals for organizational units below the Branch level would be proposed to Parties in the full proposal for the cost neutral operation of the secretariat, due 90-days prior to the 2013 COPs.

**Figure 3. Functional organigramme - future structure**



**Figure 4. Staffing organigramme - future structure**



## 7. General discussion of advantages and disadvantages of this proposal

The proposed future structure has a number of specific advantages and disadvantages over the current structure. This section will elaborate a number of the more significant of these. As described in section 9 of this proposal, progress in each of these areas will be monitored and reported to Parties.

### a. Advantages

**Lower long-term costs** – A number of functions are replicated in the current secretariat (e.g., COP organization and operation, technical assistance in the form of training and workshops), and integrating these functions will reduce staff costs per unit output. Because integration of the secretariat in contiguous space with a single IT and facilities infrastructure, a reduction in resource requirements will be achieved. During the biennium, cost savings may also extend to the operation of the subsidiary bodies and to the organization of the 2013 COPs.

**Improved learning ability and teamwork** – Integrating the secretariat around general functional areas such as technical assistance, or scientific support, will bring together staff members who have been operating more autonomously in each of the currently separate secretariats in the current structure. This will allow closer sharing of experience and practice, allowing the secretariat to work towards best practices.

**Empowerment** – Team leaders will be delegated the necessary authority and responsibility for completing work on time and within budget, and to establish teams that are dynamic and bring different perspectives to the work, with individual staff members selected according to needs of the team.

**Greater consistency** – Having the same teams work on the same tasks for each secretariat will ensure that the support to Parties under each of the conventions is done consistently, and where a change is introduced – e.g., Parties request a change to the support the secretariat provides – it will ensure the change is replicated for each MEA.

**Simpler structure** – A simpler structure, coupled with standard operating procedures, will reduce the number of transactions the secretariat must perform and will increase efficiency, reduce the number of possible bottlenecks, and increase accountability.

**Adaptable structure** – a matrix can readily accommodate new work that is consistent with the future structure, for example new amendments, protocols, subsidiary bodies can readily be accommodated. This could also include, for example, supporting any future Rotterdam or Stockholm convention compliance approaches, as well as any new instruments, if Parties so decide.

**Better application of skills and talents** - People will work to their skills rather than a particular MEA. Staff members will have better opportunities to learn new treaties and apply their skills and education more broadly.

## b. Disadvantages

**Higher costs near term** – Increased near term costs are normal with any reorganization due to disruptions in routine. Additional near term costs associated with this reorganization will include (1) implementation of an integrated IT platform, (2) development of an electronic timekeeping system, (3) downtime resulting from space consolidation and the move, and (4) additional time and effort to develop and adopt standard operating procedures and other management controls.

**Need for improved/additional management controls** – Additional controls are listed in section 9 of this proposal. Arguably, these new controls would not be required under the current structure.

**Potential for conflicts** – Team leaders and line managers may have conflicts over human and financial resources if management controls and decision-making processes are inadequate.

**Transitional management** – The pace of hiring new managers will be dependent on identifying and implementing cost saving measures. Temporary (acting) managers will need to be selected for limited time periods until the recruitment process is complete.

## 8. Timeline for implementation

Following is an indicative timeline for undertaking all of the organization- related steps in the Joint Managerial Functions decisions of the COPs. All deadlines provided for by COP decisions will be strictly adhered to. Other timeline elements represent targets, not all of which are within the full authority of the secretariat to complete within schedule. However, this should give Parties an indication when organizational tasks are intended to be conducted and completed.

<b><u>Activity</u></b>	<b><u>Date(s)</u></b>
Proposal transmitted to bureaux for views	22 December 2011
Proposal made available to all Parties and observers	23 December 2011
New structure put into effect	18 February 2012
Branch “fact sheets” completed	18 February 2012
Acting management put in place	18 February 2012
Consolidation of secretariat staff in reduced space	1 March 2012
Formal selection process for management positions	March–December 2012
Revise job descriptions for all staff	31 December 2012
Deadline for adjustments to new structure	31 December 2012
Finalization of secretariat report on synergies	31 December 2012
Publication of secretariat report on synergies	90 days before 2013 COPs
Full proposal for cost-neutral organization of secretariat	90 days before 2013 COPs

## 9. Management oversight

As a general matter, instituting a new organizational structure warrants revisiting the management controls of an organization. In the case of the new structure contained in this proposal, it is apparent that certain revisions and additions to the controls already in place are appropriate. For reference, the following represent the secretariat's principal ongoing reporting functions:

### Annual

- Reports on financial status by activity and budget code levels to Parties

### Six-monthly basis

- Report on signed projects and legal instruments
- Inventory report on non-expendable equipment

### Quarterly basis

- Report on approved staffing table
- Report on approved human resource actions
- Report on approved travel plan
- Report on undertaken travel
- Report on approved consultant contracts

Below are general descriptions of some of the additional management oversight practices the Executive Secretary intends to put in place during 2012; a more detailed elaboration of these practices will be contained in the full proposal for cost-neutral organization of the secretariat, due to Parties 90-days before the 2013 COPs. Results from these new management oversight metrics would also contribute to the report from the secretariat as described in Annex IV of the decisions of the three COPs on enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions.

The secretariat plans to make the quarterly reports described in subsections a-c below, as well as the complete set of standard operating procedures available on the convention website in order to increase transparency. The secretariat would welcome the views of Parties on additional steps it could take to increase transparency and the rigor of management controls, e.g., whether any of the other routine reports identified should also be posted on the website, or whether further measures to improve management oversight would be useful.

#### a. Monitoring

Workplan – Following each COP, the secretariat produces a workplan for the biennium, with target dates for deliverables. The secretariat would post a copy of the workplan(s) and provide a quarterly progress report describing the status of each activity, as well as a description of any issues encountered.

Budget – The secretariat would provide a quarterly progress report detailing contributions received and expenditures by main budget lines, covering all trust funds, plus programme support costs.

b. Efficiencies and savings

The secretariat would provide quarterly reporting on cost savings and efficiencies specifically resulting from synergies.

c. Delivery improvements

The secretariat would provide quarterly reporting on areas where delivery improved or is projected to improve as a result of synergies.

d. Accountability

The secretariat will introduce new timekeeping procedures at the beginning of 2012 to ensure that all staff members track the number of hours by approved budget line for each convention. This will also be used as a basis for the quarterly report described in subsection (a) above, and will be used to develop future financial reports and budgets for COPs.

The secretariat will establish, by the end of 2012, standard operating procedures for all functions of the secretariat, which will be signed off on by managers of all affected branches. Each standard operating procedure will be posted on the web when it is completed.

## **Annex A - Draft Vision Statement for the Basel, Rotterdam and Stockholm Secretariats**

The vision for the Basel, Rotterdam and Stockholm Secretariat is to be recognized by the Parties as efficient, effective, innovative and responsive in carrying out the functions entrusted to it by the respective Conventions and their Conferences of the Parties, and in assisting Parties in their efforts to implement their obligations to protect human health and the environment from toxic chemicals and hazardous wastes. This vision supports the overarching goal of the three conventions to protect human health and the environment from toxic chemicals and hazardous wastes.

