

**REPORT OF THE STANDING COMMITTEE
ON ADMINISTRATION AND FINANCE (SCAF)**

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REPORT OF THE STANDING COMMITTEE ON ADMINISTRATION AND FINANCE (SCAF)

1. The Commission had deferred Item 3 (Finance and Administration) of its Agenda (CCAMLR-XXX/1, Appendix A) to the Standing Committee on Administration and Finance (SCAF).
2. In the absence of the Chair, Mr R. Battarcharya (India), the Vice-Chair of SCAF, Dr M. Mayekiso (South Africa), opened the meeting.
3. SCAF adopted the agenda attached at Appendix I.

EXAMINATION OF AUDITED FINANCIAL STATEMENTS FOR 2010

4. SCAF noted that a full audit had been carried out on the 2010 Financial Statements. The report had identified no incidents of non-compliance with Financial Regulations or International Accounting Standards. The Committee **recommended that the Commission accept the Financial Statements as presented in CCAMLR-XXX/3.**

REQUIREMENT FOR 2011 AND 2012 FINANCIAL STATEMENTS

5. SCAF recalled the 2008 proposal from the Australian National Audit Office (ANAO) recommending full annual audits and **recommended that the Commission require a full audit to be performed on the 2011 and 2012 Financial Statements.**

APPOINTMENT OF AUDITOR

6. SCAF noted that the ANAO has been the Commission's auditor since the Commission was established and **recommended that the ANAO be appointed as the Commission's auditor of the 2011 and 2012 Financial Statements.**

EXECUTIVE SECRETARY'S ANNUAL REPORT

7. SCAF received the Executive Secretary's annual report (CCAMLR-XXX/6), noting in particular, remarks relating to staff movements, the greener policy for the Secretariat, and engagement and outreach with Members and other stakeholders. SCAF was supportive of the Secretariat's initiative to introduce a short-term 'intern' program in conjunction with ACAP and the University of Tasmania.

8. In relation to a question relating to the possible use of domain extensions other than .org for the Commission's website, the Executive Secretary explained that, following an investigation of two alternatives (.int and .aq), it had been decided that a change of the existing domain extension is not currently warranted.

SECRETARIAT'S STRATEGIC PLAN

9. The Executive Secretary summarised intersessional work undertaken by the Secretariat in relation to the Independent Review of the Secretariat's Data Management Systems (IR) (CCAMLR-XXX/5), a review of the 2002 Strategic Plan and the preparation of a Staffing and Salary Strategy associated with a revised Strategic Plan proposed for implementation from 2012 (CCAMLR-XXX/8). He noted that all staff had contributed to the work completed. He also noted that the Secretariat had been fortunate to benefit from expertise at the Australian Antarctic Division (AAD) in terms of providing independent oversight to the IR process and outcomes, and in respect of personnel issues associated with the Staffing and Salary Strategy. He thanked AAD for this invaluable assistance.

10. SCAF noted that the purpose of the revised Strategic Plan prepared by the Secretariat is to describe the core services provided to Members and other stakeholders by the CCAMLR Secretariat for the period 2012 to 2014. The Plan presents the structure of the Secretariat and is designed to provide a means for the Secretariat to periodically report to Members on the Secretariat's performance. It includes an associated Staffing and Salary Strategy.

11. The Strategic Plan includes Goals, Objectives and associated Tasks that have been prepared to support the Secretariat's efforts to deliver best-practice services to Members. The Tasks described are intended to form the basis of the preparation of annual work plans for staff and for monitoring and reporting on staff performance internally in the Secretariat, through the CCAMLR Performance Management and Appraisal System (CPMAS). It is also intended to serve as a basis for the Commission to assess the performance of the Secretariat.

12. Proposed Tasks include a range of existing services and new tasks associated with strengthening corporate governance. These include documented internal strategies associated with Secretariat services. While strategies describing financial procedures are mostly in place, additional strategies concerning IT, communications and data policies and procedures, in particular, are deemed necessary. Although the development of some of the strategies requires advice from external experts, the majority will be developed internally. In 2012 these include:

- a Communications Strategy (A\$6 000): to describe the range of activities that may be used to promote the organisation, particularly through its web presence. Commission Members will be invited to contribute to the development of the Communications Strategy. SCAF recommended a draft Communications Strategy be presented to the Commission for its approval
- an Integrated Fisheries Monitoring and Compliance (FMC) Information Management System (A\$30 000): to review the Secretariat's existing FMC-supported activities (licencing, CDS, VMS, fisheries notifications, forecasting, IUU

matters etc.) which are largely administered as stand-alone functions and migrate them to an integrated system that optimises resource sharing (refer paragraph 33 below)

- Virtualisation Strategy (A\$10 000): to take advantage of current information technology to reduce the Secretariat's current number of servers from 15 to three
- New and Exploratory Fisheries Web-based System (A\$7 500): To develop a web-based system for Members to be able to submit new and exploratory fisheries notifications in a web environment.

13. The proposed Strategic Plan will be implemented with a staff establishment that is reduced from 29 to 26. This reduction includes provision for three proposed new positions of Analytical Support Officer, Communications Officer and Data Assistant.

14. On the basis that all other considerations remain relatively unchanged (interest, CPI, income from new and exploratory fisheries, etc.) the Secretariat reported that it is confident that the implementation of the proposed Strategic Plan, including the tasks that require the input of external experts in 2012 and proposed additional staff posts, will be achieved while maintaining zero growth of the General Fund in real terms.

15. The associated Staffing and Salary Strategy describes the policy and guidelines for the management and administration of the Secretariat's staff resources as requested at CCAMLR-XXIX. SCAF recommended that the Strategy formalise the principle of permanent employment for General Services staff following the successful completion of an initial three-year contract.

16. SCAF requested the Secretariat to undertake a review of practices in other multilateral organisations in respect of the administration of professional staff posts. As the current CCAMLR posts are administered on the basis of renewable three-year contracts, the review is to include an appraisal of legal or other issues associated with the duration of contracts for those posts.

17. SCAF recommended that the Staffing and Salary Strategy be implemented on a provisional basis in 2012, in association with the Strategic Plan, and that a report on its implementation be presented to the Commission in 2012.

18. SCAF noted the Secretariat's ongoing work on the Strategic Plan and associated Staffing and Salary Strategy as a work-in-progress and requested that the Commission be presented with a full report on its implementation, through a proposed Performance Monitoring Matrix, including budgetary and staffing matters, at CCAMLR-XXXI. Following review of that report, and any subsequent refinements that may be considered necessary, SCAF suggested that the Commission may consider formal adoption of the Strategic Plan and Staffing and Salary Strategy, including the period to which it may apply, annual reporting requirements and associated staffing issues. At each annual meeting the Commission will have the opportunity to review all budgetary matters associated with the operations of the Secretariat.

19. SCAF recommended that the Commission:

- note that the revised Strategic Plan be implemented as a work-in-progress in 2012, noting that it, and any budget associated with its implementation, will be reviewed annually at each meeting of the Commission
- note that the revised Strategic Plan could be extended beyond 2014 if considered appropriate
- request the Secretariat to further develop a Performance Monitoring Matrix to be used to measure and report annually on outcomes throughout implementation of the new Strategic Plan. It is recommended that the Performance Monitoring Matrix be used as the basis of the Secretariat's report to the Commission from 2012
- review the provisional implementation of the proposed Staffing and Salary Strategy in 2012 including:
 - formalising the utilisation of broad-banding (combining two salary grades) as proposed in the Staffing and Salary Strategy
 - confirming the practice of permanent employment arrangements for General Services staff subject to satisfactory performance assessed through the existing practice of an annual staff performance appraisal (CPMAS)
 - endorse the requirement for the Secretariat to review and report back to SCAF, the practice in other multilateral organisations relating to the administration of professional staff contracts and any legal issues associated with the duration of contracts for those posts.

20. SCAF further proposed that these and other corporate documents relating to administrative policies and procedures within the Secretariat approved by the Commission be made available to Members on the new website. The revised Strategic Plan and associated Staffing and Salary Strategy are at Appendix VI.

21. Noting that, according to the Headquarters Agreement (Article 5), the Commission is required to comply with Australian laws, SCAF recommended that a review of CCAMLR employment contract provisions be undertaken.

REVIEW OF FINANCIAL REGULATIONS

22. SCAF received the Report of the SCAF Correspondence Group (SCAF-CG) reviewing the Financial Regulations as requested by the Commission in 2010 (CCAMLR-XXIX, paragraph 3.14) and convened by Australia (CCAMLR-XXX/29). SCAF recommended that the Commission approve the Financial Regulations, as amended, and associated Investment Principles, at Appendix VII.

23. The primary consideration in determining the investment strategy for the Commission shall be to safeguard the funds of the Commission. Funds shall be invested in such a way as to place primary emphasis on avoiding the erosion of principal funds while ensuring the liquidity necessary to meet the Commission's cash flow requirements.

24. In adopting the Investment Principles, SCAF noted that this would allow the Secretariat to minimise risk through diversification and take advantage of government guarantees within reason. Notwithstanding, SCAF also noted that diversification of investments should not create undue administrative overheads and be balanced in such a way that it does not create an unnecessary burden on the Secretariat.

25. SCAF noted that new provisions of the Australian Government Guarantee for deposits placed in Australian Deposit Institutions (ADIs) limited the guarantee to A\$250 000 per client per ADI from 1 February 2012.

26. SCAF welcomed the Secretariat's provision to Members of quarterly investment reports since CCAMLR-XXIX and requested the Secretariat to report on the deposit amounts covered by the guarantee and a reference to the current Australian inflation rate in future quarterly investment reports to Members.

27. SCAF further **recommended that the SCAF-CG continues its work intersessionally to address issues raised in Attachment B of its report. Attachment B of its report is annexed as Appendix VIII of this report.**

28. Australia agreed to convene the SCAF-CG.

29. SCAF thanked Australia for the excellent work undertaken since CCAMLR-XXIX and for agreeing to continue this work into 2012.

