

**Executive Committee
6th Meeting
Rhode Island, 6 June 1997**

IWCO/EC/20/Rev.1

Provisional Agenda of the 6th Meeting

1. Opening
2. Adoption of the Agenda (IWCO/EC/20)
3. Report of the 5th Meeting of the EC (IWCO/EC/19)
4. Progress Report (IWCO/EC/21 & 22)
5. Arrangements for the Fourth Session (Rhode Island)
6. Preparation of the Fifth Session (Cape Town) (IWCO/21 & 22 prov.)
7. Planning of the Sixth Session (Lisbon)
8. Next meeting of the EC
9. Closing

**INDEPENDENT WORLD
COMMISSION ON THE Oceans** 

**Executive Committee
6th Meeting
Rhode Island, 5 June 1997**



Secretariat
14, Avenue de Joli-Mont,
1209 Geneva,
Switzerland.

Tel.: 41-22-710.07.11
Fax: 41-22-710.07.22

Geneva, 4 June 1997

Our ref. : lwco 9708\97.let - ly/lb

Dear Chairman and Vice-Chairmen,

Further to my letter of 5 May 1997, I have the pleasure of enclosing a complete set of documents for the Executive Committee Meeting and Session in Newport, Rhode Island, 5 to 9 June 1997.

Please note that the meeting of the Executive Committee, on 5 June, will take place from 15.00 hours to 18.30 hours at the Doubletree Hotel.

6th Meeting Executive Committee :

IWCO DOC 1	Complete list IWCO Documents (as per 28 May 1997)
IWCO/EC/14/corr.1	Corrigendum Draft Report
IWCO/EC/18	Draft Report 5 th Meeting, Geneva
IWCO/EC/19/Rev.1	Provisional Agenda of the 6 th Meeting, Rhode Island
IWCO/EC/20	Draft Budget and Funding Plan 1995 - 1998
IWCO/EC/21	Audited Financial Statements 1995 - 1996
IWCO/EC/WP11	Draft Minutes of the Study Group on Partnership and Solidarity: North/South Issues
IWCO/EC/WP15	Draft Minutes of the Study Group on Public Awareness and Participation (<u>will be distributed later</u>)
IWCO/EC/Inf. 13	Provisional List of Participants
IWCO/EC/Inf. 14	List of Documents

Fourth Session :

IWCO 18	Report of the Study Group on Legal and Institutional Framework
IWCO 20	Draft Report of the Third Session, Rotterdam
IWCO 21/Rev.1	Provisional Agenda of the Fourth Session
IWCO 22/Rev.1	Annotated Provisional Agenda
IWCO/23	Budget and Funding Plan 1995 - 1998
IWCO/24	Audited Financial Statements 1995 - 1996

IWCO/WP10/Rev.3 Outline and Partial Draft of the Final Report
add. 1, 5, 6, 7

IWCO/WP12/Rev.2 Internet

IWCO/WP14 Regional Inputs

IWCO/Inf.15 Provisional Timetable

IWCO/Inf. 16 List of Documents

IWCO/Inf. 17 Provisional List of Participants

IWCO/Inf. 18 Statement by Elisabeth Mann Borgese

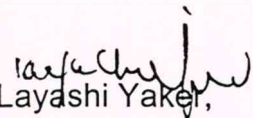
IWCO/EC/WP8 Draft Report of the Study Group on Peaceful Uses of the Oceans

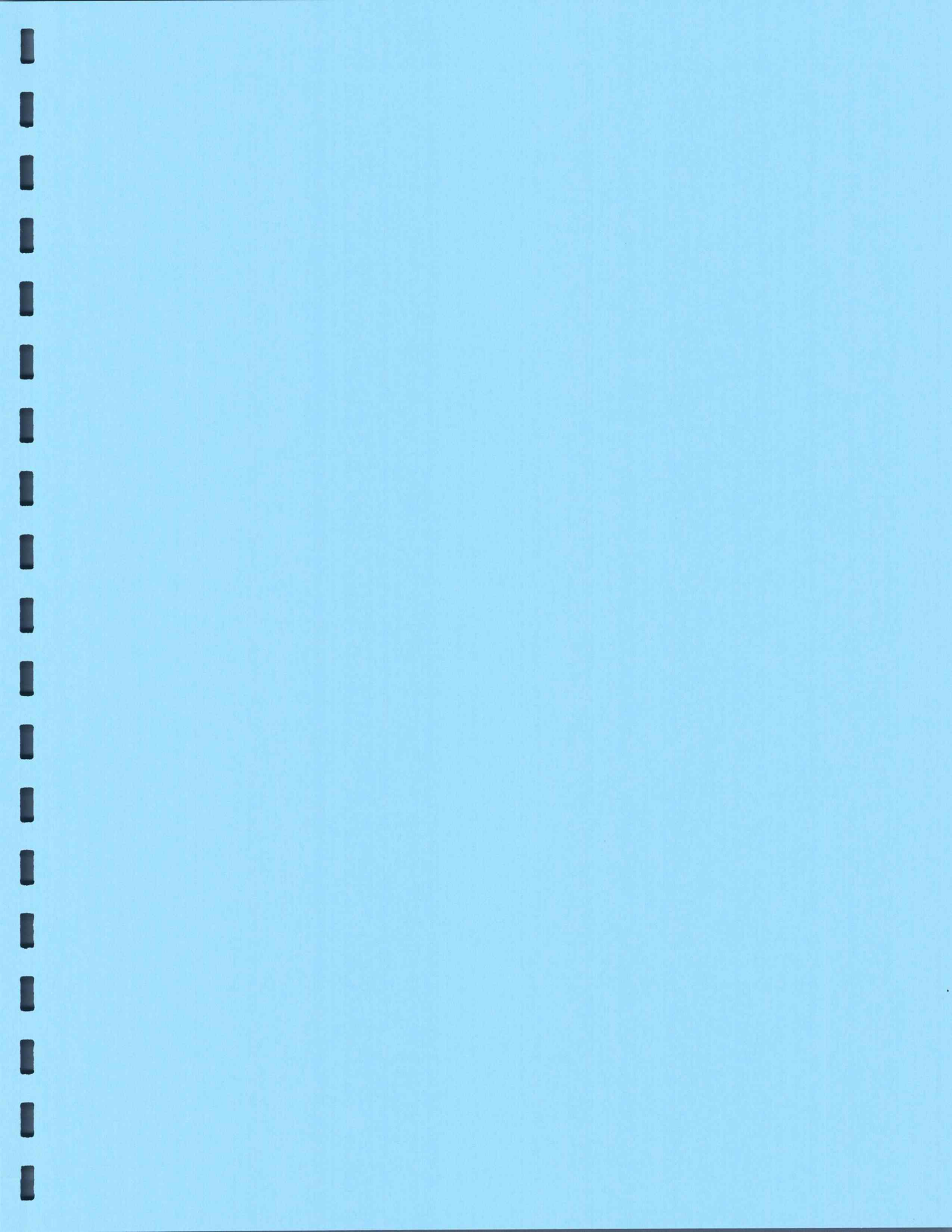
IWCO/EC/WP9 Draft Report of the Study Group on Economic Uses of the Oceans

IWCO/EC/WP10 Draft Report of the Study Group on Science and Technology

IWCO/EC/WP11 Draft Minutes of the Study Group on Partnership and Solidarity :
North/South Issues

Yours sincerely,


Layashi Yaker,
Secretary General



Executive Committee
6th Meeting
Rhode Island, 5 June 1997

IWCO/EC/Inf.13

Provisional List of Participants

Mario Soares	Chairman
Abdelmohsin M. Al-Sudeary	Vice-Chairman
Eduardo Faleiro	“
Elisabeth Mann Borgese	“
Patrick Kennedy	“
Guido de Marco	“
Yoshio Suzuki	“
Jose Israel Vargas	“
Mario Ruivo	Coordinator
Salvino Busuttil	Treasurer
Sidney Holt	General Editor