The secretariat will be open, transparent and inclusive in carrying out its duties, and will strive to maintain an appropriate gender and regional balance among staff at all levels. The secretariat will also seek to maintain a strong client focus, and carry out its functions in a synergistic and cost-effective manner. The key strategic elements of this vision are:

- Supporting Parties by holding Conferences of the Parties and subsidiary body meetings, and by implementing Party decisions.
- Being equally committed to the implementation of all three conventions, including in efforts to support the mobilization of substantially increased resources for national implementation.
- Improving the cost-effective and synergistic delivery of services to Parties, with a focus on realizing efficiencies that can be returned to Parties in the form of increased and enhanced delivery of technical assistance, capacity building and other services.
- Helping to build and empower a strong, vibrant and self-sufficient network of regional centres.
- Enlarging and strengthening partnerships with intergovernmental organizations, the secretariats of other relevant MEAs, institutions at the national level, and industry, academic and environmental NGOs to continually improve the protection of people and the environment from the adverse effects of toxic chemicals and hazardous wastes.
- Assisting Parties, and others as appropriate, in protecting human health and the environment from the adverse effects which may result from the generation and management, including transboundary movement, of hazardous wastes and other wastes, from certain hazardous chemicals and pesticides in international trade, and from persistent organic pollutants.
- Developing and aiming to achieve specified performance measures so that Parties can effectively evaluate the quality and cost-effectiveness of the secretariat's performance, including the costs and benefits of synergies.
- Striving for a secretariat with the highest levels of professionalism, training, motivation and morale, and which is sufficiently empowered to achieve the above elements.

## **Annex B – Summary list of stakeholder views relevant to organization of the secretariat**

The Executive Secretary undertook a number of initiatives between May and November 2011 to obtain the views of Parties, secretariat staff and the UNEP Executive Director on the possible future organization of the secretariat. In total, this represented well over 100 hours of discussion, input and exploration of ideas. Specifically, the Executive Secretary:

Met with all regional groups (Africa, Asia Pacific, Latin America and Caribbean, Central and Eastern Europe, European Union and JUSSCANNZ) during the Conferences of the Parties to the Stockholm Convention (April 2011), Rotterdam Convention (June 2011), and Basel Convention (October 2011). Note that it was not possible to meet with two regional groups during the Basel COP because the meeting ended early on Friday. In general, these discussions were between one half and one hour in length.

Met with officers of Geneva-based missions in November 2011.

Met individually with all staff members of the Basel, Rotterdam and Stockholm Convention secretariats and Joint Convention Services between May and November, 2011. In general, these discussions were at least one hour in length, with several follow-up discussions.

Met with all staff of the three conventions/JCS on 3 occasions in “all-hands” meetings specifically to discuss the possible reorganization and to have an open discussion of issues.

Established a secretariat-based task force on restructuring, whose work is detailed in Annex A.

Met with the Executive Director in June and November, 2011.

These discussions had, as a primary focus, an exchange of views on the stakeholders’ perspectives on options for a possible future organization and issues that needed to be addressed by such a reorganization. The discussions also encompassed a discussion of other matters not directly related, such as the stakeholder’s view of priorities for the new Executive Secretary, or in the case of regional group meetings, secretariat performance in general and at that COP in particular. Many of these perspectives, while highly valuable for the day-to-day work of the secretariat, are not included in this annex.

The relevant views presented, in no particular order, include:

### Views Expressed by Regional Groups

- There is a need to preserve the legal autonomy of each of the conventions.
- The secretariat needs to continue to reinforce that all of the 3 treaties are considered to be of equivalent importance.

- The secretariat should explore, with Parties, how the 3 treaties can best work together to promote a life-cycle approach.
- Synergies should be taking place at all levels (e.g., beyond the secretariat alone, and at national, regional and global levels); the secretariat should explore with Parties, IGOs and other stakeholders how this can be done.
- There are a number of “cross-cutting” technical and policy issues that the MEAs undertake (e.g., addressing the same chemicals, addressing compliance-related issues); it could be helpful if the secretariat could describe how synergies can be developed in addressing these issues.
- Increased and improved training would be useful, especially in cross-cutting areas.
- The secretariat should consider how a new organization structure could best support the regional delivery mechanisms of the 3 conventions, including possible strengthening of regional centres.
- The secretariat should explore how synergies can support strengthened financial and other resources for country-based activities to implement convention obligations, including resources at or from the secretariat as well as through the financial mechanism(s) of the conventions. This may also include, among other things, how to strengthen approaches to leverage resources to support more than one convention at a time.
- The role and relationship of the FAO part of the Rotterdam secretariat to the future structure of the UNEP part of the 3 MEAs should be clarified.
- The secretariat should provide clarification to Parties on how the three COPs in 2013 will be organized, as well as possible synergies among subsidiary bodies.
- The secretariat should have a vision for itself that it would share with all Parties, and a roadmap for carrying out that vision, as well as a timeline for some of the key milestones such as organizational change.
- There is a need for reporting to Parties on synergies progress, as well its costs and benefits.
- There is the need for strong and clear mechanisms for financial accountability, in particular where funds approved under the separate budgets of the 3 MEAs may be commingled in carrying out activities or funding staff costs.
- The secretariat should take steps to address demographics issues, in particular regional balance among both staff and management, noting especially the underrepresentation of Africans in the secretariat, as well as the underrepresentation of women in management positions.

- Noting progress made on having a consistent “look-and-feel” of the websites of the 3 conventions, the secretariat should continue to take steps to improve the integration of its web presence and delivery.
- The secretariat should continue to focus on ensuring cost-effectiveness in its operations, where feasible returning the benefits of such cost savings as improved or increased delivery of support to Parties.
- The secretariat should continue to improve its client focus in carrying out its obligations.
- The secretariat should seek to increase its openness and transparency, and strive to be more consultative in carrying out its work.
- The secretariat should try to conclude the organizational synergies initiative at the earliest opportunity.

#### Views Expressed by Secretariat Staff

- The restructuring of the Joint Convention Services (JCS) unit should be completed.
- A vision for the combined secretariat should be created.
- There are internal frictions and duplicative roles that need to be identified and resolved.
- Increased and more focused training would be helpful, especially in areas such as teamwork and teambuilding, trust-building, and mentoring.
- Noting that there are two different IT platforms in use across the 3 MEAs, the move to a single platform was considered essential.
- There is a need for improved accountability measures to manage and evaluate how the secretariat undertakes its work.
- There is a need to provide organizational certainty and stability following a long period of management uncertainty and transition.
- Clarification of the administrative arrangements between the secretariat and UNEP, UNON and UNOG would be important, especially as the different MEAs have evolved different arrangements.
- Better coordinate regional delivery across the 3 conventions.
- Undertake integrated strategic planning across the 3 conventions.
- Create and improve opportunities for staff to work on similar issues under all 3 conventions.

- Improve transparency at the management level of the secretariat, as well as in how the secretariat delivers services.
- Strengthen the internal management systems of the secretariat, for example through the establishment of standard operating procedures for all major work processes.
- Establish a definition of “synergies” and better clarity of what is expected of the secretariat with regard to applying synergies in performing its functions.
- Improve the integration and harmonization of information collection and information management activities.
- Strengthen synergies with intergovernmental organizations active in chemicals and waste issues, and explore whether it is possible to catalyze further synergies at the regional and global levels.
- Develop and apply a consistent publications policy across the 3 conventions.
- Where the same or similar work is performed in support of each of the 3 conventions, take steps to identify and apply best practices and “continuous improvement”.
- Establish practices to manage and retain institutional knowledge and recordkeeping.
- Undertake succession planning for key management and scientific functions.
- Develop a clear organizational structure and reporting lines.
- Look at organizational consumption patterns and identify areas where there can be resource savings and environmental improvement.
- Clearly articulate the respective roles of each MEA vis-à-vis the life cycle management of chemicals and wastes.
- Look for opportunities to strengthen staff ownership of the restructuring process and the new organization.
- Identify opportunities where the new structure can improve the working relationship between the Rotterdam units based in Geneva and Rome.
- Better utilize and organize the combined space of the secretariat.
- Look for opportunities within the new structure for staff mobility.
- Consider where the new structure can better allow the secretariat to weather budget shortfalls that can occasionally occur in one or another MEA (e.g., arrears).