PERFORMANCE REVIEW REPORT

Support to Developing States

30. The Executive Secretary presented CCAMLR-XXX/7 which summarised the practices in other multilateral organisations that support the engagement of Developing States, following recommendations 6.5.2.1, 6.5.2.1(b) and 7.1.1.3 of the Performance Review Panel (PRP) and requested at CCAMLR-XXIX (CCAMLR-XXIX, paragraph 15.9). SCAF noted the range of support available to Developing State Members through ongoing or occasional initiatives of the Commission, and other sources, and undertook to keep this matter under review.

Future Structure of Commission meetings

31. On behalf of the EU, France, and the UK, France presented CCAMLR-XXX/32 addressing recommendation 7.2.2 of the PRP Report relating to the schedule and organisation of the annual meeting. SCAF supported the principle to reduce the length of the meeting to eight days. SCAF reviewed the proposal in CCAMLR-XXX/32 where the SCIC and SCAF

meetings run consecutively for four days in the first week, followed by a four-day plenary session in the second week where the conclusions of discussions in SCIC and SCAF would be endorsed by the Commission. SCAF discussed advantages and disadvantages of this proposal and concluded that the reduction of timing should be tested at the next meeting and assessed at the end of CCAMLR-XXXII.

32. Although an in-depth financial analysis was not conducted, SCAF understood that any additional costs associated with this proposal could be offset by the savings associated with reducing the meeting to eight days.

REVIEW OF 2011 BUDGET

33. SCAF thanked the Secretariat for the increased detail provided with the budget papers. It noted that a surplus of A\$191 000 is forecast for 2011 to be carried forward to 2012. It **recommended the revised Budget for 2011, as set out in Appendix II, be adopted by the Commission.** SCAF commended the Secretariat for the quarterly financial reports sent to Members since the conclusion of CCAMLR-XXIX.

BUDGET FOR 2012

Advice from SCIC and the Scientific Committee

34. The Chair of SCIC advised that it supported the inclusion of A\$30 000 in the General Fund budget to undertake an Integrated FMC Information Management System and A\$5 000 to review the VMS, including new terms of reference.

35. The CDS panel recommended to SCAF to approve A\$91 000 expenditure from the CDS Special Fund on IUU Fishing in the Convention Area, for a capacity-building training event to be held in South Africa in 2012 and a further A\$5 000 to amend the E-CDS to perform Member queries and reports. It was recommended that this funding could be added to the funds allocated for the Integrated FMC project and the work included as part of the project.

36. The representative from the Scientific Committee advised that the Scientific Committee noted that the General Fund had included provision of funding for its activities, including translation into seven languages (English, French, Russian, Spanish, Indonesian, Japanese and Korean) of tagging protocols (A\$2 000 in total), translation into English of research plans in New and Exploratory Fisheries applications (A\$15 000 per annum) and participation costs of external experts on the review panel of the CCAMLR Observer Training Program Accreditation Scheme (COTPAS) (A\$10 000).

37. The Scientific Committee sought the approval of SCAF to expend a total of A\$59 000 from the MPA Special Fund to meet the costs of participating experts to a Circumpolar Workshop to be held in Brussels, Belgium (A\$25 000), a del Cano Rise Workshop (A\$20 000) and a Western Antarctica Workshop (A\$14 000).

38. The Scientific Committee also advised that a two-year scholarship from the General Science Capacity Fund had been awarded at a cost of up to A\$30 000 over two years commencing in 2012.

Overall budget advice

39. SCAF noted that the Staffing and Salary Strategy, included in the draft Strategic Plan, was the basis of the allocation required for the Salaries and Allowances Expenditure Item.

40. In considering the budget for 2012, SCAF requested that future budget documentation provides details on proposed travel requirements.

41. Noting that the SCAF-CG will consider, inter alia, how the Special Funds can be better managed in the 2011/12 intersessional period, SCAF **recommended to the Commission that Members be encouraged to develop proposals to take advantage of the funds available in the Special Funds over the coming year and thereafter, noting the purposes for which these funds were designated.**

42. SCAF noted that expenditure for 2012 from the General Fund totalled A\$4 572 000 resulting in a deficit of A\$85 000 for the year, which can be covered from the 2011 surplus brought forward. Total Members' contributions remain at the 2011 level, although there are variations in individual Members' contributions.

43. SCAF **recommended that the Commission approve the proposed 2012 budget.**

Timing of contributions

44. The Committee **recommended that, in accordance with Financial Regulation 5.6, and in accordance with past practice, the Commission grant extensions to 31 May 2012 for Argentina, Belgium, Brazil, Chile, Republic of Korea, USA and Uruguay in respect of the due date for payment of their 2012 Members' contributions.**

FORECAST BUDGET FOR 2013

45. SCAF was presented with a forecast budget for 2013, noting that an increase to Members' contributions was anticipated to be in line with inflation. Additional New and Exploratory Fisheries application fees and forfeited amounts may reduce Members' contributions for 2013. It was noted that forecasts for 2013 are provided on the basis that average conditions for the past five years will be generally maintained in respect of items such as interest income, CPI and income from New and Exploratory Fisheries.

46. However, SCAF recalled its advice of previous years that the forecast figures are indicative only and care should be taken when they are used as a basis for financial budgeting by individual Members.

47. SCAF welcomed the proposal tabled by Norway and the EU to establish a CEMP Fund and expressed appreciation to Norway for an initial contribution of A\$100 000.

OTHER BUSINESS

Access to restricted information on the CCAMLR website

48. SCAF welcomed new security arrangements proposed for accessing the revised CCAMLR website, noting that individual logins based on email addresses will be used.

ELECTION OF SCAF CHAIR FOR 2012 AND 2013

49. The Vice-Chair of SCAF was invited to continue his consultations among CCAMLR Members to identify a candidate for Chair of SCAF from the end of the 2011 meeting until the end of the 2013 meeting.

ADOPTION OF THE REPORT

50. The report of the meeting was adopted.

CLOSE OF MEETING

51. The Committee thanked Dr Mayekiso for his excellent chairing of the meeting. The Chair closed the meeting.

AGENDA

Standing Committee on Administration and Finance (SCAF)
(Hobart, Australia, 25 to 28 October 2011)

1. Organisation of meeting
 - (i) Adoption of agenda
 - (ii) Schedule of work
2. Examination of audited Financial Statements for 2010
3. Audit requirements for 2011 and 2012 Financial Statements
4. Appointment of Auditor for 2011 and 2012
5. Executive Secretary's Annual Report
6. Secretariat's Strategic Plan
 - (i) Independent review of the Secretariat's data management systems
 - (ii) Review of Strategic Plan
 - (iii) Staffing and salary strategy
7. Review of Financial Regulations
8. Performance Review Report
 - (i) Support to Developing States
 - (ii) Future structure of Commission meetings
9. Review of 2011 budget
10. Budget for 2012
 - (i) Scientific Committee budget
 - (ii) Advice from SCIC
 - (iii) Proposals for expenditure from Special Funds
11. Forecast budget for 2013
12. Other business
 - (i) Access to restricted information on the CCAMLR website
13. Election of SCAF Chair for 2012 and 2013
14. Adoption of report
15. Close of meeting.

REVISED BUDGET FOR THE YEAR ENDED 31 DECEMBER 2011

	General Fund adopted 2010	General Fund Revised	Equity Funds			Special funds								Total	
			Asset Replacement Reserve	New & Expl'y Fisheries Fund	Staff Replacement Fund	Contin-gency	Observer	VMS	CDS	Compli-ance	MPA	Scien-tific	Enforce-ment		General SC Capacity
	A\$	A\$	A\$	A\$	A\$	A\$	A\$	A\$	A\$	A\$	A\$	A\$	A\$	A\$	A\$
Income															
Members' General Fund Contributions	3 157 000	3 157 000	0	0	0	0	0	0	0	0	0	0	0	0	3 157 000
Members' Special Contributions	0	0	0	0	0	0	0	0	30 000	0	0	0	0	15 000	45 000
Interest	180 000	210 000	0	0	0	0	3 800	470	8 600	900	3 300	3 300	450	2 300	233 120
Staff Assessment Levy	530 000	492 000	0	0	0	0	0	0	0	0	0	0	0	0	492 000
Fund transfers	185 000	235 000	0	0	0	(235 000)	0	0	0	0	0	0	0	0	0
Sales (Tagging)	0	30 000	0	0	0	0	0	0	0	0	0	0	0	0	30 000
Miscellaneous Income	436 000	370 000	35 000	204 000	0	150 000	0	0	0	0	0	0	0	0	759 000
Total Income	4 488 000	4 494 000	35 000	204 000	0	(85 000)	3 800	470	38 600	900	3 300	3 300	450	17 300	4 716 120
Expenditure															
Salaries and Allowances	3 280 000	2 876 000	0	204 000	0	0	0	0	0	0	15 000	0	0	0	3 095 000
Equipment	200 000	190 000	0	0	0	0	0	0	0	0	0	0	0	0	190 000
Insurance and Maintenance	200 000	200 000	0	0	0	0	0	0	0	0	0	0	0	0	200 000
Training	15 000	9 000	0	0	0	0	0	0	0	0	0	0	0	0	9 000
Meeting Facilities	320 000	310 000	4 444	0	0	0	0	0	0	0	0	0	0	0	314 444
Travel	230 000	130 000	0	0	0	0	0	0	0	0	33 000	0	0	0	163 000
Printing and Copying	70 000	48 000	0	0	0	0	0	0	0	0	0	0	0	0	48 000
Communications	83 000	55 000	0	0	0	0	0	0	0	0	0	0	0	0	55 000
Sundry	90 000	90 000	0	0	0	0	0	0	0	0	0	0	0	0	90 000
Rent/COGS	0	395 000	0	0	0	0	0	0	0	0	0	0	0	0	395 000
Total Expenditure	4 488 000	4 303 000	4 444	204 000	0	0	0	0	0	0	48 000	0	0	0	4 559 444
Surplus/(Deficit)		191 000	30 556	0	0	(85 000)	3 800	470	38 600	900	(44 700)	3 300	450	17 300	156 676
Balance at 1 January 2011		2 548	137 899	363 920	135 846	345 000	112 451	14 105	216 570	26 187	99 459	95 985	12 884	93 319	1 656 173
Balance at 31 December 2011		193 548	168 455	363 920	135 846	260 000	116 251	14 575	255 170	27 087	54 759	99 285	13 334	110 619	1 812 849