Ex Officio Members

Layashi Yaker	Secretary General
Jean-Pierre Levy	Executive Secretary

Secretariat

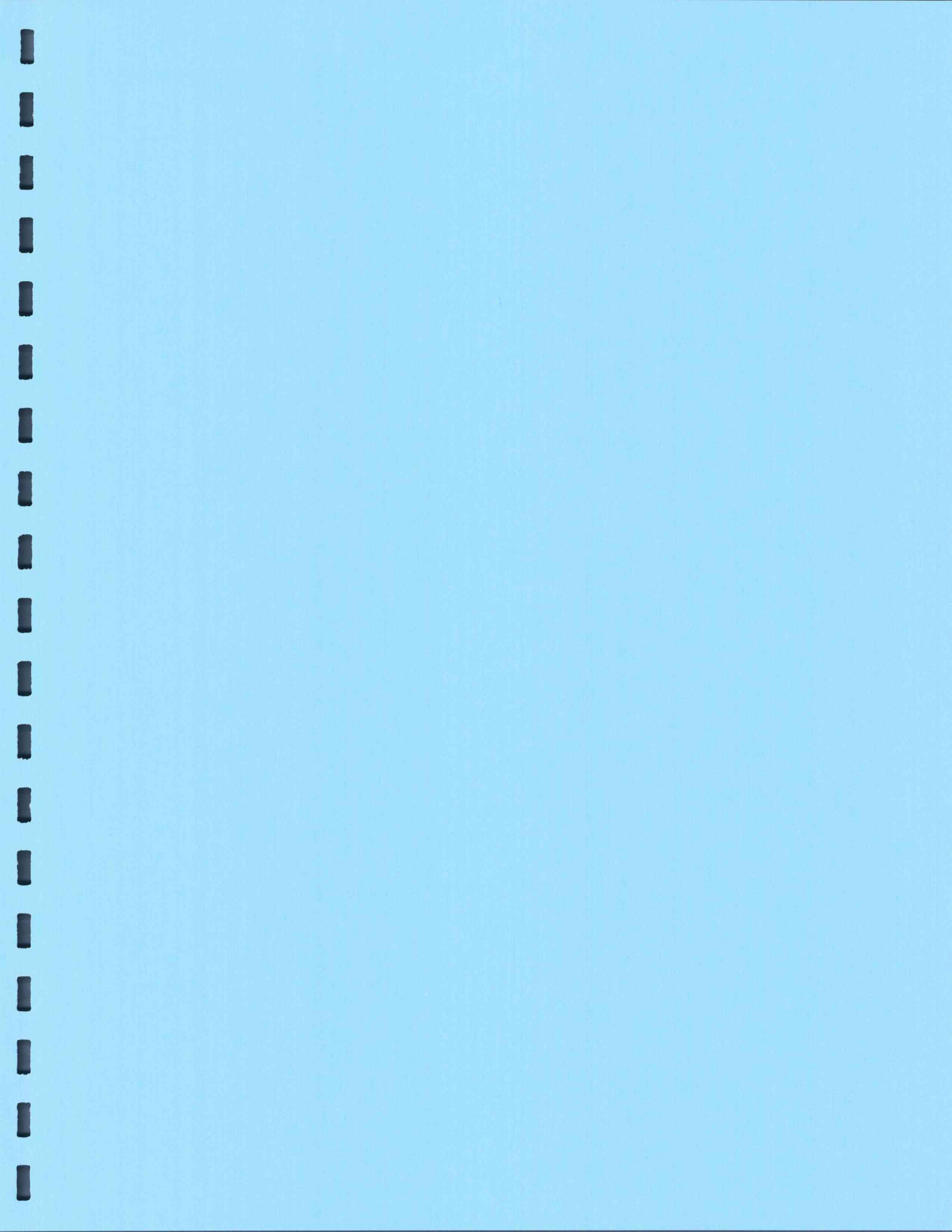
Sylvia Earle	Consultant
Paul Ress	Media Consultant
Peter Sand	Consultant
Jan van Ettinger	Senior Officer
Thomas Ganiatsos	“
Lydia Beauquis	Secretary

Office of the Chairman

Mario Baptista Coelho	Personal Assistant to the Chairman
Ana Maria Plimer Casquilho	Personal Assistant to Coordinator
Ana Teresa Egea	Secretary
Osita Eleuterio	Personal Assistant to the Chairman

Observers

Marty Alford	Office Congressman P. Kennedy
Matthew Braunstein	Office Congressman P. Kennedy
John Cooper	Local Organizer Cape Town
Luis F. Costa Fernandes	Brazilian Committee
Antonio Jose Teixeira	Brazilian Committee