## **Annex C - Report of the work of the Task Force on Restructuring the secretariats of the Basel, Rotterdam and Stockholm Conventions**

### **I. Background**

1. In July 2011 the Executive Secretary of the Basel, Rotterdam and Stockholm Conventions set up a task force on restructuring to undertake the analytical work required in order to support any future decisions relating to the restructuring of the secretariats of the Basel, Rotterdam and Stockholm Conventions with the aim of developing scenarios where the Secretariat can improve the delivery of its functions, in order to support its customers, by collaboration or integration of operations and/or processes within the framework of two or more of the multilateral environmental agreements (MEAs). This would form a baseline analysis which would be used to support future decision making.
2. In setting up the task force, the Executive Secretary designated a chair from among the staff. The Participation in the task force was open to all the staff in the three secretariats except senior managers<sup>1</sup>. The Task Force was to be broadly representative - there should be participation from the joint conventions services (JCS) as well as from the technical sections of the secretariats, the participation should be generally representative of the grade levels of the staff in the secretariat, and input was to be made available to the Task Force on the various operations and processes the secretariats undertake. A total of 41 staff members volunteered to participate in the work of the task force. In addition Mr. Matthew Gubb (UNEP Chemicals) was also invited to participate in the task force in his capacity as staff representative.

### **II. Operation of the Task Force**

3. At its first meeting the group agreed on terms of reference for its functioning as well as a work plan which consisted of three phases. Phase I, identification of the processes and operations of the three secretariats, phase II: development of a functional organigramme for the secretariat taking into account the outcomes of phase I; and phase III would focus on the operationalization of the restructuring taking into account the outcomes of the previous two phases.
4. The task force met on a regular basis between July 2011 and the beginning of December 2011. In order to facilitate its work and to ensure transparency, summaries of the issues discussed during each meeting were prepared and circulated among its members. The responsibility of drafting the summary of the meetings was rotated among the members of the Task Force.
5. In order to facilitate its work, the Task Force agreed to set up sub-groups, on a case-by-case, and to appoint facilitators to deal with particular issues identified by the Task Force, such as focusing on specific types of operations or processes. The Subgroups were to provide input to aid the Task Force in its deliberations.

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<sup>1</sup>In particular the following senior managers were deemed not eligible to participate in the Task Force: Jim Willis, Donald Cooper, Katharina Kummer and Osmany Pereira

### III. Phase I

6. Phase I of the work plan of the task force was executed between 20 July and 30 September 2011. During this phase the Task Force reviewed the functions (processes and operations) currently underway in the secretariats of the Basel, Rotterdam and Stockholm Conventions, including those performed by the joint conventions services (JCS). This mapping exercise included among others:

- Identifying processes and operations (those currently in place and any other required in order to implement the mandates of the secretariats as specified in the conventions and current programmes of work), compiling the processes and operations, and organizing them in a logical framework;
- Identifying operations and processes that are specific to one convention, as well as those where synergies can be achieved;
- Identifying best practices, redundant or duplicative activities, and areas where efficiencies or cost-savings can be made;

7. In order to undertake its work, a total of ten subgroups were set up. A first set of 4 subgroups were set up to address the processes clustered under the following topics: (a) meetings of the Conferences of the Parties and meetings of their subsidiary bodies, (b) scientific and technical matters, (c) reporting and notification related matters, (d) technical assistance matters. These were followed by a second set of 6 subgroups, namely to address the cross-cutting issues and their respective processes under the following topics: (e) administration and finance, (f) legal matters, (g) international cooperation, (h) resource mobilization and (i) information management and public awareness matters. The leads of each of the sub-groups were identified from mainly among the junior staff participating in the task force. A table listing the sub-groups, including the names of the identified leads as well as a brief description of the matters addressed by each, is set out in annex 1 to the present report. The unedited findings of the subgroups are reproduced in the document "*Findings of the subgroups set up under the secretariat task force on restructuring*", which is available on the Secretariat website ([http://www.basel.int/Portals/4/download.aspx?d=TasForceRestructure\\_FindingsOfTheSubgroups.pdf](http://www.basel.int/Portals/4/download.aspx?d=TasForceRestructure_FindingsOfTheSubgroups.pdf)).

#### **a. Meetings for the Conferences of the Parties and subsidiary bodies**

8. The subgroup on meetings of the Conference of the Parties and subsidiary bodies undertook a mapping of all the processes and operations currently performed prior, during and after the meetings of the Conferences of the Parties and subsidiary bodies<sup>2</sup>.

9. The processes for organizing meetings of the Conferences of the Parties and subsidiary bodies were presented in comparative tables which highlight the processes specific to one Convention or those common to two or three conventions. Among others, the following were noted:

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<sup>2</sup> For example the Open-Ended Working Group, the Implementation and Compliance Committee and the Expanded Bureau under the Basel Convention, as well as the Chemicals Review Committee under the Rotterdam Convention and the Persistent Organic Pollutant Review Committee under the Stockholm Convention.

- The three secretariats already have a high degree of integration in the way the meetings of the conferences of the parties are organized<sup>3</sup>. Some variations can be seen stemming from differences in the rules of procedures of the meetings of the conferences of the parties, or from decisions that affect the running of a conference of the parties or from the organizational structures of the secretariats;
  - Further integration took place in 2011 when the same coordinator was assigned to supervise the three meetings of the conferences of the parties, and when similar procedures were adopted by the three Conferences of the Parties (e.g. the term of office of bureau members and financial rules);
  - Most of the processes and functions performed for registration, travel, logistics, and finance in support of the meetings of the conferences of the parties follow standardized procedures;
  - The management of documents (pre-session documents, CRPs, and meeting report) follow the same general processes, however some differences have been noted in the internal review/clearance of documents;
  - Some differences have been noted in the follow-up to COPs (communication with Parties; develop of internal work plans).
  - The subsidiary bodies under the conventions apply, *mutatis mutandis*, the rules of procedures of the conferences of the parties, for administrative and procedural matters (their mandate, membership/participation, working procedures are however very different from one body to another, as specified in their terms of references and in accordance with the mandate that was assigned to them by each of the conventions);
  - Overall, the same steps for organizing meetings of the conferences of the parties apply to the organization of subsidiary bodies meetings;
  - Many similarities were found between the Chemical Review Committee and Persistent Organic Pollutant Review Committee which have similar membership/participation, mandate and working procedures.
10. Based on the initial assessment, it was possible for the subgroup to identify areas where further integration could be implemented to gain efficiency in the way the meetings of the conferences of the parties and subsidiary bodies are organized.
- To coordinate all the functions involved in COPs and subsidiary bodies' meetings (and input from different secretariat' branches), it seems valuable to consider entrusting one branch with the overall responsibility and oversight of the whole process.
  - In this regard, it might be worth considering developing standardized operating procedures (SOPs) and tools (work plans, document tracking files, staff responsibility lists).

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<sup>3</sup> The synergies decisions, in particular the decision on administrative function, led to an enhanced standardization of the procedures and practices that are applied across the board by the three conventions.

- It would be worthwhile testing and then replicating the best practices identified in the current processes, e.g. new CRC members' welcome package; POPRC roster of experts.

#### **b. Scientific and technical matters**

11. In its deliberations the subgroup on scientific and technical matters, recognized that the overall framework is provided by the texts of the three conventions and by decisions adopted by the parties during the respective meetings of the conferences of the parties, including the programmes of work and budget, in that vein, the overarching function of the secretariats is to support parties in the decision making and implementation processes.