DRAFT BUDGET FOR THE YEAR ENDED 31 DECEMBER 2012

General fund	Equity Funds				Special Funds								Total	
	Asset Replace-ment Reserve	New & Expl'y Fisheries Fund	Staff Replace-ment Fund	Contin-gency	Observer	VMS	CDS	Compli-ance	MPA	Scien-tific	Enforce-ment	General SC Capacity		
A\$	A\$	A\$	A\$	A\$	A\$	A\$	A\$	A\$	A\$	A\$	A\$	A\$	A\$	
Income														
Members' General Fund Contributions	3 157 000	0	0	0	0	0	0	0	0	0	0	0	0	3 157 000
Members' Special Contributions	0	0	0	0	0	0	0	0	0	0	0	0	66 000	66 000
Interest	230 000	0	0	0	0	3 800	470	8 600	900	4 300	3 300	450	2 300	254 120
Staff Assessment Levy	540 000	0	0	0	0	0	0	0	0	0	0	0	0	540 000
Fund transfers	150 000	0	0	0	(150 000)	0	0	0	0	0	0	0	0	0
Sales (Tagging)	30 000	0	0	0	0	0	0	0	0	0	0	0	0	30 000
Miscellaneous Income	380 000	25 000	165 000	0	150 000	0	0	0	0	0	0	0	0	720 000
Total Income	4 487 000	25 000	165 000	0	0	3 800	470	8 600	900	4 300	3 300	450	68 300	4 767 120
Expenditure														
Salaries and Allowances	3 020 000	0	165 000	0	0	0	0	0	0	0	0	0	0	3 185 000
Equipment	200 000	0	0	0	0	0	0	0	0	0	0	0	0	200 000
Insurance and Maintenance	210 000	0	0	0	0	0	0	0	0	0	0	0	0	210 000
Training	20 000	0	0	0	0	0	0	0	0	0	0	0	0	20 000
Meeting Facilities	320 000	4 444	0	0	0	0	0	18 500	0	0	0	0	0	342 944
Travel	200 000	0	0	0	0	0	0	72 500	0	59 000	0	0	15 000	346 500
Printing and Copying	50 000	0	0	0	0	0	0	0	0	0	0	0	0	50 000
Communications	57 000	0	0	0	0	0	0	0	0	0	0	0	0	57 000
Sundry	90 000	0	0	0	0	0	0	5 000	0	0	0	0	0	95 000
Rent/COGS	405 000	0	0	0	0	0	0	0	0	0	0	0	0	405 000
Total Expenditure	4 572 000	4 444	165 000	0	0	0	0	96 000	0	59 000	0	0	15 000	4 911 444
Surplus/(Deficit)	(85 000)	20 556	0	0	0	3 800	470	(87 400)	900	(54 700)	3 300	450	53 300	(144 324)
Balance at 1 January 2012	193 548	168 455	363 920	135 846	260 000	116 251	14 575	255 170	27 087	54 759	99 285	13 334	110 619	1 812 849
Balance at 31 December 2012	108 548	189 011	363 920	135 846	260 000	120 051	15 045	167 770	27 987	59	102 585	13 784	163 919	1 668 525

FORWARD ESTIMATE FOR THE YEAR ENDED 31 DECEMBER 2013

General Fund	Equity Funds			Special Funds									Total	
	Asset Replacement Reserve	New & Expl'y Fisheries Fund	Staff Replacement Fund	Contingency	Observer	VMS	CDS	Compliance	MPA	Scientific	Enforcement	General SC Capacity		
A\$	A\$	A\$	A\$	A\$	A\$	A\$	A\$	A\$	A\$	A\$	A\$	A\$	A\$	
Income														
Members' General Fund Contributions	3 264 000	0	0	0	0	0	0	0	0	0	0	0	0	3 264 000
Members' Special Contributions	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Interest	230 000	0	0	0	0	3 800	470	8 600	900	3 300	3 300	450	2 300	253 120
Staff Assessment Levy	560 000	0	0	0	0	0	0	0	0	0	0	0	0	560 000
Fund transfers	150 000	0	0	0	(150 000)	0	0	0	0	0	0	0	0	0
Sales (Tagging)	30 000	0	0	0	0	0	0	0	0	0	0	0	0	30 000
Miscellaneous Income	385 000	25 000	199 000	0	150 000	0	0	0	0	0	0	0	0	759 000
Total Income	4 619 000	25 000	199 000	0	0	3 800	470	8 600	900	3 300	3 300	450	2 300	4 866 120
Expenditure														
Salaries and Allowances	3 131 000	0	199 000	0	0	0	0	0	0	0	0	0	0	3 330 000
Equipment	200 000	0	0	0	0	0	0	0	0	0	0	0	0	200 000
Insurance and Maintenance	215 000	0	0	0	0	0	0	0	0	0	0	0	0	215 000
Training	15 000	0	0	0	0	0	0	0	0	0	0	0	0	15 000
Meeting Facilities	325 000	4 444	0	0	0	0	0	0	0	0	0	0	0	329 444
Travel	232 000	0	0	0	0	0	0	0	0	0	0	0	30 000	262 000
Printing and Copying	50 000	0	0	0	0	0	0	0	0	0	0	0	0	50 000
Communications	60 000	0	0	0	0	0	0	0	0	0	0	0	0	60 000
Sundry	90 000	0	0	0	0	0	0	0	0	0	0	0	0	90 000
Rent/COGS	410 000	0	0	0	0	0	0	0	0	0	0	0	0	410 000
Total Expenditure	4 728 000	4 444	199 000	0	0	0	0	0	0	0	0	0	30 000	4 961 444
Surplus/(Deficit)	(109 000)	20 556	0	0	0	3 800	470	8 600	900	3 300	3 300	450	(27 700)	(95 324)
Balance at 1 January 2013	108 548	189 011	363 920	135 846	260 000	120 051	15 045	167 770	27 987	59	102 585	13 784	163 919	1 668 525
Balance at 31 December 2013	(452)	209 567	363 920	135 846	260 000	123 851	15 515	176 370	28 887	3 359	105 885	14 234	136 219	1 573 201

MEMBERS' CONTRIBUTIONS 2012
 General Fund Contributions – Payable by 1 March 2012
 (all amounts in Australian dollars)

Member	Basic	Fishing	Total
Argentina*	120 849	1 000	121 849
Australia	120 849	10 148	130 997
Belgium*	120 849	-	120 849
Brazil*	120 849	-	120 849
Chile*	120 849	1 810	122 659
China, People's Republic of	120 849	1 000	121 849
European Union	120 849	-	120 849
France	120 849	25 104	145 953
Germany	120 849	-	120 849
India	120 849	-	120 849
Italy	120 849	-	120 849
Japan	120 849	13 135	133 984
Korea, Republic of *	120 849	21 992	142 841
Namibia	120 849	1 000	121 849
New Zealand	120 849	6 344	127 193
Norway	120 849	31 036	151 885
Poland	120 849	3 171	124 020
Russia	120 849	2 852	123 701
South Africa	120 849	1 656	122 505
Spain	120 849	4 296	125 145
Sweden	120 849	-	120 849
Ukraine	120 849	1 113	121 962
UK	120 849	8 932	129 781
USA*	120 849	-	120 849
Uruguay*	120 849	1 186	122 035
	3 021 225	135 775	3 157 000

* Extension of deadline requested by Members.

**CCAMLR SECRETARIAT STRATEGIC PLAN
(2012–2014)**

CCAMLR SECRETARIAT STRATEGIC PLAN (2012–2014)

INTRODUCTION

The CAMLR Convention entered into force on 7 April 1982. It establishes the Commission for the Conservation of Antarctic Marine Living Resources (CCAMLR), comprising the original signatories and acceding parties. CCAMLR, which currently has 25 Members, maintains a Secretariat in Hobart, Tasmania, Australia (www.ccamlr.org). Arrangements supporting the operations of the CCAMLR Secretariat in Australia are the subject of a Headquarters Agreement signed with the Australian Government on 8 September 1986.

The purpose of this Strategic Plan is to describe the core services provided to Members and other stakeholders by the CCAMLR Secretariat for the period 2012 to 2014 in its endeavour to support the functions of the Commission, as described in the CAMLR Convention. In addition, the Plan describes the structure of the Secretariat and provides a means for Members to periodically assess the Secretariat's performance.

CCAMLR SECRETARIAT STRATEGIC PLAN (2012–2014)

VISION

Globally recognised as a best-practice model for the provision of technical, administrative, scientific and logistical support to an intergovernmental marine conservation and management organisation.

MISSION

To provide support to the Commission in achieving the Convention's objective of conserving Antarctic marine living resources where conservation includes rational use.

GOALS, OBJECTIVES and TASKS

The Secretariat's Strategic Plan describes two overarching Goals which underpin all services provided by the Secretariat to assist the work of the Commission and the Scientific Committee. The two Goals are supported by nine related Objectives.