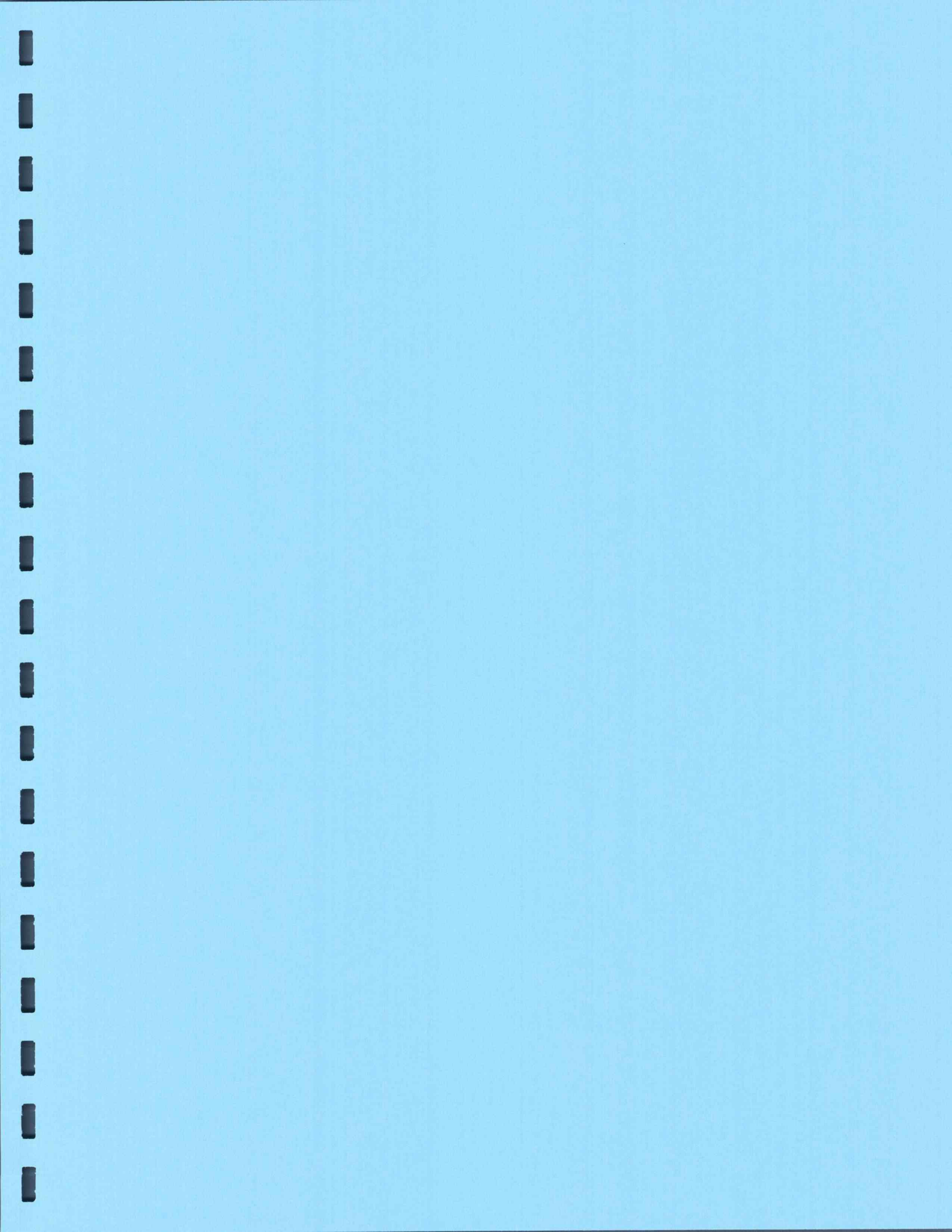


**Executive Committee
6th meeting
Rhode Island, 5 June 1997**

IWCO/EC/Inf.14

List of Documents

- | | | | | |
|-------------------|---|---|---|--|
| IWCO/EC/14/corr.1 | | | | - Corrigendum draft Report IWCO/EC/14 |
| IWCO/EC/18 | | | | - Draft Report 5 th Meeting, Geneva |
| IWCO/EC/19/Rev.1 | | | | - Provisional Agenda of the 6 th Meeting, Rhode Island |
| IWCO/EC/20 | | | | - Draft Budget and Funding plan '95 -' 96 |
| IWCO/EC/21 | | | | - Audited Financial Statements |
| | * | * | * | |
| IWCO/EC/WP11 | | | | - Draft Minutes of the Study Group Partnership and Solidarity : North/South Issues |
| IWCO/EC/WP15 | | | | - Draft Minutes of the Study Group Awareness and Participation |
| | * | * | * | |
| IWCO/EC/Inf. 13 | | | | - List of Participants |
| IWCO/EC/Inf. 14 | | | | - List of Documents |



IWCO DOC. 1

COMPLETE LIST IWCO DOCUMENTS

as per 28 May 1997

First Session, Tokyo

IWCO//1	Agenda 1st Session
IWCO//2	Annotated Agenda
IWCO//3	
IWCO//4	List of Participants
IWCO//5	Composition and Organization
IWCO//6	Purpose and Terms of Reference
IWCO//7	Possible Approaches to issues for consideration by the Commission
IWCO//8	Tentative Programme of Work + Rev.
IWCO//9	Summary Conclusions by the Chairman
IWCO//10	Points highlighted by the Chairman at the final press Conference
IWCO//11	Draft Report of the 1st Plenary Session
IWCO//12	List of Addresses
IWCO//Inf. 1	Travel and other Arrangements
IWCO//Inf. 2	List of Members of the Commission
IWCO//Inf. 3	Provisional list of documents
IWCO//Inf. 4	Programme of the 1st Session

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Second Session, Rio de Janeiro

IWCO/12/rev	List of Addresses
IWCO/13/prov	Provisional Agenda for the 2nd Plenary Session
IWCO/14/prov	Draft Annotated provisional Agenda for the 2nd Plenary Session
IWCO/Inf. 5	Provisional Timetable for the 2nd Session
IWCO/Inf. 6	List of Documents
IWCO/Inf. 7 prov	List of Participants
IWCO/Inf. 8	Four sessional working groups
IWCO/Inf. 8 add. 1	Documents four sessional working groups
IWCO/Inf. 8 add. 2	Draft provisional budget (ex document IWCO/Inf. 9)
IWCO/WP 1	Information and Communication Strategy
IWCO/WP 1 add. 1	Note on Internet
IWCO/WP 2	The Legal Framework

IWCO/WP 3	The Promises of Science and Technology
IWCO/WP 4	Bridging the Gaps between North and South
IWCO/WP 5	Increasing Global Awareness of the Oceans
IWCO/WP 6/A	People in the Oceans
IWCO/WP 6/B	Comments on the Legal Framework
IWCO/WP 6/C	The Legal Status of Ice in International Law
IWCO/WP 7	Case Study in Senegal
IWCO/WP 8	Selection of Issues to be Considered
IWCO/WP 9	Liability on Environmental Damage

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Third Session, Rotterdam

IWCO/12/rev. II	List of addresses
IWCO/15	Provisional draft report
IWCO/16/prov	Provisional Agenda for the 3rd. Session
IWCO/17/prov	Draft Annotated provisional Agenda for the 3rd. Session
IWCO/18/prov	Draft Report of Study Group on Legal and Institutional Framework
IWCO/19	Budget and funding plan 1995 - 1998
IWCO/Inf.9/prov	Provisional Timetable for the 3rd. Session
IWCO/Inf.9.add.1	
IWCO/Inf.10/prov	Provisional List of Documents
IWCO/Inf.11/prov	List of participants
IWCO/Inf. 12	International Sea bed authority
IWCO/Inf. 13	Notes on Regional organisation and development
IWCO/Inf. 14	Oceans and Biodiversity
IWCO/WP 10/rev.I	Draft Outline of the Final Report
IWCO/WP 11	not issued
IWCO/WP 12	Internet
IWCO/WP 13	Program of Work

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Fourth Session, Rhode Island

IWCO 20	Draft Report of the Third Session, Rotterdam
IWCO 21/Rev.1	Provisional Agenda of the Fourth Session
IWCO 22/Rev.1	Annotated Provisional Agenda
IWCO 23	Note on Budget and Funding Plan '95 - '98
IWCO 24	Audited Financial Statements 1995 - 1996
IWCO/WP10/Rev. 3 Add.1, 5, 6 and 7	Outline and Partial Draft of the Final Report
IWCO/WP12 /Rev.2 IWCO/WP14	Internet (previous IWCO/EC/WP14) Note on Regional Inputs (previous IWCO/EC/WP13.revised)
IWCO/Inf. 15	Provisional Timetable
IWCO/Inf. 16	List of Documents
IWCO/Inf. 17	Provisional List of participants
IWCO/Inf. 18	Statement by Elisabeth Mann Borgese

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COMPLETE LIST OF DOCUMENTS EC OF IWCO

1st Meeting EC Tokyo

IWCO/EC/1/1 Agenda of the 1st Meeting of the EC - Tokyo
IWCO/EC/1/2 Report of the 1st Meeting EC - Tokyo

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2nd Meeting EC Lisbon

IWCO/EC/3 prov. Provisional Agenda of the 2nd EC Meeting - Lisbon
IWCO/EC/4/rev.1 Note on the budgetary situation
IWCO/EC/5 Provisional Agenda for the 2nd Plenary Session
IWCO/EC/6 Draft Annotated provisional Agenda for the 2nd Plenary
Session
IWCO/EC/7 Provisional Timetable for the 2nd Plenary Session

IWCO/EC/Inf. 1 Provisional List of Documents
IWCO/EC/Inf. 2 List of Participants

IWCO/EC/WP1 Information and Communication Strategy
IWCO/EC/WP1add.1 Note on Internet
IWCO/EC/ WP 2 The Legal framework for the use and protections of the
Oceans
IWCO/EC/WP 3 Economic Potential of the Ocean
IWCO/EC/WP 4 Note on Bridging the gaps
IWCO/EC/WP 5 Note on Increasing Global Awareness
IWCO/EC/WP 6 Note on "brainstorming session" on Ocean Economics
(not issued)
IWCO/EC/WP 7 Note on Overview of issues to be discussed

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3rd Meeting EC, Rio de Janeiro

IWCO/EC/8 prov.	Draft Report of the 2nd Meeting
IWCO/EC/9 prov.	Provisional Agenda of the 3rd EC Meeting, Rio
IWCO/EC/Inf. 3	List of Participants
IWCO/EC/Inf. 4	An Overview of Issues to be Discussed
IWCO/EC/Inf. 5	Memorandum to the Executive Committee
IWCO/EC/Inf. 6	Fresh Water, a Condition for Sustainable Development

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4th Meeting EC, Rotterdam

IWCO/EC/10	Draft Report of the 3rd Meeting
IWCO/EC/11/prov	Provisional Agenda of the 4th EC Meeting, Rotterdam
IWCO/EC/12	Budget and Funding Plan 1995 - 1996
IWCO/EC/Inf. 8	List of Participants
IWCO/EC/Inf. 9	List of Documents