12. In undertaking its work the subgroup identified the following definitions which clarify aspects related to procedures/processes under the conventions. For the purpose of its work, procedures were defined as: processes mandated by the Conventions and the conferences of the parties, for example the listing of chemicals under Article 8 of the Stockholm Convention or listing of chemicals in Annex III of the Rotterdam Convention. In many cases the main steps of procedures have been established by the conferences of the Parties and are described in relevant decision documents of those bodies, for example the procedure for the ongoing revision and update of the Toolkit (SC-3/6).

13. Operational processes were defined as the series of steps (activities and tasks) that lead to a defined output including execution of procedures.

14. The subgroup further recognized that scientific and technical issues under the three conventions, including the related activities and outputs, are highly varied and heterogeneous. In addition, as part of its mandate, the subgroup inventoried functions representing the major tools and mechanisms through which the secretariats deliver support to the parties and other stakeholders in relation to scientific and technical matters.

#### **c. Reporting and notifications related matters**

15. The subgroup on reporting and notifications undertook the process of identifying and inventorying the processes currently in place in the secretariats relating to reporting and notification obligations under the three conventions, such as: national reporting, notifications of final regulatory actions, import country responses, the PIC circular, the registry of exemptions and the process for collecting national implementation plans among others.

16. The subgroup identified the need for an information management system that takes into account the information provided in other existing processes (eg. NAPs, NIPs, notifications received by the secretariats, official reports, inventories and documents, etc). This could be pursued by highlighting the related processes in information materials, trainings and webinars. A unified database accessible by Parties could also facilitate the exchange of information between the parties and the secretariats. It was noted that the clearing house mechanism may be a good tool to address such needs.

17. In relation to the direct communication with the Parties (eg. for following up on the submission of a report/notification), the participants in the subgroup suggested that

a common approach could be used based on a standard operating procedures. Possible elements for such standard operating procedures could include a common calendar to monitor deadlines, the use of M-files and possibly the involvement of the Joint Conventions Services in following up through letters and other means of communication to the Parties; However, a thorough analysis on this issue would be required to guarantee that the different processes are covered, as well their specific requirements.

18. The subgroup also identified that the analysis of the information (either reports or notifications) is done in different ways by each convention secretariat, depending on the use of such information in each Convention. It was pointed out that there are different levels of analysis/control of the information: for example editorial check such as spelling corrections to compliance. The subgroup felt that it would be necessary to undertake a thorough analysis on this issue in order to propose any concrete steps in this area.

19. There was a general agreement in the subgroup that a joint information database compiling information submitted by the Parties would improve communication with the Parties. It was noted however that there is need to improve coordination between programme officers and the JCS in order to enable the development of such kind of tool. One idea is to develop a SOP on this issue and then decide on the specific tools to support the different parts of the process (e.g. database, M-Files, Emails, etc).

#### **d. Technical assistance matters**

20. The sub-group on Technical Assistance undertook the exercise of identifying and documenting processes relevant to technical assistance under the three Conventions. The processes and sub-process were grouped into clusters according to the subject areas. A list of steps was proposed for each process and sub-process for the three conventions to allow comparison.

21. As a next step, an analysis was carried out identifying areas where processes or specific steps are similar within the secretariats. Similarly, differences in approaches, methodology, means of implementation and sequence of steps in implementing technical assistance activities in each secretariat were flagged, where possible. For certain areas suggestions for synergy or coordination were made.

22. The three secretariats are involved in the technical assistance activities. However, specific aspects of the planning, delivery and follow-up on the technical assistance activities differ from one secretariat to another:

a. *Institutional and organizational arrangements:* in the Basel Convention the Implementation and Capacity Building Unit mostly takes the lead on capacity-building activities, however some technical assistance issues and activities are led by other units. In the Rotterdam Convention, activities are shared between the Geneva/Rome technical assistance teams while in the Stockholm Convention these activities are coordinated by the technical assistance team.

b. *Means of implementation:* The Stockholm Convention focuses on delivering its technical assistance programme mainly using such tools as trainings and webinars. There are several projects co-executed by the Stockholm Convention's

teams other than technical assistance. The Rotterdam Convention organizes trainings and also implements pilot projects. The Basel Convention implements pilot projects and facilitates partnerships on priority waste streams and has the coordinating role with the involvement of BCRCs as well as it encourages BCRCs to implement projects.

- c. *Cooperation with regional centers*: There are differences in institutional set-ups between Basel and Stockholm centers, their relationship with the secretariats and the degree of cooperation/independence with regards to the secretariats and the centers.
- d. *Needs assessment*: There are fundamental differences on how the secretariats approach needs assessments which are directly linked to the different reporting requirements and information sharing tools in the conventions. The Stockholm Convention has the advantage of receiving regular and detailed information from parties which develop and periodically update their National Implementation Plans. In the Basel Convention there may be some opportunity to link the work under the Implementation and Compliance Committee (ICC) and national reporting with the identification of needs (e. g. as an additional information source subject to submissions to ICC). Another significant source of information used for needs assessment by the Basel Convention is face-to-face cooperation and communication with Parties at the project and partnership workshops, meetings or through the project activities.
- e. *Guidance documents and toolkits*: Mainly work related to developing guidance documents, toolkits, etc. is undertaken in Basel Convention by other teams, however the capacity-building team also undertakes developing guidance documents and methodologies as part of its projects. This is less frequently practiced by the technical assistance teams in other two conventions.

#### **e. Administration and Finance**

23. The subgroup on admin and finance did an inventory of the current functions performed by the administration and conference services groups under the joint conventions services. The functions addressed include: human resources issues, finance, procurement, budget, time keeping, staff travel, conference services, translation services and office space.

#### **f. Legal matters**

24. The subgroup on legal matters undertook a mapping exercise of the legal processes of the three secretariats. Based on this mapping exercise identifying current practices within the three secretariats, the group identified the legal functions of the secretariats as well as the scope of such functions. The group also developed observations and recommendations.

25. Overall the group concluded that the scope for legal matters under the convention is ample, encompassing among others, implementation (in the legal technical sense), institutional, governance, compliance, enforcement, illegal traffic, technical assistance, international cooperation, international trade, and policy matters.

26. Across the three Secretariats, there are varying appreciations of what "legal functions" consist of. Therefore, the understanding of the scope and nature of legal functions should be improved and harmonized.

27. To some extent, synergies have been achieved across the three Secretariats, through the legal unit of the JCS and beyond (mainly corporate legal services, legal functions with regards to meetings of Convention bodies, the legal technical assistance activities and programme). However, this was just a first step and the development of a joint legal programme of work for consideration by the 2013 COPs would help further harmonize legal functions across the three secretariats.

28. The sub-group also concluded, that for some legal functions, differences between the three Secretariats are due to different current mandates provided by the Conferences of the Parties (e.g. on compliance). Also, there are currently different understandings as to the nature of the legal functions to be performed (e.g. enforcement issues) or, for historical reasons, some legal functions are performed by non-legal officers (e.g. as to ships dismantling under the framework of Basel Convention or activities related to the development of legal framework for industrial chemicals under the Rotterdam Convention). Finally, the subgroup noted that there is a need to reconsider how legal technical assistance is undertaken and managed within the overall technical assistance activities of the three secretariats to ensure that legal officers have a role in the substantive planning, implementation and follow up of legal technical assistance activities.