Each Objective is supported by a suite of specific, mostly measureable, achievable Tasks. Tasks are delivered through seven independent and interdependent core functions: Executive Services, Finance and Administration Services, Fisheries Monitoring and Compliance Services, Scientific Services, Data Services, Information Technology Services and Communications Services (Figure).

Tasks are supported by annual work programs. Annual work programs serve the basis of internal processes to report on the performance of the Secretariat.

Tasks will be periodically revised to take into account the decisions of the Commission and the performance of the Secretariat.

<p style="text-align: center;">GOAL 1:</p> <p style="text-align: center;">To deliver best-practice administrative, technical, logistical and scientific support to the Commission and the Scientific Committee</p>	<p style="text-align: center;">GOAL 2:</p> <p style="text-align: center;">To facilitate communication and collaboration among stakeholders through effective dissemination of information, education, outreach and capacity building.</p>
<p style="text-align: center;">OBJECTIVES</p> <p>To maintain Secretariat services to Members at internationally recognised standards through internal coordination and monitoring of best-practice, administrative and operational policies, and supporting procedures and engagement with relevant external stakeholders.</p> <p>To support an open and inclusive workplace culture and identity consistent with the Commission’s international nature.</p> <p>Quality administration and finance systems, based on accepted host-country standards, supporting efficient and effective delivery of Secretariat services within approved budgets.</p> <p>To provide value-added support for Members, the Commission, the Scientific Committee and their subsidiary bodies through analytical and scientific services consistent with the priorities of the Commission.</p> <p>To provide high-quality technical and logistical support for Members, the Standing Committee on Implementation and Compliance and the Commission through best-practice compliance initiatives consistent with the priorities of the Commission.</p> <p>To support Members, the Commission and the Scientific Committee and their subsidiary bodies, through secure and timely access to comprehensive and high quality Secretariat-administered data.</p> <p>To support Members, the Commission and the Scientific Committee and their subsidiary bodies, utilising cost-effective information systems technologies.</p>	<p style="text-align: center;">OBJECTIVES</p> <p>To provide professional communication and outreach services to support the exchange of information among CCAMLR Members and effectively raise awareness of CCAMLR’s initiatives to conserve Antarctic marine living resources.</p> <p>To provide expert translation services in the four official languages of the Convention to support broad participation in the work of the Commission.</p>

Goal 1: To deliver best-practice administrative, technical, logistical and scientific support to the Commission and the Scientific Committee.

1.1 Executive Services

The function of Executive Services is to coordinate the implementation of the Secretariat's annual program of work agreed by the Commission and the Scientific Committee. An Executive Secretary, appointed by the Commission, is responsible for overseeing the development, implementation and monitoring of internal policies and procedures for the Secretariat, for management and fiscal accountability, for serving as an ambassador for the Commission's work and promoting mutually beneficial networks and relationships.

1.1.1 Objective: To maintain Secretariat services to Members at internationally recognised standards through internal coordination and monitoring of best-practice administrative and operational policies, and supporting procedures, and engagement with relevant external stakeholders.

Tasks:

- Develop and implement internal administrative and operational policies and procedures¹ that aspire to support the delivery of value-for-money Secretariat services in a coordinated and transparent manner.
- Review and periodically revise, as necessary, a Strategic Plan for the Secretariat for endorsement by the Commission.
- Monitor the implementation of intersessional work plans which will be developed and agreed within one month of the conclusion of the annual meeting of the Commission.
- Implement the Commission's stated policies for the Secretariat's cooperation with external stakeholders and periodically report outcomes to the Commission.
- Support cooperation and information exchange mechanisms with international organisations sharing a common interest with CCAMLR for mutual benefit.
- Promote the work of CCAMLR to raise the profile of the organisation internationally.
- Coordinate professional, technical, logistical and administrative Secretariat support to meetings of the Commission, the Scientific Committee and their subsidiary bodies.
- Support consultation processes, including routine staff meetings, to facilitate engagement of all staff in internal consideration of workplace standards, practices and decision-making.

Training and capacity building

- Maintain transparent and non-discriminatory recruitment procedures and policies that seek to secure the best available expertise for the Secretariat within available resources.
- Support periodic performance monitoring and structured training opportunities to maintain Secretariat standards and skills necessary to service the requirements of the Commission.

¹ The most widely applied international voluntary standards for business and organisation management include ISO 9000, ISO 14000, ISO26000 and ISO31000, for example.

- Promote collaboration and cooperation with other relevant institutions to develop and maintain Secretariat expertise, standards and skills at an internationally acceptable level.

1.1.2 Objective: To support an open and inclusive workplace culture and identity consistent with the Commission’s international nature.

Tasks:

- Develop and implement agreed values and guiding principles that provide guidelines and standards for cultural acceptance, mutual respect, transparency, non-discriminatory and fair treatment, tolerance and behaviour in the workplace and in relation to the professional engagement of staff with other CCAMLR stakeholders.
- Develop and administer Workplace Behaviour policies, including a staff grievance procedure.
- Include an item supporting discussion of workplace-related issues in agendas for general staff meetings.
- Promote and support a corporate culture and identity based on mutual respect and fair treatment for all, as well as transparency, open communication, consultation and individual/corporate accountability.
- Develop and administer procedures for the annual review of the workplace standards relative to an appropriate benchmark within the public service of the host country.

1.2 Finance and Administration Services

Finance and Administration provides critical support to the Secretariat’s executive and other technical and support services by maintaining best-practice standards for the administration of the Secretariat’s financial resources, personnel management, workplace policies and procedures and the maintenance of the Secretariat’s physical assets. Finance and Administration administers the Secretariat’s responsibilities in respect of the Headquarters Agreement and liaises with relevant local bodies on matters such as occupational health and safety, accounting, audit standards and workplace relations. It also provides administrative and professional support to the Commission through the Standing Committee on Administration and Finance (SCAF).

1.2.1 Objective: Quality administration and finance systems, based on accepted host-country standards, supporting efficient and effective delivery of Secretariat services within approved budgets.

Tasks:

Personnel

- Establish, and effectively administer, policies and procedures to support the administration of Secretariat personnel and short-term service providers consistent with ICSC and Australian workplace legislation, practices and taxation requirements, where appropriate.
- Coordinate Secretariat training and capacity-building initiatives within available resources.
- Provide effective front office services.

Finance and administration

- Administer CCAMLR's finances consistent with the Commission's Financial Regulations and Headquarters Agreement, including production and distribution of annual and quarterly financial statements.
- Provide financial, costing and budget advice for CCAMLR-related services and activities to staff as required.
- Document and administer systems and procedures for maintaining finance and administration records.
- Document and implement procedures to support CCAMLR-associated travel.
- Establish and administer procedures supporting the Headquarters Agreement with the host Government.
- Actively support corporate relations with the organisation's business affiliates, such as banks, financial institutions, insurance brokers, landlord and Commonwealth and State Governments through regular communication.
- Effectively administer the Commission's premises and assets.
- Maintain workplace health and safety standards in compliance with Australian workplace practice.
- Establish procedures supporting the periodic review, and effective implementation, of the Secretariat's Greener Office Policy.
- Provide documentation and expert support to the Executive Secretary and to the SCAF Chair at the annual meeting of SCAF and to the Commission Chair on Commission matters.

1.3 Science Services

The primary purpose of Science Services is to provide technical and administrative support to the work of the Scientific Committee and its subsidiary bodies. In this endeavour, close consultative arrangements are maintained with the Chair of the Scientific Committee and the conveners of working groups. Science Services undertakes assimilation and preliminary analysis of scientific and fishery data and information for subsequent consideration by the Scientific Committee and provides administrative and coordinating support to technical programs including CCAMLR's Scheme of International Scientific Observation, CCAMLR's Ecosystem Monitoring Program, tagging initiatives and marine debris monitoring.

1.3.1 Objective: To provide value-added support for Members, the Commission, the Scientific Committee and their subsidiary bodies through analytical and scientific services consistent with the priorities of the Commission.

Tasks:

Science administration and logistical support

- Provide technical and administrative support to the Chair of the Scientific Committee and Conveners of Scientific Committee working groups.
- Coordinate logistical and technical support to meetings of the Commission, the Scientific Committee and their subsidiary bodies.
- Support the Secretariat's scientific engagement with relevant external stakeholders, including other organisations, networks and associations.

- Provide editorial services for the scientific content of *CCAMLR Science* and coordinate the science input to Secretariat publications and the website.
- In consultation with the Chair of the Scientific Committee, manage or coordinate work experience opportunities, internships or other capacity-building initiatives for early career CCAMLR scientists.
- Efficiently manage and monitor the Secretariat's science-related personnel and budgets.

Synthesis and analysis of scientific data and information

- Coordinate the Secretariat's technical and logistical advice and support in respect of scientific initiatives and associated programs implemented by Members, including, inter alia:
 - marine conservation
 - the CCAMLR Scheme of International Scientific Observation
 - the CCAMLR Ecosystem Monitoring Program
 - tagging
 - marine debris
 - otolith inventories and processing
 - status and trend assessments for target and by-catch species
 - by-catch monitoring and mitigation
 - bioregionalisation
 - fishery interactions, including with vulnerable marine ecosystems
 - fishery management options
 - climate change.
- Collaborate with Members to facilitate data collection and analyses contributing to CCAMLR's scientific objectives.
- Provide technical tools and analytical services to data users, the Commission and the Scientific Committee and their subsidiary bodies, including the development and validation of stock assessment tools.
- In association with Data Services:
 - provide timely and accurate science-related data extracts for Members upon receipt of requests consistent with the Rules for Access and Use of CCAMLR Data
 - produce routine synthesis reports to the Scientific Committee (and working groups) on data submitted through CCAMLR scientific initiatives and associated programs
 - provide expert analysis and synthesis of CCAMLR data and related information to support identified priority intersessional tasks of the Scientific Committee.
- Provide feedback on science aspects of all Secretariat papers/publications.