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5th Meeting EC, Geneva

IWCO/EC/14 (previous IWCO/EC/13/prov. 3)	Draft Report 4 th Meeting Rotterdam
IWCO/EC/14/corr.1	
IWCO/EC/15/prov.	Provisional Agenda of the 5 th Meeting
IWCO/EC/16.Rev.1	Note on budgetary and Financial Situation
IWCO/EC/17	Appointment of an Independent Auditor
IWCO/EC/WP8	Draft report of the Study Group on Peaceful Uses of the Ocean
IWCO/EC/WP9	Draft report of the Study Group on Economic Uses of the ocean
IWCO/EC/WP10	Draft report of the Study Group on Science and Technology
IWCO/EC/WP11	Draft Minutes of the Study Group on Partnership and Solidarity : North/South Issues
IWCO/EC/WP12, Add.1,2,3,4,5 (future IWCO/WP 10/rev. 2)	Outline and Partial Draft of the Final Report

IWCO/EC/WP13
IWCO/EC/WP14

Regional Inputs
Internet

IWCO/EC/Inf. 10/rev. 1
IWCO/EC/Inf. 11
IWCO/EC/Inf.12

Provisional List of Participants
List of Documents
Provisional Timetable

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6th EC meeting, Rhode Island

IWCO/EC/14/corr.1
IWCO/EC/18
IWCO/EC/19/Rev.1
IWCO/EC/20
IWCO/EC/21
(future IWCO/24)
IWCO/EC/WP15

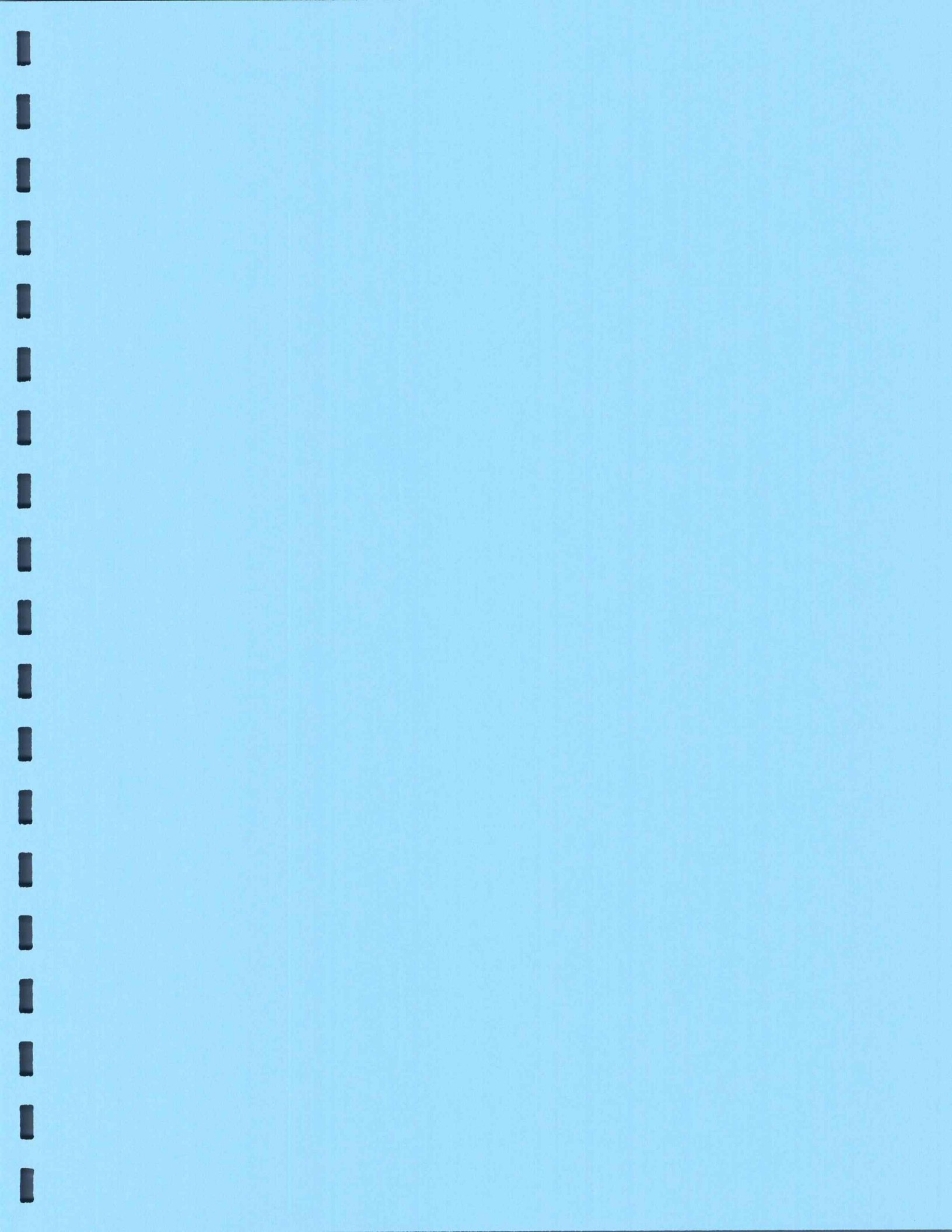
Corrigendum draft Report IWCO/EC/14
Draft Report 5th Meeting, Geneva
Provisional Agenda of the 6th Meeting, Rhode Island
Note on Budgetary and Financial Plan
Audited Financial Statements 1995 - 1996

Draft Minutes of the Study Group Public Awareness
and Participation

IWCO/EC/Inf. 13
IWCO/EC/Inf. 14

Provisional list of Participants
List of Documents

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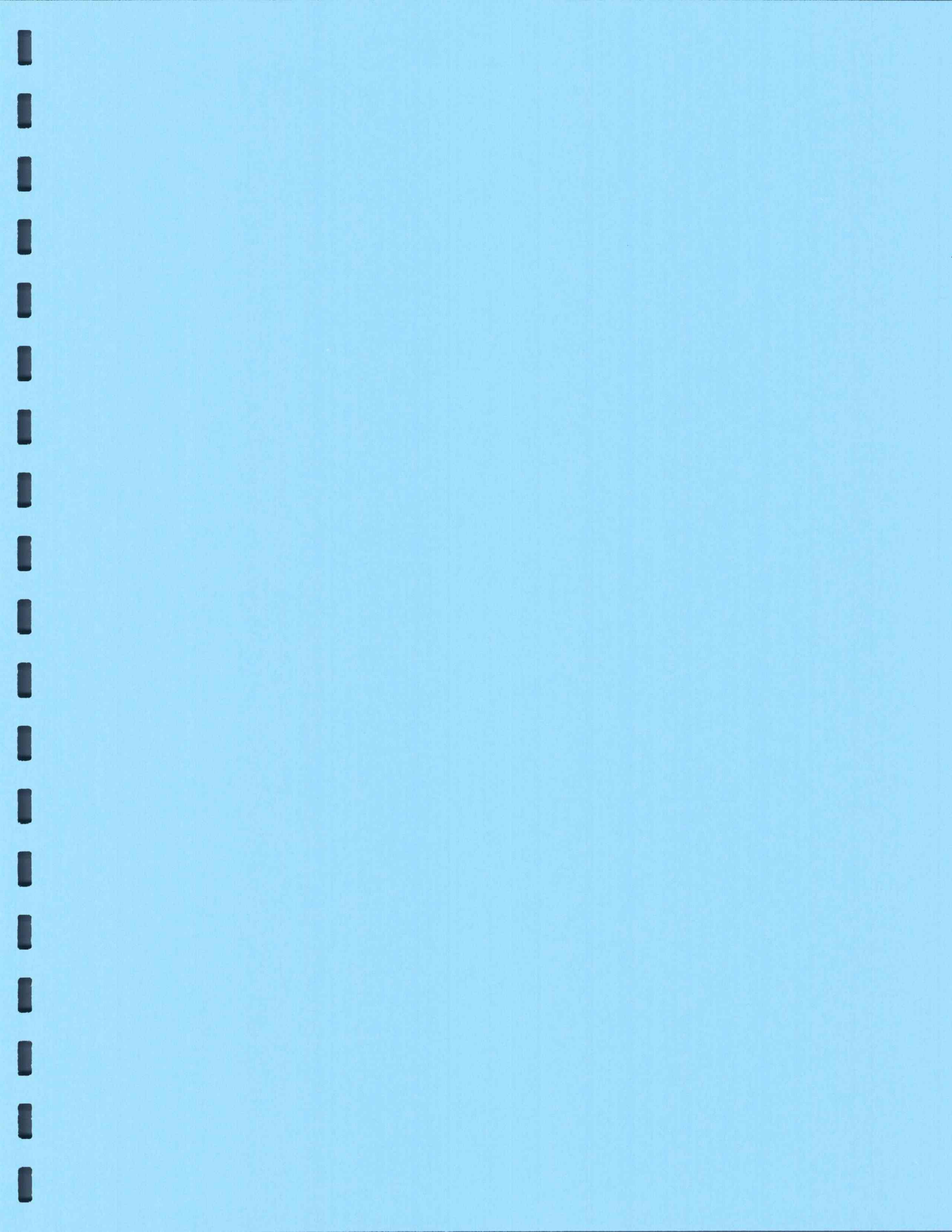
**Executive Committee
4th Meeting
Rotterdam, 25 November 1997**