#### **g. International cooperation**

29. The subgroup on international cooperation undertook a mapping exercise of the various international cooperation activities and processes of the three secretariats with a focus on cooperation with Intergovernmental Organisations (IGOs) and Non-governmental organizations (NGOs) and networks. The mapping exercise extended to cooperation with more than 40 partners including UNEP, MEA Secretariats, United Nations (Secretariat, bodies, agencies, programmes, funds, research and training institutes), other international and regional organizations, and non-governmental organizations / networks. The mapping exercise evidenced the following elements:

- The three secretariats cooperate with a number of other international institutions
- The *legal basis* for cooperation varies, from a generic decision by the conference of the parties, to more specific decisions of the conferences of the parties, to MoUs, SSFAs or to cooperation on an informal basis.
- The *nature* of the cooperation is varied: policy, scientific/technical, technical assistance or legal.
- The *type* of activities undertaken in cooperation with IGOs and NGOs/networks include: consultations, advice and exchange of information, development of initiatives (eg. a network), organization and/or participation in meetings, elaboration of documents or publications, planning and delivery of technical assistance projects/tools/trainings.
- Some cooperative activities are *specific* to one Secretariat (eg. UNEP OCHA for the secretariat of the Basel Convention), while others see the three secretariats having *similar* types of involvement. In several instances, the secretariats are

already closely cooperating and “think jointly and act with one voice”. This is particularly the case in the area of international cooperation on enforcement issues (World Customs Organization, Interpol, Global Customs Initiative) or the consultative process on financing options (UNEP DELC).

- In other instances, the institution is the same, but the nature of cooperation or the activities involved are different (eg. MEA Secretariats).

30. The subgroup concluded that in general, the three secretariats have already implemented synergies in the way they cooperate with other institutions whenever issues related to two or more conventions are, in substance, similar. In the case of cooperative activities that are similar across the three secretariats and where joint input/representation is already a reality (eg. WCO, Interpol, GCI, UNDESA, OHCHR, IOMC), it might be worth considering whether there is value in further streamlining of the way the secretariats operate at the internal level and if so, on what basis and how (consolidation process).

31. In the case of cooperative activities that are similar across the three secretariats but where the synergies have not yet materialized (eg. WTO, flame retardants in e-waste, cooperation with GEF<sup>4</sup> Secretariat and GEF/STAP), it would be worthwhile analyzing why this is not the case.

#### **h. Resource mobilisation**

32. The main task of the subgroup on resource mobilization included the compilation of past and ongoing processes and operations of the secretariats of the three Conventions in the context of mobilizing financial resources for the respective voluntary special trust funds.

33. The subgroup focused on issues related to strategic resource mobilization and donor relations; implementation of the resource mobilization strategies and communication with donors; quality assurance and quality control, including the preparation of project documents, reporting, and monitoring; and resource mobilization facilitation and support through public awareness and outreach activities.

34. On the topic of strategic resource mobilization and donor relations the subgroup concluded that donors can to a large extent, be approached in synergy, as has already been implemented by the secretariats over the past two years (e.g. EC ENRTP and synergy projects). In particular synergies can be achieved where the focal areas of the three Conventions address common issues (e.g. PCBs, dioxin reduction/co-processing, enforcement). Furthermore, it was recognised that following closely the negotiations between UNEP and other donors was crucial for securing adequate allocation of funding for the chemical and waste MEAs.

35. In relation to the actual mobilization of resources and communication with donors, the sub-group noted that the organization of the donor meetings allowed the establishment of personal contacts within the Environmental Protection Agencies, Ministries and other key institutions in the donor community. With regard to resource

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<sup>4</sup> The Conference of the parties to the Stockholm Convention and the Council of the Global Environment Facility adopted an MOU which underlines their relationship.

mobilization for convention-specific activities, it was noted that the Rotterdam and Stockholm Convention secretariats coordinated their approach to donors. In addition, resource mobilization at meetings, conferences and other occasions proved to be beneficial if closely coordinated within the Secretariat and the resource mobilization focal point.

36. The subgroup noted that facilitation activities have been undertaken for specific projects under the Basel Convention, programme and partnership development with Basel Convention Regional Centres and other partners is convention specific. Furthermore, the matchmaking activities and activities to facilitate the access to means of implementation make use of the Rotterdam Convention FAO offices as well as the Stockholm Convention Regional Centres networks.

37. In terms of resource mobilisation support through public awareness/outreach, activities focused primarily on in-kind or subsidies for one-off events; events management, especially of brands; recognition of donors/sponsors; personal contacts with celebrity supporters and media; research of goodwill ambassadors; and the recruitment of high profile spokespersons.

#### **i. Information management and public awareness matters**

38. The subgroup on information management and public awareness matters developed an inventory of the current processes and practices of the three secretariats taking into account the arrangements in place related to the establishment of the joint conventions services.

39. Among the many matters discussed by the subgroup it was highlighted that knowledge management functions are independent from the technology used; hence the separation from Information Technology functions. Knowledge management comprises strategies and practices used in an organization to identify, create, represent, distribute, and enable retention of insights and experiences. Such insights and experiences comprise knowledge, either embodied in individuals or embedded in organizations as processes or practices.

40. Outreach is a means by which public awareness is raised in order to increase external support for and delivery of resources to the implementation of the conventions. Knowledge management and public awareness are a cross-cutting function which is inherently dependent upon close cooperation and coordination between relevant branches of the organization.

#### **j. Information technology (IT) support**

41. The subgroup on information technology support inventoried the relevant processes and procedures currently in place in the secretariats, on the basis of the work previously undertaken for the set up of the joint conventions services.

### **IV. Phase II of the work of the task force**

42. The work related to Phase II commenced at the beginning of November after the conclusion of the tenth meeting of the Conference of the Parties to the Basel Convention. After reviewing the outcomes of the task force pertaining to phase I, the Executive Secretary introduced to the task force, a draft proposal of a functional organigramme

for the secretariats of the Basel, Rotterdam and Stockholm Conventions, consisting of an Executive Secretary plus an immediate office and four branches, namely: an Administrative services branch, a Conventions operations branch, a Technical assistance branch and a Scientific support branch. He requested the task force to look into the proposal and further develop it. based on its findings in phase I.

43. In undertaking phase II the task force met as a whole in order to ensure transparency and inclusiveness as well as to be able to incorporate and reflect more accurately the findings of the exercise undertaken in phase I. The draft outcome of the exercise undertaken is reflected in the figure set out in Annex 2 to the present report, as was submitted to the Executive Secretary.

44. In reviewing the functions of the four branches the task force noted that although each branch has been assigned a lead role in a particular area, they all need to interact and cooperate with each other in order to implement their tasks in a matrix structure, so as to avoid operating in silos.

45. In that sense, for example, international cooperation should not operate in a vacuum: for it is one of the many ways for the secretariats to deliver on their mandates. Each branch of the Secretariat is thus expected to exercise “international cooperation” functions, although it seems valuable that one branch, the Conventions operation branch, be entrusted with the overall responsibility for such functions, which would entail inter alia, ensuring a harmonized approach to international cooperation as well as for dealing with the specific case of institutional cooperation with UNEP and FAO as it pertains to issues related to the functioning of the Rotterdam Convention secretariat.

46. Other discussions under the conventions operation branch were related to the roles performed under the item “legal”. Overall two groups of operations were highlighted, first the Convention-related legal operations which include the development, management and implementation of the legal programmes and activities of the secretariats and the provision of legal input to all other Conventions programmes and activities. Secondly the Corporate legal services which encompass functions such as the management, development, negotiation and advise on legal documents/instruments and the communications with the with the depositary, Office of Legal Affairs (OLA)/Treaty Section, and UNEP OfO (Office for Operations) on matters of corporate legal services.

47. The task force noted that the scientific support branch would provide scientific support and technical input to other branches to ensure that all outputs are scientifically sound and would manage the implementation of specific scientific and technical programmes and activities under the Basel, Rotterdam and Stockholm Conventions.

48. The task force also debated on the scope of the term “knowledge management” and based on the relevant definitions mentioned earlier on in this report, agreed that Knowledge management and public awareness are a cross-cutting function which is inherently dependent upon close cooperation and coordination between relevant branches of the organization.