1.4 Fishery Monitoring and Compliance Services

Fishery Monitoring and Compliance Services supports the work of the Commission through expert administrative, logistical and technical support to the Standing Committee on Implementation and Compliance (SCIC). As the focal point for the Secretariat's work associated with fishery monitoring and reporting on compliance with the Commission's conservation measures and other decisions, Fisheries Monitoring and Compliance Services is a key user of CCAMLR data. It is also responsible for administrative and coordinating support to operational programs implemented by the Commission, including maintenance of CCAMLR's IUU Vessel Lists, coordinating reporting relating to IUU fishing and the efficient operation of the Commission's Vessel Monitoring System and Catch Documentation Scheme.

1.4.1 Objective: To provide high-quality technical and logistical support for Members, the Standing Committee on Implementation and Compliance and the Commission through best-practice compliance initiatives consistent with the priorities of the Commission.

Tasks:

Compliance administration and logistical support

- Provide technical and administrative support to the Chair of SCIC.
- Coordinate logistical and technical support to meetings of SCIC.
- Provide technical and administrative support and advice, as required, to the Commission, the Scientific Committee and their subsidiary bodies.
- Support the Secretariat's engagement with relevant external stakeholders including non-Contracting Parties, other organisations, networks and associations on compliance measures.
- Coordinate the compliance input to Secretariat publications.
- Provide advice and content for the management of compliance-related information on the CCAMLR website.
- Manage or coordinate compliance-related work experience opportunities, internships or other capacity-building initiatives for early career CCAMLR professionals.

Compliance monitoring and technical services

- Undertake research and acquire and summarise relevant information relating to the initiatives of SCIC and the Commission in combating IUU fishing.
- Analyse and disseminate information to support Members' implementation of systems to achieve optimal levels of compliance with conservation measures and other decisions of the Commission.
- Coordinate the Secretariat's technical and logistical advice and support in respect of compliance initiatives of Members, including, inter alia:
 - Centralised Vessel Monitoring System
 - Catch Documentation Scheme
 - Vessel Register
 - Scheme of International Scientific Observation
 - System of Inspection
 - Monitoring of Transshipments
 - Licensing
 - Schemes to Promote Compliance
 - IUU Fishing.
- Provide information on CCAMLR conservation measures to Members and other interested stakeholders.
- Collaborate with Members to facilitate data collection and analyses contributing to CCAMLR's compliance objectives.
- Produce routine synthesis reports to SCIC, the Scientific Committee and the Commission, as appropriate, on data submitted through CCAMLR's compliance initiatives.

- Provide expert analysis and synthesis of CCAMLR data and related information to support identified priority intersessional tasks of SCIC and the Commission, including monitoring of the implementation of conservation measures and other decisions of the Commission.
- In association with Data Services:
 - prepare fisheries monitoring and compliance-related data summaries and reports for CCAMLR-monitored fisheries for the Secretariat and CCAMLR Members
 - provide timely and accurate fishery monitoring and compliance-related data extracts for Members upon receipt of requests consistent with the Rules for Access and Use of CCAMLR Data
 - administer Secretariat functions in respect of the notification systems for fisheries and research
 - monitor the implementation of, and reporting on, data-related provisions of conservation measures.

1.5 Data Services

Data services provides a core business function to Members, the Commission, the Scientific Committee and their subsidiary bodies directly, or in collaboration with other Secretariat services. Data Services maintains the Secretariat's Data Centre and is responsible for liaison with data owners, providers and stakeholders, for data administration standards and procedures, processing and validation, technical tools and analytical services, risk management, security and presentation to business users of comprehensive, high-quality CCAMLR data. These data provide an essential platform for robust decision-making by the Commission, the Scientific Committee and their subsidiary bodies, and to support other Secretariat services.

1.5.1 Objective: To support Members, the Commission, the Scientific Committee and their subsidiary bodies through secure and timely access to comprehensive and high-quality Secretariat-administered data.

Tasks:

Logistical and administrative support to data processes

- Coordinate the Secretariat's technical, administrative and logistical support to the Commission, the Scientific Committee and their subsidiary bodies in relation to the processing of, and access to, CCAMLR data, including, inter alia:
 - fishery data
 - scientific observer data
 - research data
 - compliance data
 - reference data.
- Provide timely and accurate data extracts for Members consistent with the Rules for Access and Use of CCAMLR Data.
- Promote the integration of data across all technical services of the Secretariat.
- Develop and implement a Data Management Strategy.
- Support the Secretariat's engagement with relevant stakeholders, including other organisations, networks and associations, in relation to data-related matters, including data administration and standards, technical tools and products.

- Manage the technical content of the *CCAMLR Statistical Bulletin* and coordinate the data-related input to Secretariat publications and the website.
- Contribute to work experience opportunities, internships or other capacity-building initiatives for early career CCAMLR professionals.
- Manage personnel and budget resources to support the CCAMLR Secretariat's data services.
- Coordinate data services through the CCAMLR Data Centre.

Data systems

- Develop, implement and maintain systems for receipt, processing, integrity checking, validation, quality assurance, access, use and reporting of CCAMLR data to relevant international standards and the Rules for Access and Use of CCAMLR Data.
- Administer CCAMLR's metadata.
- Provide efficient systems and associated documentation for the submission and processing of data from CCAMLR fishery, scientific observer, research and compliance programs such as SISO, CEMP, E-CDS and VMS.
- Implement fully documented data integrity and logical checking procedures.
- Provide expert feedback to data providers and other Secretariat Services to resolve missing, erroneous and/or anomalous data and to ensure a high level of data quality.
- In consultation with Science Services and Fishery Monitoring and Compliance Services, provide data extracts, technical tools and analytical services to data users, the Commission, the Scientific Committee and their subsidiary bodies, including the development of programs and the validation of stock assessment tools.

Data access and use

- In association with Fishery Monitoring and Compliance Services:
 - prepare data summaries and reports for CCAMLR-monitored fisheries for the Secretariat and CCAMLR Members
 - provide timely and accurate monitoring and compliance-related data extracts for Members upon receipt of requests consistent with the Rules for Access and Use of CCAMLR Data
 - administer Secretariat functions in respect of the notification systems for fisheries and research
 - monitor the implementation of, and reporting on, data-related provisions of conservation measures.
- In association with Science Services:
 - provide timely and accurate science-related data extracts for Members upon receipt of requests consistent with the Rules for Access and Use of CCAMLR Data
 - produce routine synthesis reports to the Scientific Committee (and working groups) on data submitted through CCAMLR scientific initiatives and associated programs
 - provide expert analysis and synthesis of CCAMLR data and related information to support identified priority intersessional tasks of the Scientific Committee.

1.6 IT Services

Information Technology Services is responsible for the acquisition and maintenance of reliable, cost-effective and secure information and communications technology infrastructure

supporting the business requirements of the Secretariat. IT Services include the management of computing and communications infrastructure, administration and technical support for applications and helpdesk services, including computing-related training needs within the Secretariat.

1.6.1 Objective: To support Members, the Commission, the Scientific Committee and their subsidiary bodies utilising cost-effective information systems technologies.

Tasks:

IT administration

- Develop, implement and periodically review an IT Strategic Plan.
- Document and periodically revise IT specific policies, standards and procedures, including, but not limited to, asset cycles, information security, acceptable use, remote access, email, out-sourcing, archiving, physical security.
- Consider the development of an Information Management Strategy for the Secretariat based on a cost-benefit approach.
- Manage and monitor the Secretariat's IT personnel, budget, assets and associated resources.

IT infrastructure

- Ensure the Secretariat's internal (local area) network is secure and available to CCAMLR staff according to the business need.
- Ensure the Secretariat's external (wide area) network is secure and available to authorised users according to the business need.
- Provide an efficient and effective telecommunication infrastructure, both fixed line and mobile, for Secretariat staff as required.
- Implement a cost-effective, reliable and secure information management infrastructure to support the storage and retrieval of documents (files), email and data.
- Develop a Virtualisation Strategy to migrate the Secretariat's IT infrastructure to a virtualised environment.

IT Technical Services

- Provide efficient Secretariat-wide helpdesk support for standard and custom software applications, document management, operating systems, hardware, communications, printing, scanning and related meeting requirements.
- Provide helpdesk services to annual CCAMLR meetings and other CCAMLR-hosted meetings when required.
- Provide technical support to Secretariat staff relating to custom application development.
- Provide implementation, ongoing development and operational support for the Commission's website.
- Identify and assess staff training needs periodically and consider opportunities for training delivery.

Goal 2: To facilitate communication and collaboration among Members and other stakeholders through effective dissemination of information, education, outreach and capacity building.

2.1 Communications Services

The key role of the Communications Services is to provide logistical and technical support for the operation of the Commission in its four official languages. In this role, Communications Services provides professional translation and interpretation support to the annual meetings of the Commission, including the translation of relevant reports and supporting documents of the Commission, the Scientific Committee and their subsidiary bodies. Communications Services is responsible for developing and implementing the Secretariat's Communication Strategy to raise the profile of CCAMLR locally and internationally, coordinating the management of information internally in the Secretariat and managing publications and other related information resources.

2.1.1 Objective: To provide professional communication and outreach services to support the exchange of information among CCAMLR Members and with other stakeholders to effectively raise awareness of CCAMLR's initiatives to conserve Antarctic marine living resources.

Tasks:

Communications administration and logistical support

- Manage and monitor the Secretariat's communication-related personnel, budget, equipment and other resourcing needs.
- Provide effective logistical and administrative support to the Commission, the Scientific Committee and their subsidiary bodies, including in relation to meeting preparation and arrangements.
- Develop and implement an Enterprise Content Management Strategy.
- In association with IT Services, provide in-house training to build capacity among staff to contribute content to the CCAMLR website.