IWCO/EC/14/corr.1

Corrigendum to the draft Report

On page 2, third paragraph add the following sentence before the penultimate sentence of the paragraph:

“The Chairman of the EC suggested that we contact the Chairman of the Commission directly on this matter to seek resolution.”



Executive Committee
5th Meeting
Geneva, 28 April 1997

IWCO/EC/18

Draft Report

1. Opening

Owing to the absence on account of illness of the Chairman, Dr. Mário Soares, the meeting of the EC was chaired by the Vice-Chairman Mr. Eduardo Faleiro. The Commission expressed its best wishes to the Chairman for a prompt recovery. He welcomed the participants present in Geneva (a list of participants is shown in Annex I) and asked for a moment of silence in honor of the memory of the recently departed Member of the Commission, Minister Danielle Jorre de St Jorre of the Seychelles.

2. Adoption of the Agenda

The provisional agenda was adopted without change and is shown in Annex II.

3. Report of the 4th meeting of the EC

The Draft Report of the 4th meeting held in Rotterdam (IWCO/EC/14) was adopted after the introduction of the following amendment proposed by Elisabeth Mann Borgese: Insert before the penultimate sentence of paragraph 3 of page 2 the sentence, "The Chairman of EC suggested that we contact the Chairman of the Commission directly on this matter." The Secretariat will issue a Corrigendum reflecting this amendment. (IWCO/EC/14/Corr.1).

4. Progress Report

4.1 Financial and budgetary matters

The Treasurer presented the Draft Budget and Funding Plan 1995-1998 (IWCO/EC16.Rev.1). Highlighting the most salient points in the revised budget, he noted a saving of CHF 400,000 from the previous budget due to economies in salaries, travel and contingency charges and, comparing projected expenditures with resources, emphasized that another CHF 1,330,000 (or USD 1,110,000) needed to be secured through funding efforts before the end of 1997 at the latest. He informed the EC that, in consultation with the Office of the Chairman, the firm KPMG has been proposed for appointment as independent auditor for the IWCO Secretariat (IWCO/EC/17).

The Secretary General informed the EC of recent fund raising activities and expected financial contributions and stressed the importance of the support of members of the EC and of the Commission in this respect. The EC approved the Budget and appointed KPMG as independent auditor. It emphasized the priority to be given by the Secretary General to fund raising activities.

During the discussion which followed, the matter of costs for the establishment of the Commission discussed at the 4th meeting was again raised. The EC was informed that a delegation of members of the Commission, as well as IOI Board members, had privately raised the matter with the Chairman but that it had still not been resolved to the satisfaction of all parties concerned.

4.2 Program of work

The Secretary General described the arrangements that had been made for the visit of the Chairman to United Nations Headquarters where he will address the Special Session of the General Assembly and have several contacts that had been prepared for him. Although it had not been possible to convene the Rhode Island plenary back-to-back with the Special Session, the Chairman's address would fully reflect the objectives and work of the Commission. The Secretary General also informed the EC about recent changes in the composition of the Commission. Juan Somavia had been replaced by Patricio Bernal of Chile, Ron MacDonald had been replaced by James Burton of Canada, Yevgueni Velikov had been replaced by Nicolay P. Laverov of Russia, and Antonio Ruberti had been replaced by Carlo Ripa di Meana of Italy. Noriyuki Nasu of Japan has become a member of the Commission.

Concerning the program of work, the Committee had before it Draft Reports (minutes) of the Study Groups on Peaceful Uses of the Ocean (IWCO/EC/WP8), Economic Uses of the Ocean (IWCO/EC/WP9) and Science and Technology (IWCO/EC/WP10). In the discussion which followed the view was expressed that the organization of the Study Group on Economic Uses of the Ocean had not been carried out in the best possible manner. The two Coordinators of this Study Group indicated some of the difficulties encountered in the procedure which was followed.

Despite the efforts made to ensure the participation of personalities from developing countries, it was also felt that a certain imbalance still prevailed in the Study Groups.

On the issue of marine technology the EC was informed that the Study Group had dealt with the technology used in the marine sciences. Technology for the exploitation of ocean resources had not been touched upon, though it is expected to be covered in the presentation by American marine scientists planned by the organizers of the Rhode Island session.

5. Items to be considered by the Fourth Session (Rhode Island)

5.1 Draft Final Report

The Committee had before it the Outline and Partial Draft of the Final Report (IWCO/EC/WP12) as well as five draft contributions to the preparation of draft chapters (IWCO/EC/WP12/Add.1 - Add.5) submitted by consultants/rapporteurs. The ensuing discussion centered on two issues: the preparation of the Final Report and the organization of substantive discussions at Rhode Island to consider the structure and content of this Report.

Concerning the *preparation of the Final Report*, it was felt that the draft contributions (Add.1 through Add. 2) were still uneven in quality and state of completion.

The Executive Secretary explained that the unevenness in the components of the Final Report reflects the different levels of completion of inputs. The first *Level* corresponds to meetings of Study Groups and the preparation of background reports. At *Level 2* a draft chapter is prepared on the basis of background documents completed from Level 1 and at *Level 3* the draft chapter is ready for harmonization into a comprehensive draft of the Final Report under the direction of the General Editor.

At present, the overall situation is as follows :

1. Legal and Institutional Framework for the Use of the Oceans:
- has almost reached Level 3.

The following documents are available: IWCO/EC/WP12/Add 5 and IWCO/18.

2. Peaceful Uses of the Oceans, Sovereignty and Security
- is in the process of reaching Level 3 on the basis of a revised paper by the Rapporteur/Resource person.

The following documents are available:
IWCO/EC/WP 12 add 1 and IWCO/EC/WP8.

3. The Economic Uses of the Ocean in the context of Sustainability
- is still at Level 1.

The following document is available:
IWCO/EC/WP 9 (Minutes of Study Group meeting)

4. The Promises and Challenges of Science and Technology
- is still at Level 1

The following document is available:
IWCO/EC/WP10 (Minutes of Study Group meeting)

5. Partnership and Solidarity: North/South Issues
- is still at Level 1

The following document will be available:
IWCO/EC/WP11 (Minutes of Study Group meeting)

6. Public Awareness and Participation (will take place just prior to Rhode Island). It is expected to reach Level 2 directly at the end of the meeting.

The following document will be available:
IWCO/EC/WP15 (Minutes of Study Group meeting)

It was decided that at Rhode Island sessional working groups will be established on the first five themes of the Final Report and that a progress report will be presented on theme number 6. This will be preceded by a general presentation of each theme reflecting the stage of advancement of the work.

Related to this item, the EC had the pleasure of hearing a presentation from Sylvia Earle on what will be the introductory chapter of the Final Report. She stressed that she would welcome the views of the Commission in the eventual revision of the draft that she prepares. It was agreed that Sylvia Earle's draft should provide a kind of check list for points taken up in the following chapters.