49. In identifying the functions to be included in the four branches, it was noted that the Technical assistance branch should have a coordination role as it pertains to the development and management of the technical assistance programmes under each convention, and that other substantive input should be provided by the relevant branches on the matters where they have a lead role.

50. Although the task force favoured including the functions of conference services under the administrative services branch (i.e. Participant's management for meetings of the conferences of the parties, subsidiary bodies, workshops and meetings organized by the secretariat; management of logistics and management of translation and proofreading services), the task force also discussed other options in relation to the location of the functions. Some members requested consideration be given to the following options below which differ from those reflected in the proposed functional organigramme set out in annex 2 of the present report:

- *Option B*<sup>5</sup>: the function related to participant management for meetings of the conferences of the parties and subsidiary bodies be placed under the administrative services branch and the functions related to participant management for workshops and meetings be placed under the technical assistance branch;
- *Option C*<sup>6</sup> the functions related to participant management for meetings of the conferences of the parties and subsidiary bodies be placed under the conventions operation branch and the functions related to participant management for workshops and meetings be placed under the technical assistance branch.

51. Finally, although several proposals for re-naming the proposed branches were tabled by the members of the task force, by the time this report was developed the task force had not been able to consider alternative name proposals. It was however noted that the name of the branches should reflect their functions.

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<sup>5</sup> It was felt that the option would achieve the cost savings on support services which are to be reflected in the assistance for the implementation of the three conventions as called in decisions BC.Ex-1/1, RC. Ex-1/1 and SC.Ex-1/1

<sup>6</sup> It was felt that the option would achieve the cost savings on support services which are to be reflected in the assistance for the implementation of the three conventions as called in decisions BC.Ex-1/1, RC. Ex-1/1 and SC.Ex-1/1

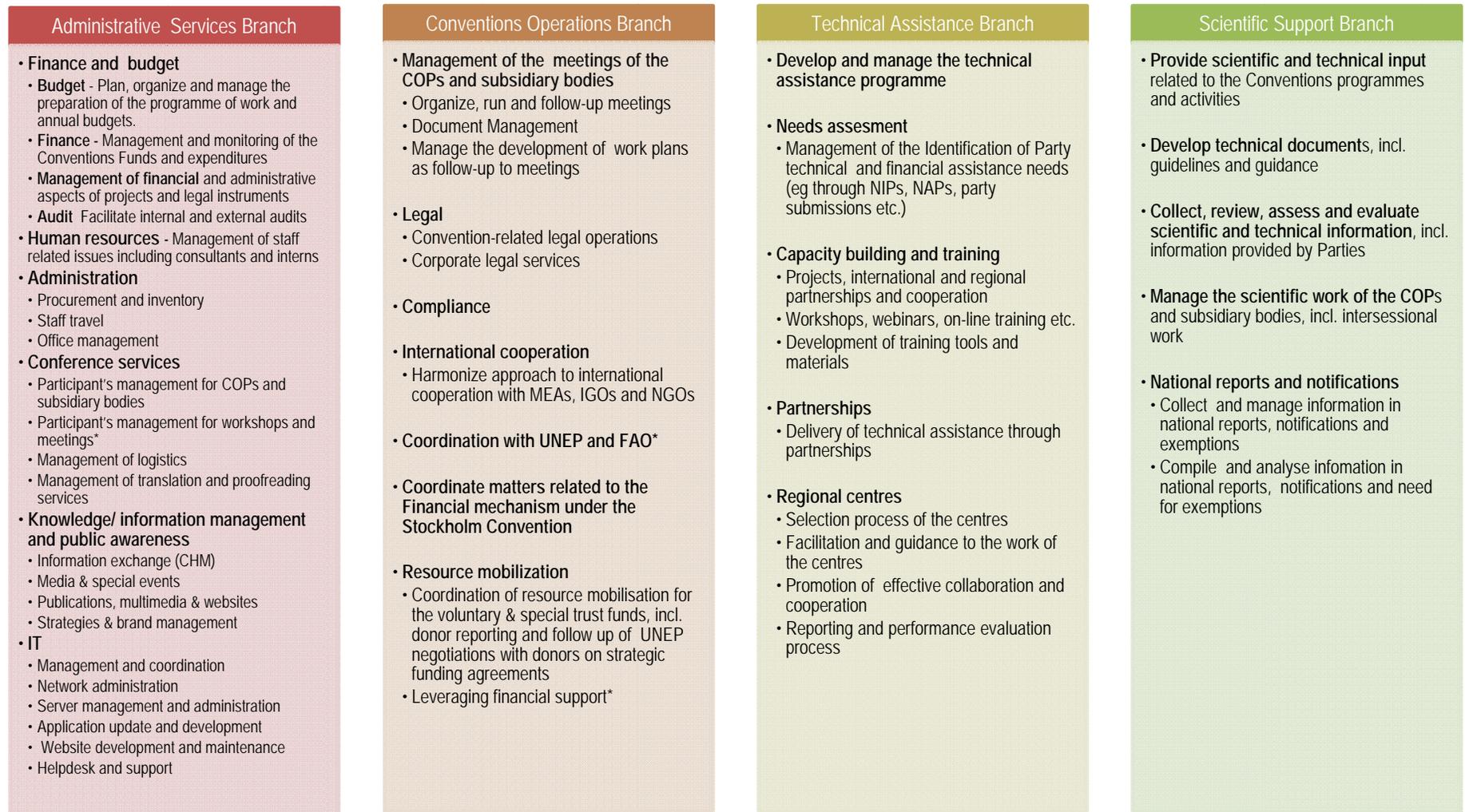
## Annex 1.

**Table1. Thematic subgroups set up under the Task Force on Restructuring**

Thematic sub-group	Lead	Description of task
1. Meetings for the Conferences of the Parties and subsidiary bodies	Marylene Beau	Meetings of the COPs, including Bureau meetings, and subsidiary bodies to the three conventions
2. Scientific and technical matters	Melisa Lim	Technical matters including technical guidelines, development of Decision Guidance Documents, effectiveness evaluation.
3. Reporting and notifications related matters	Tarcisio Hardman	National reporting and notifications
4. Technical assistance matters	Tatiana Terekhova	Technical assistance and capacity building activities including Regional Centres and the financial mechanism.
5. Admin and finance	Peter Rossiter and Innocent Kalumba	Administration and finance issues, Includes but is not limited to : <ul style="list-style-type: none"> <li>• HR issues</li> <li>• Finance</li> <li>• Procurement</li> <li>• Budget</li> <li>• Time keeping</li> <li>• Staff travel</li> </ul>
6. International cooperation	Juliette Kohler	Cooperation with IGOs and NGOs/networks with a mandate of relevance to the objectives of the Conventions and to the work programmes of one, two or the three secretariats
7. Legal matters	Amelie Taoufiq	Generic and Convention specific legal matters
8. Resource mobilisation	Frank Moser	Resource mobilisation for the programme of work of the secretariat.
9. Information management and public awareness matters	Julian Hortonedo	Outreach and public awareness, Clearing house (includes data entry also) information/knowledge management
10. Information technology (IT) support	Alejandro Montero	Information technology service Help desk

## Annex 2.

**Figure 5. Draft functional organigramme of the Secretariat of the Basel, Rotterdam and Stockholm Conventions**



## **Annex D – Demographics**

The figures on the following pages provide an overview of staff demographics. These figures are based upon the 64 currently encumbered posts. Vacant posts are not included, nor are the secretariat staff located in Rome.

The first four figures are pie charts showing, respectively, the regional distribution of G staff, P staff, management staff (P5 and above), and total staff.

The next four figures are pie charts showing, respectively, the gender of G staff, P staff, management staff (P5 and above), and total staff.