Public relations, outreach and capacity building

- Draft, implement and monitor the implementation of a Communication Strategy for communicating with external stakeholders, including Parties to the Antarctic Treaty and CCAMLR non-Contracting Parties, which includes public relations, awareness-raising and outreach components.
- Maintain the CCAMLR website content as a best-practice information portal for Members and the public.
- Maintain and administer a media contact list.
- Prepare periodic media releases to promote the achievements of CCAMLR.
- Prepare and publish information releases profiling CCAMLR activities and related Antarctic and Southern Ocean issues.
- Assist in researching and disseminating information relating to opportunities for early career professionals from CCAMLR Members to undertake additional studies or gain work experience in CCAMLR-related fields.

Library services

- Maintain and catalogue information in the CCAMLR Secretariat library and provide access to all CCAMLR Members and staff electronically.
- Participate in library networks and associations to strengthen CCAMLR access to literature that may support the work of the Commission and the Secretariat.

Publications

- Maintain CCAMLR editorial services to support timely and professional production of CCAMLR publications.
- Maintain and update as necessary publications-related styles, formats and guidelines.
- In December each year, prepare an annual publication schedule.
- Provide technical support for web-based document indexing and searching for CCAMLR publications.
- Edit, professionally format and make CCAMLR publications available electronically or in hard copy, in a timely manner.
- Monitor demand for CCAMLR publications using citation data.
- Process, distribute and archive, in accordance with adopted procedures, Secretariat Circulars, Commission, Scientific Committee and subsidiary body meeting documents and reports.

2.1.2 Objective: To provide expert translation services in the four official languages of the Convention to support broad participation in the work of the Commission.

Tasks:

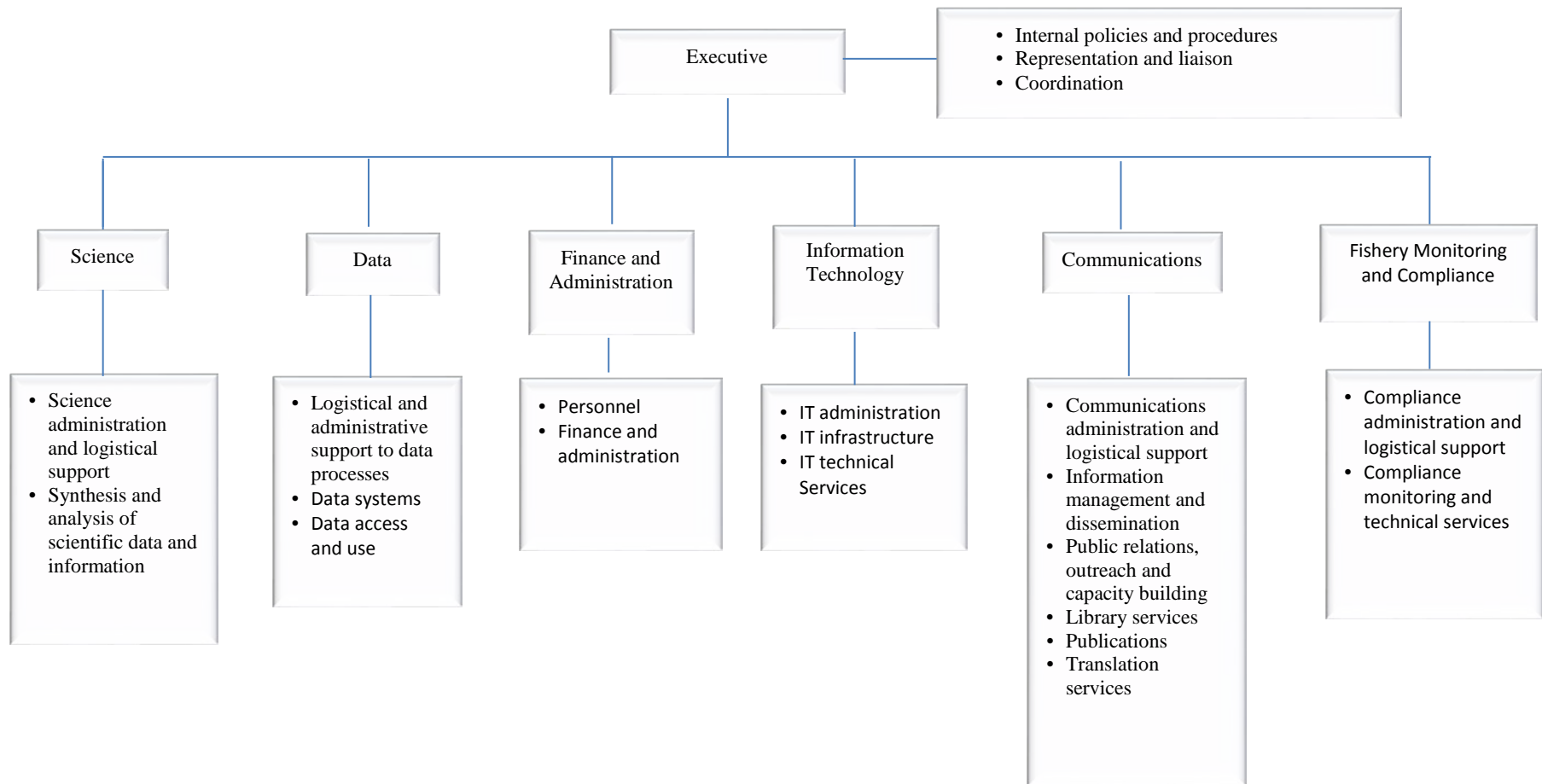
- Provide expert translation services in the four official languages of the Commission for designated Commission and Scientific Committee communications, documents and publications in an accurate, cost-effective and timely manner.
- Support inclusive discussions and informed decision-making by the Commission and the Scientific Committee by promoting multi-lingual information exchange and communication.
- Maintain best-practice translation standards in line with those of UN agencies, other international organisations and national accreditation bodies.
- Support transparency of CCAMLR and promote its work in a global context.
- Support the language requirements of all other functions of the Secretariat, as appropriate.
- Provide high-quality interpretation services to the annual meetings of the Commission.
- Develop, implement and periodically review Translation Guidelines as an integral component of the Secretariat's Communication Strategy.

MONITORING AND EVALUATION

Monitoring the delivery of intersessional tasks assigned to the Secretariat throughout the year offers one opportunity to regularly assess the Secretariat's performance. The main opportunity for Members to assess the performance of the Secretariat is at its regular annual session. To facilitate this, the Secretariat will present a summary matrix of outcomes and achievements associated with the Tasks described in this Strategic Plan to each meeting of the

Commission, the Scientific Committee and their relevant subsidiary bodies. On the basis of responses received, and agreement regarding new issues for the Secretariat to address, the Strategic Plan may be periodically revised.

A revised Strategic Plan, for the period 2015 to 2017, will be prepared for consideration by Members at the 2014 annual meeting of the Commission. The revision may simply be a refinement of this Strategic Plan.



AMENDED FINANCIAL REGULATIONS

(for inclusion in the Basic Documents as Part 6)

AMENDED FINANCIAL REGULATIONS*

REGULATION 1 APPLICABILITY

1.1 These Regulations shall govern the financial administration of the Commission for the Conservation of Antarctic Marine Living Resources (hereinafter referred to as ‘the Commission’) and the Scientific Committee for the Conservation of Antarctic Marine Living Resources (hereinafter referred to as ‘the Scientific Committee’) established under Articles VII(1) and XIV(1) of the Convention on the Conservation of Antarctic Marine Living Resources (hereinafter referred to as ‘the Convention’).

REGULATION 2 FINANCIAL YEAR

2.1 The financial year shall be for 12 months commencing 1 January and ending 31 December, both dates inclusive.

REGULATION 3 THE BUDGET

3.1 A draft budget comprising estimates of receipts by the Commission and of expenditures by the Commission and the Scientific Committee and any subsidiary bodies established pursuant to Articles XIII(6) and XVI(3) of the Convention shall be prepared by the Executive Secretary for the ensuing financial year.

3.2 The draft budget shall include a statement of the significant financial implications for subsequent financial years in respect of any proposed work programs presented in terms of administrative, recurrent and capital expenditure.

3.3 The draft budget shall be divided by functions into items and, where necessary or appropriate, into sub-items.

3.4 The draft budget shall be accompanied by details both of the appropriations made for the previous year and estimated expenditure against those appropriations, together with such information annexures as may be required by Members of the Commission or deemed necessary or desirable by the Executive Secretary. The precise form in which the draft budget is to be presented shall be prescribed by the Commission.

3.5 The Executive Secretary shall submit the draft budget to all Members of the Commission at least 60 days prior to the annual meeting of the Commission, as provided for

* As adopted at CCAMLR-I (paragraph 23) and amended at CCAMLR-XIII (Annex 4, Appendix 1), CCAMLR-XVII (Annex 4, Appendix III), CCAMLR-XVIII (paragraph 3.5; Annex 4, paragraph 38) and CCAMLR-XXI (Annex 4, paragraph 23).

Financial Regulations

in Article XIX(2) of the Convention. At the same time, and in the same form as the draft budget, he shall prepare and submit to all Members of the Commission a forecast budget for the subsequent financial year.

3.6 The draft budget and the forecast budget shall be presented in Australian dollars.

3.7¹ At each annual meeting, the Commission shall adopt by consensus its budget and the budget of the Scientific Committee.

REGULATION 4 APPROPRIATIONS

4.1 The appropriations adopted by the Commission shall constitute an authorisation for the Executive Secretary to incur obligations and make payments for the purposes for which the appropriations were adopted.

4.2 Unless the Commission decides otherwise, the Executive Secretary may also incur obligations against future years before appropriations are adopted when such obligations are necessary for the continued effective functioning of the Commission, provided such obligations are restricted to administrative requirements of a continuing nature not exceeding the scale of such requirements as authorised in the budget of the current financial year. In other circumstances the Executive Secretary may incur obligations against future years only as authorised by the Commission.