5.2 Regional and Thematic Inputs

The Committee had before it a report on Regional inputs (IWCO/EC/WP13). In the discussion which followed, it was informed that the Society for Indian Ocean Studies will hold a Regional Meeting, 29 - 30 September 1997 in New Delhi, as a contribution to the work of the Commission. At this meeting, which is expected to be attended by seventy participants from various countries of the region, the following subjects will be discussed: i) The Economic Uses of the Oceans in the Context of Sustainability, ii) Partnership and Solidarity: North/South Issues, and iii) Promises and Challenges of Science and Technology.

Special attention will be given to the institutional framework at the national and regional levels in the context of an integrated approach to ocean affairs.

Reference was made to the possibility of a meeting in Chile which might benefit from the support of the Interamerican Development Bank. It is also envisaged that a meeting for the Caribbean Region would take place in Jamaica, also supported by the IDB.

It is expected that regional meetings will be held this year for the Mediterranean countries (Malta), West and Central Africa (Dakar) and Arab countries (Morocco).

Reference was also made to the possibility of getting inputs from the consultations taking place within the Regional Seas Program of UNEP and in connection with meetings of the Marine Stewardship Council.

Concrete proposals were made to organize a meeting for the Southern-African region. The Committee and the Commission will be informed on the follow up to the above mentioned projects.

5.3 Internet

It was proposed that a more concerted effort be made to solicit comments and feedback on major issues under consideration by the Commission through the Internet. The idea would be to put on the IWCO web site the main questions dealt with by the Study Groups and ask Internet users to give their views. Should this initiative (taken up in the note on the Internet IWCO/EC/WP14) result in useful comments, it will provide further inputs from the local level for the Final Report.

6. Preparation of the Fourth Session (Rhode Island)

The Secretary General described the substantive preparation and the logistical arrangements that had been made for the session and noted that, so far, he had not had assurances from the organizers that the necessary funds had been secured. Concerning the presentation on American scientific and technological capabilities in the field of the oceans, it was agreed to ask the organizers to include consideration of the technology for exploration and exploitation of the ocean. The Draft Agenda and Timetable for the session were revised in the light of the preceding discussion on Study Groups for the preparation of the Final Report.

Planning of the Fifth Session (Cape Town)

The meeting is planned to take place from Monday, 10 November through Friday 14 November 1997. On the morning of the 10th the EC will meet and on the

afternoon of the 10th there will be a presentation of African perspectives on the oceans, organized locally. The latter will contribute to the subsidiary aim of the Fifth Session which is to increase African political consciousness of the importance of the ocean. In this connection, the heads of some of the Southern African states would be invited to attend for that day. The Session will formally open on Tuesday, 11 November. A maximum of time will be devoted to the consideration of the Final Report. The Chairman of the Commission will be asked to get in touch with the President of South Africa to discuss the Cape Town session, including the desirability of inviting Mozambique, Namibia and Angola on the opening day of the session.

The Treasurer reported that the cost of the Session had been estimated at \$300,000 of which \$35,000 had been raised by the local organizers to cover costs in South Africa. The Secretary General stated that contacts will be intensified with India, the OAU, ADB, EU and Commonwealth Secretariat, in order to obtain funds for the external costs of the meeting.

8. Next meeting of the EC

The 6th meeting of the EC will be held in Rhode Island on 5 June 1997 – the day before the opening of the Plenary.

9. Closing

The Committee succeeded in concluding its business in one day, thereby permitting the meeting to be adjourned on Monday, 28 April 1997.

Annex I

**Executive Committee
5th meeting
Geneva, 28 - 29 April 1997**

IWCO/EC/Inf.10/rev.1

Provisional List of Participants

Abdelmohsin M. Al-Sudeary	Vice-Chairman
Kader Asmal	“
Eduardo Faleiro	“
Elisabeth Mann Borgese	“
Ruud Lubbers	“
José Israel Vargas	“
Mário Ruivo	Coordinator
Salvino Busuttil	Treasurer
Sidney Holt	General Editor

Secretariat

Layashi Yaker	Secretary General
Jean-Pierre Lévy	Executive Secretary
	* * *
Jan van Ettinger	Senior Officer
Thomas Ganiatsos	“
Sylvia Earle	Consultant
Peter Sand	“

Office of the Chairman

Mário Baptista Coelho

Personal Assistant

Ana Maria Casquilho Plimer

Personal Assistant
to Coordinator

Observers

John Cooper

Luiz Philippe Costa Fernandes

Lauro Moreira

Antônio José Teixeira

Annex II

**Executive Committee
5th meeting
Geneva, 28 - 29 April 1997**

IWCO/EC/15/prov.

Provisional Agenda

1. Opening

2. Adoption of the Agenda (IWCO/EC/15/prov.)

3. Report of the 4th meeting of the EC (IWCO/EC/14)

4. Progress Report
 - 4.1 Financial and budgetary matters (IWCO/EC/16.Rev.1),
(IWCO/EC/17)
 - 4.2 Program of work (IWCO/EC/WP8 to 11)

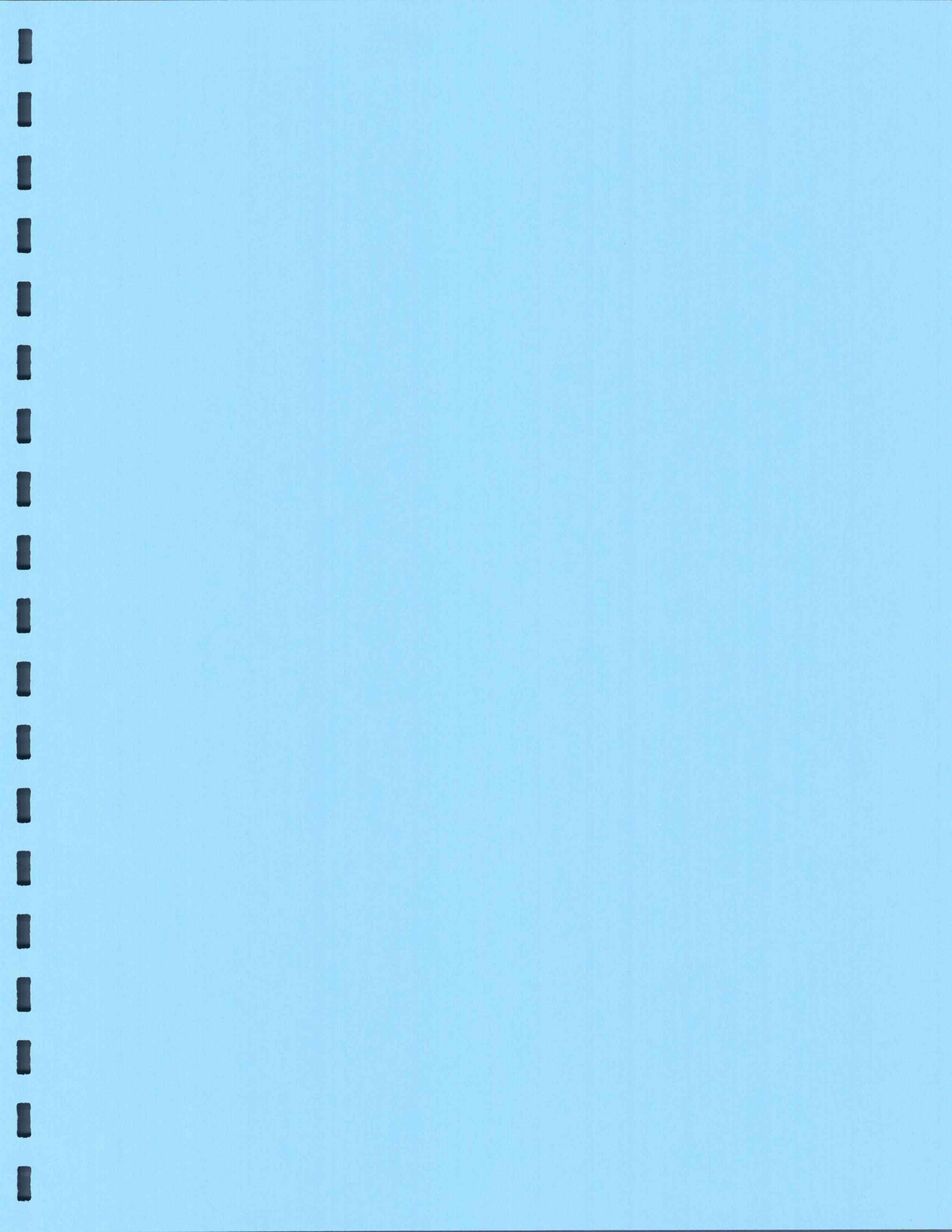
5. Items to be considered by the Fourth Session (Rhode Island)
 - 5.1 Draft Final Report (IWCO/EC/WP12)
 - 5.2 Regional Inputs (IWCO/EC/WP13)
 - 5.3 Internet (IWCO/EC/WP14)