The next 4 figures are line charts showing regional and gender distribution of staff at each level. In the first two line charts, G staff are included, grouped. In the latter two line charts, G staff are excluded. For the gender line chart, it is possible to include a meaningful trendline. This was not the case for the regional line chart.

A number of conclusions can be drawn from these charts.

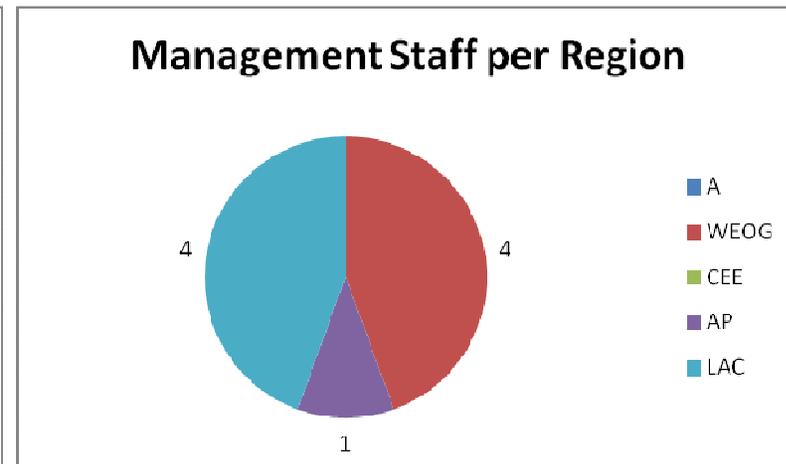
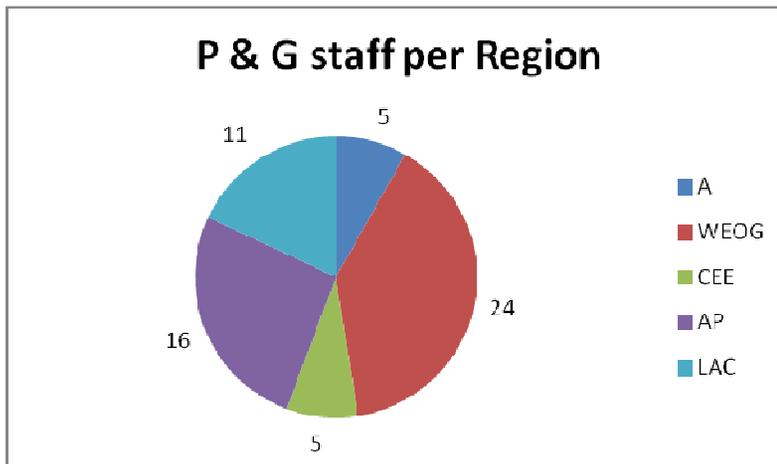
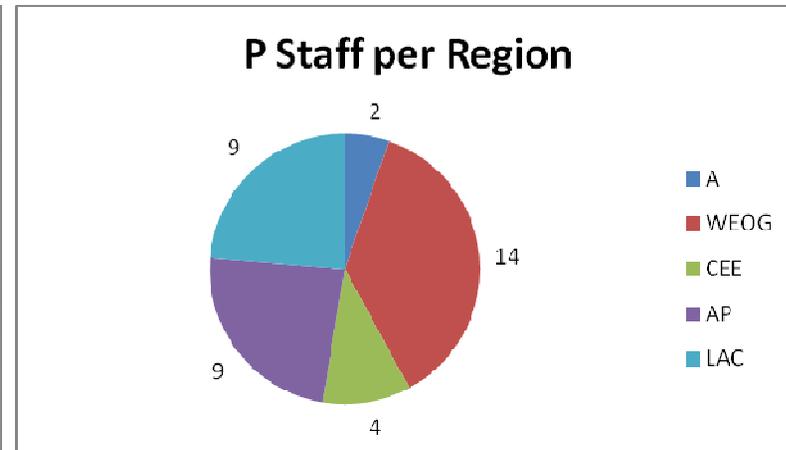
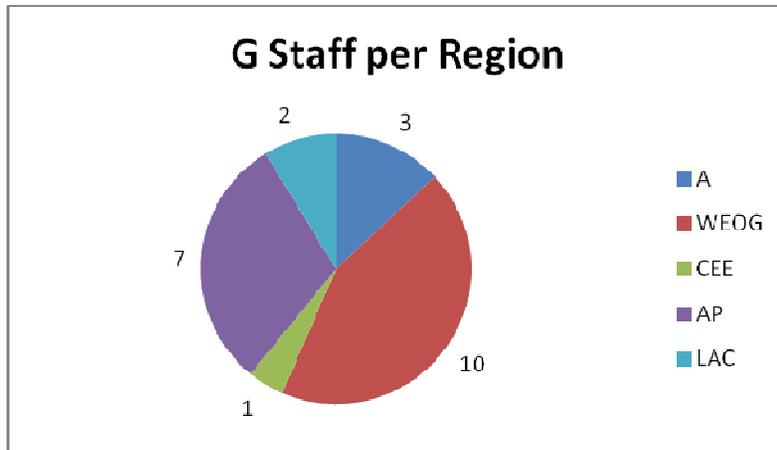
Overall, the African group is underrepresented in the secretariat. WEOG is overrepresented, although part of this is a result of local recruitment of G staff, where a large preponderance of candidates are from Switzerland and surrounding France. The same general pattern occurs in most UN locations. At the management level, there is no representation from either Africa or Central and Eastern Europe, and WEOG and Latin America and the Caribbean are overrepresented.

With respect to gender balance, a majority of G staff, P staff and total staff are female. However, male staff outnumber female staff in management by a ratio of 8 to 1. Furthermore, if one considers the trendlines for male and female staff at the P and D levels, the trendline is flat for male staff – indicating a relatively uniform balance of levels among the male staff – while the trendline for female staff shows a considerable imbalance towards the juniormost levels.

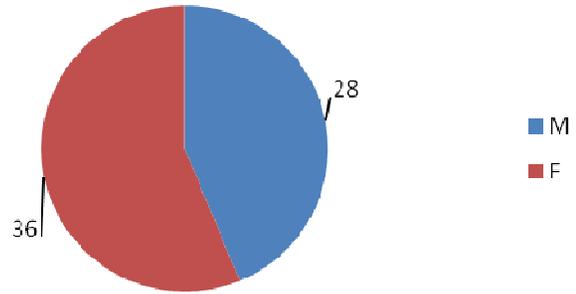
These figures indicate, to the extent possible while undertaking the restructuring process and filling vacant management positions, as well as in undertaking any new hires in the future, the following priorities should be taken into considerations:

1. The need to increase representation in the secretariat of candidates from the African region.
2. The need to achieve gender balance in the management functions of the secretariat.
3. The need to work towards participation of all regions in the management ranks of the secretariat, and to retain good balance in the professional levels.