4.3 Appropriations shall be available for the financial year to which they relate. At the end of the financial year all appropriations shall lapse. Commitments remaining undischarged against previous appropriations at the end of a financial year shall be carried over and be included in the budget for the next financial year, unless the Commission otherwise decides.

4.4 The Chairman may authorise the Executive Secretary to make transfers of up to 10 per cent of appropriations between items. The Chairman of the Standing Committee on Administration and Finance may authorise the Executive Secretary to make transfers of up to 10 per cent of appropriations between categories within expenditure items. The Executive Secretary may authorise the transfer of up to 10 per cent of appropriations between expenditure items. All transfers must be reported by the Executive Secretary to the next annual meeting of the Commission.

4.5 The conditions under which unforeseen and extraordinary expenses may be incurred, as agreed by the Commission, are provided in Annex 1 to the Financial Regulations.

¹ *Article XIX(1) of the Convention on the Conservation of Antarctic Marine Living Resources*

REGULATION 5
PROVISION OF FUNDS

5.1 Each Member of the Commission shall contribute to the budget in accordance with Article XIX(3) of the Convention.

5.2 Staff Assessment Levy paid by an employee of the Commission shall be regarded by the Commission as payment towards the annual budget contribution for the year.

5.3 On approval of the budget for a financial year, the Executive Secretary shall send a copy thereof to all Members of the Commission notifying them of their contributions and requesting them to remit their contributions due. A Member of the Commission that fails to pay its contributions for two consecutive years shall not, during the period of its default, have the right to participate in the taking of decisions in the Commission.

5.4 All contributions shall be made in Australian dollars or the equivalent amount in United States dollars.

5.5 (a) Except in the first financial year, a new Member of the Commission whose membership becomes effective during the first six months of the financial year shall be liable to pay the full amount of the annual contribution which would have been payable had it been a Member of the Commission when assessments were made under Article XIX(3) of the Convention. A new Member whose membership becomes effective during the last six months of the financial year, shall be liable to pay half of the amount of the annual contribution referred to above. In the first financial year all Members whose membership becomes effective during the first nine months of the year shall be liable to pay the full amount of the annual contributions. A Member whose membership becomes effective during the last three months of the first financial year shall be liable to pay half the amount of the first annual contribution;

(b) Where contributions are received from new Members the contributions of existing Members shall be adjusted in accordance with Regulation 6.1(d).

5.6 Except in the first financial year when contributions shall be paid within 90 days of the end of the first Commission meeting, contributions shall be due for payment on the first day of the financial year (i.e. the due date) and shall be paid not later than 60 days after that date. The Commission has the authority to permit extensions to the due date of up to 90 days for individual Members who are unable to comply with this regulation due to the timing of the financial years of their governments. However, in the case referred to in Regulation 5.5(a), contributions by a new Member shall be made within 90 days following the date on which its membership becomes effective. If payment is made after the due date in United States dollars, the net payment received by the Commission shall be equivalent to the amount of Australian dollars payable on the due date.

5.7 The Executive Secretary shall report to each meeting of the Commission on the receipt of the contributions and the position of arrears.

**REGULATION 6
FUNDS**

- 6.1 (a) There shall be established a General Fund for the purpose of accounting for the income and expenditure of the Commission and Scientific Committee and any subsidiary bodies established pursuant to the Convention;
- (b) Contributions paid by Members under Regulation 5.1 and miscellaneous income to finance general expenditure shall be credited to the General Fund;
- (c) Any cash surplus in the General Fund at the close of a financial year that is not required to meet undischarged commitments in terms of Regulation 4.3 shall be divided in proportion to the contributions made by existing Members under Regulation 5.1 in the current financial year and used to offset such Members' contributions for the ensuing financial year. This provision shall not apply at the end of the first financial year when surplus funds other than those resulting from contributions by new Members may be carried over into the following financial year;
- (d) Where contributions are received from new Members after the commencement of the financial year and such funds have not been taken into account in formulating the budget, appropriate adjustment shall be made to the level of the assessed contributions of existing Members and such adjustments recorded as advances made by such Members;
- (e) Advances made by Members shall be carried to the credit of the Members which have made such advances.
- 6.2 Trust and Special Funds may be established by the Commission for the purpose of receiving funds and making payments for purposes not covered by the regular budget of the Commission.

**REGULATION 7
OTHER INCOME**

- 7.1 All income other than contributions to the budget under Regulation 5 and that referred to in Regulation 7.3 below, shall be classified as Miscellaneous Income and credited to the General Fund. The use of Miscellaneous Income shall be subject to the same financial controls as activities financed from regular budget appropriations.
- 7.2 Voluntary contributions above and beyond Members' budget contributions may be accepted by the Executive Secretary provided that the purposes for which the contributions are made are consistent with the policies, aims and activities of the Commission. Voluntary contributions offered by non-Members may be accepted, subject to agreement by the Commission that the purposes of the contribution are consistent with the policies, aims and activities of the Commission.

7.3 Voluntary contributions shall be treated as Trust or Special Funds under Regulation 6.2.

REGULATION 8 CUSTODY OF FUNDS

8.1 The Executive Secretary shall designate institutions in Australia in which the funds of the Commission shall be kept and shall report the identity of the institutions so designated to the Commission.

8.2 The Executive Secretary may make investments of moneys not needed for the immediate requirements of the Commission. Such investments shall be in accordance with the Investment principles at Annex 2. Income derived from investments shall be reported in the documents supporting the budget.

8.3 Income derived from investments shall be credited to the Fund from which the investment was made.

REGULATION 9 INTERNAL CONTROL

9.1 The Executive Secretary shall:

- (a) establish detailed financial rules and procedures in accordance with the Investment Principles at Annex 2 to ensure effective financial administration and the exercise of economy in the use of funds;
- (b) cause all payments to be made on the basis of supporting vouchers and other documents which ensure that the goods or services have been received and that payment has not previously been made;
- (c) designate officers who may receive moneys, incur obligations and make payments on behalf of the Commission; and
- (d) maintain and be responsible for internal financial control to ensure:
 - (i) the regularity of the receipt, custody and disposal of all funds and other financial resources of the Commission;
 - (ii) the conformity of obligations and expenditures with the appropriations adopted by the annual meeting; and
 - (iii) the economic use of the resources of the Commission.

Financial Regulations

9.2 No obligations shall be incurred until allotments or other appropriate authorisations have been made in writing under the authority of the Executive Secretary.

9.3 The Executive Secretary may propose to the Commission, after full investigation by him, the writing off of losses of assets, provided that a statement of all such amounts written off is submitted to the auditor with the accounts together with the justification for the write-off. Such losses shall be included in the annual accounts.

9.4 Tenders in writing for equipment, supplies and other requirements shall be invited by advertisement, or by direct requests for quotation from at least three persons or firms able to supply the equipment, supplies, or other requirements, if such exist, in connection with all purchases or contracts, the amounts of which exceed \$2 000 (Australian dollars). For amounts exceeding \$100, but less than \$2 000, competition shall be obtained either by the above means or by telephone or personal enquiry. The foregoing rules, shall, however, not apply in the following cases:

- (a) where it has been ascertained that only a single supplier exists and that fact is so certified by the Executive Secretary;
- (b) in case of emergency, or where, for any other reason, these rules would not be in the best financial interests of the Commission, and that fact is so certified by the Executive Secretary.

REGULATION 10 THE ACCOUNTS

10.1 The Executive Secretary shall ensure that appropriate records and accounts are kept of the transactions and affairs of the Commission and shall do all things necessary to ensure that all payments out of the Commission's moneys are correctly made and properly authorised and that adequate control is maintained over the assets of, or in the custody of, the Commission and over the incurring of liabilities by the Commission.

10.2 The Executive Secretary shall submit to the Members of the Commission, not later than 31 March immediately following the end of the financial year, annual financial statements showing, for the financial year to which they relate:

- (a) the income and expenditure relating to all funds and accounts;
- (b) the situation with regard to budget provisions, including:
 - (i) the original budget provisions;
 - (ii) the approved expenditure in excess of the original budget provisions;
 - (iii) any other income;
 - (iv) the amounts charged against these provisions and other income;
- (c) the financial assets and liabilities of the Commission;
- (d) details of investments;
- (e) losses of assets proposed in accordance with Regulation 9.3.

The Executive Secretary shall also give such other information as may be appropriate to indicate the financial position of the Commission. These financial statements shall be prepared in a form approved by the Commission after consultation with the external auditor.

10.3 The accounting transactions of the Commission shall be recorded in the currency in which they took place but the annual financial statements shall record all transactions in Australian dollars.

10.4 Appropriate separate accounts shall be kept for all Special and Trust Funds.

10.5 The annual financial statements shall be submitted by the Executive Secretary to the external auditor in accordance with Article XIX (4) of the Convention at the same time as they are submitted to Members of the Commission under paragraph 2 of this Regulation.

REGULATION 11 EXTERNAL AUDIT

11.1 The Commission shall appoint an external auditor who shall be the Auditor-General or equivalent statutory authority from a Member of the Commission and shall serve for a term of two years with the possibility of re-appointment. The Commission will ensure respect for the external auditor's independence of the Commission, the Scientific Committee, their subsidiary bodies and the Commission's staff, fix the terms of office, and appropriate funds to the external auditor to meet the costs of the audit.

11.2 The external auditor or a person or persons authorised by him shall be entitled at all reasonable times to full and free access to all accounts and records of the Commission relating directly or indirectly to the receipt or payment of moneys by the Commission or to the acquisition, receipt, custody or disposal of assets by the Commission. The external auditor or a person or persons authorised by him may make copies of or take extracts from any such accounts or records.