6. Preparation of the Fourth Session (Rhode Island)

7. Planning of the Fifth Session (Cape Town)

8. Next meeting of the EC

9. Closing



**Executive Committee
6th Meeting
Rhode Island, 5 June 1997**

IWCO/EC/19/Rev.1

Provisional Agenda

1. Opening

2. Adoption of the Agenda (IWCO/EC/19/Rev.1)

3. Report of the 5th Meeting of the EC (IWCO/EC/18)

4. Progress Report
 - Budget and funding plan '95 - '98 (IWCO/EC/20)
 - Audited financial statements '95 - '96 (IWCO/EC/21)

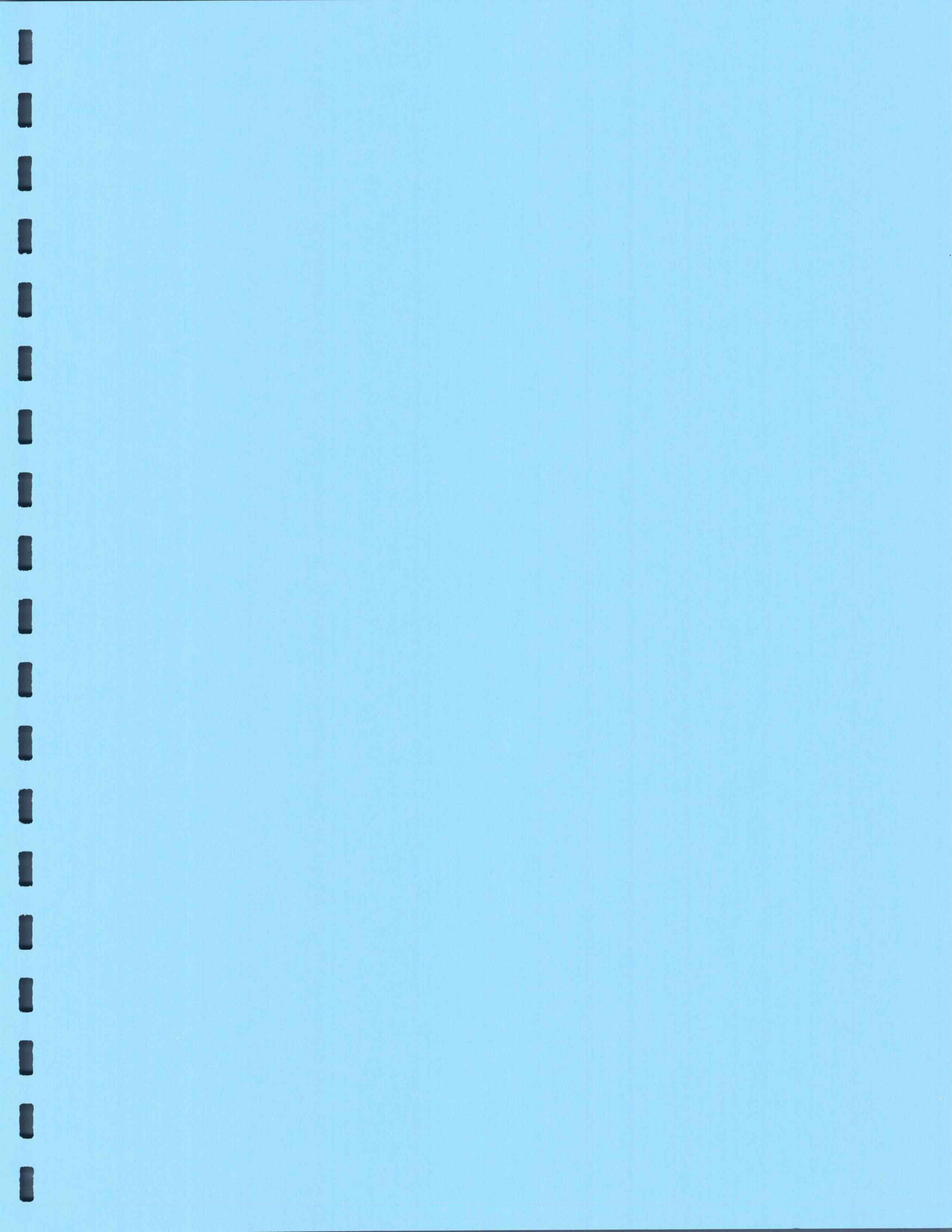
5. Arrangements for the Fourth Session (Rhode Island)

6. Preparation of the Fifth Session (Cape Town)

7. Planning of the Sixth Session (Lisbon)

8. Next meeting of the EC

9. Closing



Executive Committee
6th Meeting
Rhode Island, 5 June 1997

IWCO/EC/20
page 1

Draft Budget and Funding Plan 1995-1998

This Budget and Funding Plan 1995-1998 is expressed in CHF (at 1.2 x USD ¹⁾) and includes cash costs and contributions as well as major *in kind* costs and contributions. This time actual costs have been included for 1995-1996; they did stay within the budget. Moreover, the costs directly covered by the Office of the Chairman have been added.

Draft Budget in 1000 CHF	Actual costs				Estimated costs		Total
	1995	1996			1997	1998	
		1st	2nd	total			
Basic Budget ²⁾	87	135	433	568	1, 275	1, 035	2, 965
Meetings ³⁾	---	---	395	395	545	---	940
Outputs	---	---	---	---	20	245	265
Total costs ⁴⁾	87	135	828	963	1, 840	1, 280	4, 170
OC ⁵⁾	---	57	33	90	300	60	450
or in USD							3, 475

Funding Plan in 1000 CHF	1995	1996			1997	1998	Total
		1st	2nd	total			
Total costs	87	135	828	963	1, 840	1, 280	4, 170
Secured	---	360	1, 565	1, 925	670	360	2, 955
To be secured	87	- 225	- 737	- 962	1, 170	920	1, 215
or in USD							1, 010

The costs estimated for 1997 total CHF 1,840,000. To cover these, by end May 1997, CHF - 87,000 (1995) + CHF 962,000 (1996) + CHF 430,000 (1997) = CHF 1,305,000 (71%) was already received and CHF 290,000 was secured, but still to be received.

Funding activities, so as to secure another CHF 1,215,000 (or USD 1,010,000), should be completed by the end of 1997 at the latest. Every effort is being made to achieve a funding base, which reflects the character of the Commission: a broad geographical distribution, from North and South, as well as including the public and the private sectors.

¹⁾ the 26-05-1997 (IHT) cross rate amounted to 1USD=1.4045CHF. Therefore, first a currency reserve was included based on 1USD=1.45CHF and later a USD account has been opened.

²⁾ excl. CHF 860,000 in kind.

³⁾ excl. CHF 1,710,000 in kind.

⁴⁾ excl. CHF 2,570,000 in kind.

⁵⁾ IWCO activities in Lisbon directly paid by the Office of the Chairman, see page 6.