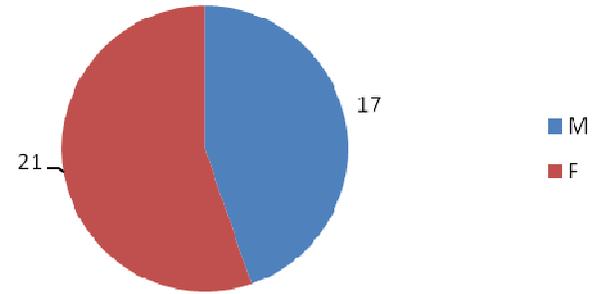
## Demographic charts, Basel, Rotterdam & Stockholm Secretariat



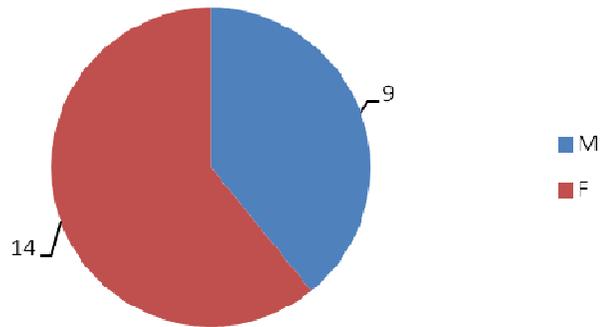
**Gender Ratios: Total Staff**



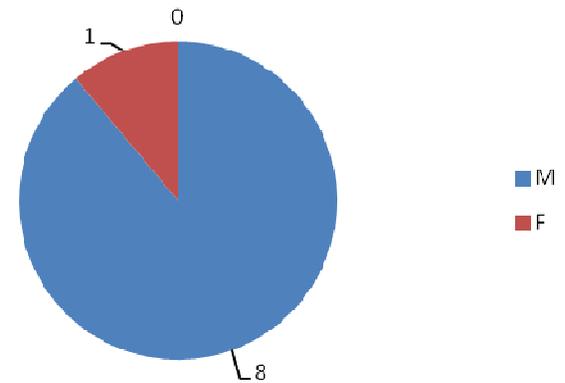
**Gender Ratios: P Staff**



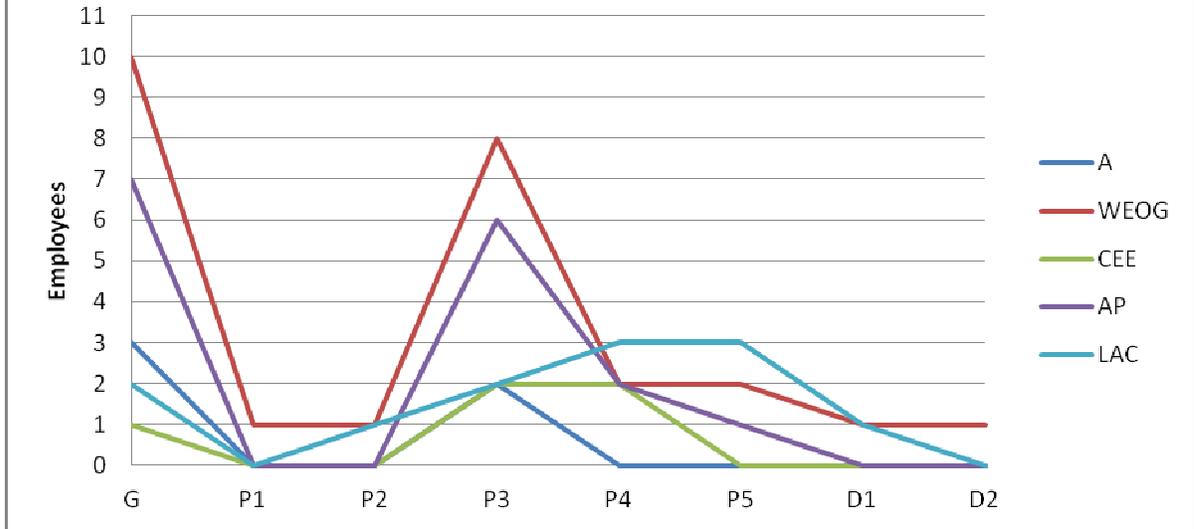
**Gender Ratios: G Staff**



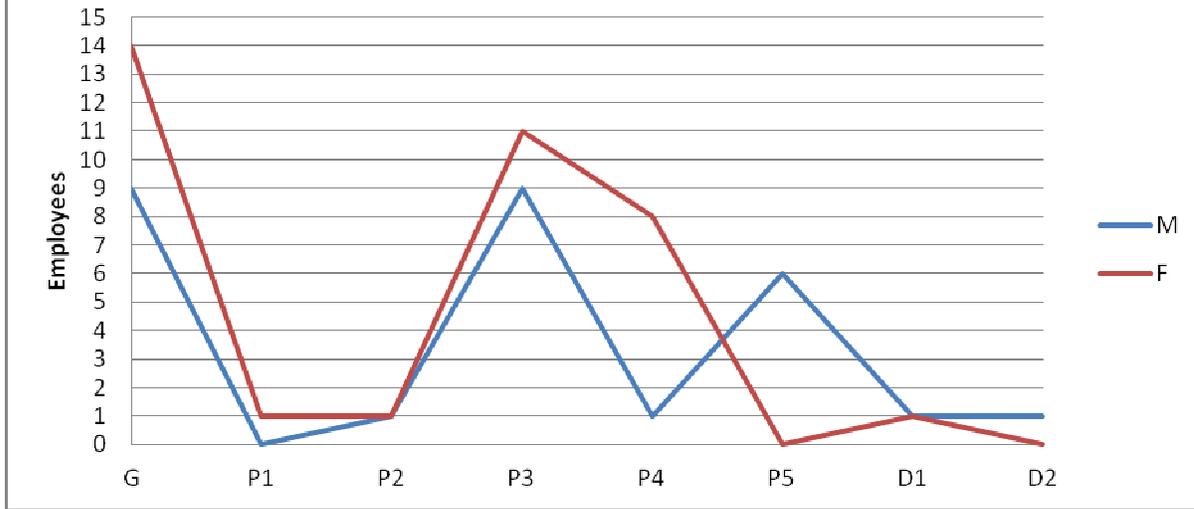
**Gender Ratios: Management**



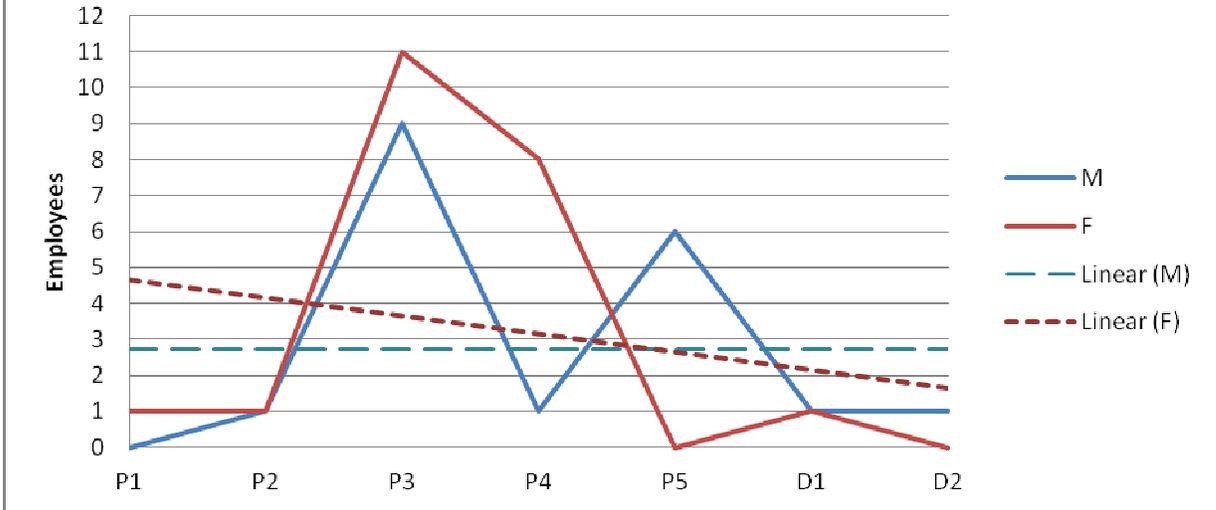
### Employment levels per Region (G Staff Grouped)



### Employment at each level per Gender (G staff grouped)



### Employment at D and P levels per Gender (with trendlines)



### Employment at D and P levels per Region