11.3 Full audits of the Commission's Financial Statement shall be conducted annually. In performing a full audit, the external auditor shall conduct his examination of the statements in conformity with generally accepted auditing standards and shall report to the Commission on all relevant matters, including:

- (a) whether, in his opinion, the statements are based on proper accounts and records;
and
- (b) whether the statements are in agreement with the accounts and records.

11.4 The Commission may also seek of the auditor a separate report on other relevant matters, including:

Financial Regulations

- (a) whether, in his opinion, the income, expenditure and investment of moneys and the acquisition and disposal of assets by the Commission during the year have been in accordance with these Regulations; and
- (b) observations with respect to the efficiency and economy of the financial procedures and the conduct of business, the accounting system, internal financial controls and the administration and management of the Commission.

11.5 The Executive Secretary shall provide the external auditor with the facilities he may require in the performance of the audit.

11.6 The Executive Secretary shall provide to the Members of the Commission a copy of the audit report and the audited financial statements within 30 days of their receipt.

11.7 The Commission shall, if necessary, invite the external auditor to attend discussions on any item under scrutiny and consider recommendations arising out of his findings.

REGULATION 12 ACCEPTANCE OF ANNUAL FINANCIAL STATEMENTS

12.1 The Commission shall, following consideration of the audited annual financial statements and audit report submitted to its Members under Regulation 11.5 of these Regulations, signify its acceptance of the audited annual financial statements or take such other action as it may consider appropriate.

REGULATION 13 INSURANCE

13.1 The Commission may take out suitable insurances with a reputable financial institution against normal risks to its assets.

REGULATION 14 GENERAL PROVISION

14.1 Subject to the provisions of the Convention, these Regulations may be amended by the Commission in accordance with its Rules of Procedure.

14.2 Where the Commission or the Scientific Committee is considering matters which may lead to a decision which has financial or administrative implications, it shall have before it an evaluation of those implications from the Executive Secretary.

EXTRACT FROM CCAMLR-XXI, ANNEX 4, PARAGRAPHS 20 AND 21

CONTINGENCY FUND

20. At its 2001 meeting, the Commission established a Contingency Fund. Noting that this is intended to be used for necessary expenditure which has not yet been specifically authorised by the Commission, SCAF **recommended that the following definitions be agreed by the Commission for unforeseen and extraordinary expenditure as envisaged in Financial Regulation 4.5:**

‘Unforeseen expenditure’ is expenditure of which the Commission had been unaware at the time of its previous meeting, but which is necessary for the fulfilment of tasks required by the Commission to be performed, with the amount not being possible to subsume into the annual budget without inordinate disruption of the Commission’s work.

‘Extraordinary expenditure’ is expenditure the nature of which was known by the Commission at its previous meeting, but the extent of which is far greater than had been anticipated at that time, with the extra amount not being possible to subsume into the annual budget without inordinate disruption of the Commission’s work.

21. The Committee further **recommended that the following procedures should be applied for any use of the Fund:**

- (i) As soon as the Executive Secretary believes that there is a reasonable expectation of unforeseen or extraordinary expenditure, he/she will consult with the SCAF Chair and Vice-Chair to confirm that:
 - the nature of the expenditure complies with the above definitions;
 - the Contingency Fund has sufficient capacity to cover the expenditure; and
 - it is not possible to defer the decision on the use of the Fund until the next meeting of the Commission.
- (ii) The Executive Secretary will advise all Members of any intended use of the Fund.
- (iii) Any Member that considers such expenditure from the Fund to be inappropriate shall advise the Chair accordingly, including any proposal for alternative action.

- (iv) The Commission Chair shall consult with the SCAF Chair and the Executive Secretary. If the three parties agree with the Member's advice, then this shall be acted upon and Members will be advised accordingly. If the parties fail to come to agreement on the Member's advice, and if time permits, then Members will be asked to decide on the issue in accordance with Rule 7. If there is insufficient time for such a decision, or if Members are unable to reach consensus, then the Executive Secretary, in consultation with the Commission Chair and the SCAF Chair and Vice-Chair, shall determine to what extent to use the Fund.**
- (v) Any actual expenditure from the Fund will be advised to Members immediately.**
- (vi) The Executive Secretary will report to the subsequent meeting of the Commission any expenditure from the Fund, including related expenditure from the current and future budgets of the General Fund, and proposals to re-establish the Contingency Fund at its former level.**

INVESTMENT PRINCIPLES

- (i) The primary consideration in determining the investment strategy for the Commission shall be to safeguard the funds of the Commission. Funds shall be invested in such a way as to place primary emphasis on avoiding the erosion of principal funds while ensuring the liquidity necessary to meet the Commission's cash flow requirements.
- (ii) Investment of moneys not needed for the immediate requirements of the Commission shall be conservative and low risk in nature. Investments shall be restricted to cash equivalents, term deposits and government bonds. Investments that attract a government guarantee shall be limited to terms of not more than 24 months unless otherwise agreed by the Commission. Investments that do not attract a government guarantee shall be restricted to those institutions assessed by the Australian Prudential Regulation Authority (APRA) as an Authorised Deposit-taking Institution (ADI) and shall be limited to terms of not more than 12 months unless otherwise agreed by the Commission.
- (iii) To minimise risk, the investment portfolio of the Commission shall offer diversity across institutions, instruments and maturity dates. Where a government guarantee is available, investments in ADIs other than Australian-owned banks shall be limited to the amount guaranteed.
- (iv) The Executive Secretary will provide quarterly interim financial reports of income (including interest income) and expenditure to Members. The quarterly reports will include a report on the status and performance of investments as well as providing Members with any other relevant advice or information pertaining to the financial management of the Commission.
- (v) The Executive Secretary will inform Members of significant or unforeseen financial events, particularly where such events may have a substantial impact on the current or future financial position of the Commission, as soon as possible from when the Executive Secretary becomes aware of such events.
- (vi) Investments shall be recorded in an investment ledger held by the Secretariat, which shall show all relevant details for each investment, including face value, cost, date of maturity, interest rate, place of deposit, proceeds of sale, income earned and whether the investment attracts a government guarantee.

OTHER ISSUES RAISED DURING SCAF-CG DISCUSSIONS IN 2011

A working list of issues to be considered by the SCAF-CG
in the 2011/12 intersessional period

1. Members' Contributions, Financial Regulation 5

1.1 At CCAMLR-XXIX, SCAF requested that, in addition to the agreed terms of reference of the SCAF-CG, the SCAF-CG consider the timing of Members' contributions (Financial Regulation 5.6). Some consideration of this issue was undertaken by the SCAF-CG in the 2010/11 intersessional period and can be found in paragraphs 46 to 51 of the SCAF-CG discussion in CCAMLR-XXX/29, Attachment C. The SCAF-CG considered that changing the due date of Members' contributions to 31 May of the financial year was acceptable and that Financial Regulation 5.6 could be updated accordingly; however, this was subject to agreement on whether a provision for an extension should still be retained. The SCAF-CG will give further consideration to whether a provision is necessary to allow an extension during the 2011/12 intersessional period.

1.2 During SCAF-CG discussions in the 2010/11 intersessional period, Members also identified a need to clarify:

- (a) when a Member is in default
- (b) how a Member's default status changes
- (c) the implications of being in default in terms of participation.

1.3 These issues are dealt with by Financial Regulation 5.3 and the SCAF-CG may wish to discuss and consider a review of Financial Regulation 5.3.

2. Advances made by Members, Financial Regulation 6.1(e)

2.1 Clarification is sought by SCAF-CG members regarding:

- (a) the definition of an 'advance'
- (b) how those funds are managed by the Secretariat.

2.2 The SCAF-CG may wish to consider Financial Regulation 6.2 when considering this issue.

3. Voluntary contributions, Financial Regulation 7.3

3.1 Clarification is sought by SCAF-CG members regarding:

- (a) how voluntary contributions are managed
- (b) when and how the purpose of those funds is determined.

3.2 The SCAF-CG may wish to consider Financial Regulation 7.2 when considering this issue.

4. Management of funds

4.1 The financial resources of the Commission are managed through an arrangement of dedicated funds including the General Fund, Equity Funds (Contingency Fund, Asset Replacement Reserve, New and Exploratory Fisheries Fund and Staff Replacement Fund) and Special Funds (Observation Scheme Fund, Vessel Monitoring System Fund, CDS Fund, Compliance and Enforcement Fund, Marine Protected Areas Fund, Enforcement Trust, Scientific Multi-Year Fund, and General Science Capacity Fund).

4.2 Clarification is sought by SCAF-CG members regarding:

(a) whether the management of the different special funds can be improved –

In considering this issue and the suggestion above, the SCAF-CG may wish to refer to the information on Special Funds provided in the annual financial statements (for example, see COMM CIRC 11/34 for the 2010 Financial Statements) and in the relevant papers submitted to CCAMLR-XXX.

(b) the management of surplus funds –

The SCAF-CG suggested that it may wish to consider whether any improvements to the management of surplus funds can be made. SCAF may wish to consider a number of relevant financial regulations including Financial Regulation 6.1(c) when considering this issue.

(c) the management of Staff Termination Fund –

Members are directed to CCAMLR-XXX/BG/7 'Management of CCAMLR Staff Termination Fund' provided by the Secretariat. In considering this issue, the SCAF-CG may wish to consider the Staff Regulations, and in particular Staff Regulations 8 'Social Security' and 10 'Separation from Service'. The Staff Termination Fund is used to fund the Secretariat's obligations under Staff Regulation 10.4.

5. Quarterly reporting of general financial status of CCAMLR

5.1 The SCAF-CG may wish to consider amending Financial Regulation 10 in light of the proposed Investment Principle (iv) (Appendix VII, Annex 2) which requires quarterly financial reporting.

5.2 The SCAF-CG noted that the Secretariat has been undertaking quarterly financial reporting since CCAMLR-XXIX.