Specification Basic Budget 1995 - 1998

Expenditure ¹ (in 1000 CHF)				EC/20	EC/20	Income ⁴ (in 1000 CHF)	
No.	Chapter Heading	EC/12 ²	EC/16 ³	in cash	in cash	in kind	Country
001	Salaries	2, 120	1, 328	1, 328	---	360	Brazil
002	Common Staff Costs	51	116	116	720	360	Japan
003	Contractual Services	743	904	902	755	650	The Netherlands
004	Official Travel	258	159	158	300	750	Portugal OC ⁵
005	Premises	73	75	75	180	---	Saudi Arabia
006	Equipment	28	35	36	---	120	South Africa
007	Communication	118	127	125	1, 000	210	Switzerland
008	Office Supplies	19	16	16	---	120	USA
009	Books & Journals	14	9	9			
010	Miscellaneous	32	34	34			
011	Currency Reserve	-	66	23			
012	Contingency Reserve	274	61	56			
1995		90	85	87			
Basic Budget		3, 750	3, 015	2, 965			
Costs of Meetings		420	700	940	2, 955	2, 570	Secured
Outputs of the Commission		-	265	265	1, 215	---	To be secured
Total costs OC		4, 170	3, 980	4, 170 450	4, 170 450	2, 570	Total costs OC

In comparison to the budget presented to the Executive Committee in Rotterdam (IWCO/EC/12) the Basic Budget has been reduced by CHF 785,000, the Costs of Meetings have increased by CHF 520,000, especially for the Rhode Island and Cape Town Sessions, and a new heading Outputs of the Commission has been added. The net result is that total costs would remain CHF 4,170,000. In comparison to the budget presented to the EC in Geneva (IWCO/EC/16.Rev.1), the Basic Budget has been reduced by CHF 50,000, but the Costs of Meetings have increased by CHF 240,000 because of Rhode Island.

1) see pages 4 - 6.

2) figures derived from the budget presented to the EC meeting in Rotterdam.

3) figures derived from the budget presented to the EC meeting in Geneva.

4) see page 7.

5) see page 6.

The above summary of the budget and funding plan for the period 1995 - 1998, will be further elaborated in the following manner:

1. Budget 1995-1998 (see pages 4-6)
 - 1.a. Basic Budget
 - 1.b. Costs of Meetings
 - 1.c. Outputs of the Commission
 - 1.d. Office of the Chairman

2. Funding Plan 1995-1998 (see page 7)

1. Budget 1995-1998

1.a. Basic Budget (in 1000 CHF)

No.	Chapter Heading	Actual costs				Estimated costs		Total
		1995	1996			1997	1998	
			1st	2nd	total			
001	<i>Professionals</i>		59	165	224	327	343	894
	Salaries		77	230	307	498	523	1,328
	<i>General Support Staff</i>		18	65	83	171	180	434
002	Common Staff Costs		6	27	33	40	43	116
003	Contractual Services		5	112	117	515	270	902
004	<i>Secretariat</i>		23	15	38	44	50	132
	Official Travel		23	15	38	60	60	158
	<i>Consultants</i>		-	-	-	16	10	26
005	Premises		8	9	17	29	29	75
006	Equipment		-	4	4	16	16	36
007	Communication		8	21	29	48	48	125
008	Office Supplies		1	3	4	6	6	16
009	Books & Journals		-	1	1	4	4	9
010	Miscellaneous		4	4	8	13	13	34
011	Currency Reserve		3	7	10	13	-	23
012	Contingency Reserve		---	---	---	33	23	56
1995		87						87
Total		87	135	433	568	1,275	1,035	2,965

The 'Salaries' of the above Basic Budget, for 1997-1998, are based on a Secretariat of the following composition:

- 1 Secretary General
- 1 Executive Secretary
- 1 Senior Officer (management)
- 1 Senior Officer (substance)
- 1 Secretary
- 1 Junior Secretary
- 1 Junior Assistant

- 1 Second Officer (CHF 70,000 for 1 year from 01-07-97, but still to be authorized).

1.b. Costs of Meetings (in 1000 CHF)

Description		1995	1996			1997	1998	Total
			1st	2nd	total			
Plenary Sessions	in cash	-	-	395	395	480	-	875
	in kind	360	360	-	360	240	750	1,710
Ex Com Meetings	in cash	-	-	-	-	65	-	65
	OC ¹⁾	-	25	-	25	45	60	130
Regional/Thematic Meetings ²⁾	in cash	-	-	-	-	-	-	-
	in kind	-	-	-	-	-	-	-
Total	in cash	-	-	395	395	545	-	940
	OC	-	25	-	25	45	60	130
	in kind	360	360	-	360	240	750	1,710

¹⁾ see page 6.

²⁾ a decision to support or organize these meetings is still to be taken.

1. c. Outputs of the Commission (in 1000 CHF)

Description	1995	1996			1997	1998	Total
		1st	2nd	total			
Outputs Commission ¹⁾							
- Final Report	-	-	-	-	-	30	30
- Executive Summary	-	-	-	-	-	6	6
- Declaration of Lisbon	-	-	-	-	-	6	6
- Introductory Video	-	-	-	-	15	-	15
- Mail-out to TV/Radio	-	-	-	-	3	-	3
- Flagship Production	-	-	-	-	-	180	180
incl. contingencies	-	-	-	-	2	23	25
Total	-	-	-	-	20	245	265

¹⁾ This chapter is based upon ideas and figures suggested by Robert Lamb, Director of TVE. It has been blocked until the funding has been secured and, in the event of adequate funding, the suggested outputs will have to be critically reviewed.

1. d. Office of the Chairman (in 1000 CHF)

Description	1995	1996			1997	1998	Total
		1st	2nd	total			
1. EC meetings (incl. intersessional)	---	25	---	25	45	60	130
2. Joint meetings OC/SC	---	16	2	18	5	---	23
3. Study Groups	---	---	15	15	250	---	265
4. Travel	---	16	16	32	---	---	32
Total	---	57	33	90	300	60	450

2. Funding Plan 1995-1998 (in 1000 CHF)

Description	1995	1996			1997	1998	Total
		1st	2nd	total			
Brazil							
in cash	-	-	-	-	-	-	-
in kind ¹⁾	-	360	-	360	-	-	360
Japan							
in cash ²⁾	-	-	720	720	-	-	720
in kind ³⁾	360	-	-	-	-	-	360
The Netherlands							
in cash ⁴⁾	-	360	395	755	-	-	755
in kind ⁵⁾	-	108	108	216	217	217	650
Portugal							
in cash	-	-	50	50	250	-	300
OC ⁶⁾	-	57	33	90	300	60	450
in kind ⁷⁾	-	-	-	-	-	750	750
Saudi Arabia							
in cash ⁸⁾	-	-	-	-	120	60	180
in kind	-	-	-	-	-	-	-
South Africa							
in cash	-	-	-	-	-	-	-
in kind ⁹⁾	-	-	-	-	120	-	120
Switzerland							
in cash ¹⁰⁾	-	-	400	400	300	300	1,000
in kind ¹¹⁾	-	18	36	54	78	78	210
USA							
in cash	-	-	-	-	-	-	-
in kind ¹²⁾	-	-	-	-	120	-	120
Total secured							
in cash	-	360	1,565	1,925	670	360	2,955
Total costs							
in cash	87	135	828	963	1,840	1,280	4,170
OC	-	57	33	90	300	60	450
in kind ¹³⁾	360	486	144	630	535	1,045	2,570
To be secured							
in cash	87	- 225	- 737	- 962	1,170	920	1,215

1) estimated for Rio de Janeiro Session.

2) secured and received.

3) estimated for Tokyo Session.

4) CHF 360,000 (NLG 495,000 at 1 CHF=1.37 NLG) and CHF 395,000 (NLG 507,729 at 1 CHF=1.29 NLG).
5) for 'Basic Budget'.

6) IWCO activities in Lisbon directly paid by the Office of the Chairman, of which CHF 153,000 for meetings.
7) assumed for Lisbon Session c.a.

8) secured, but still to be received.

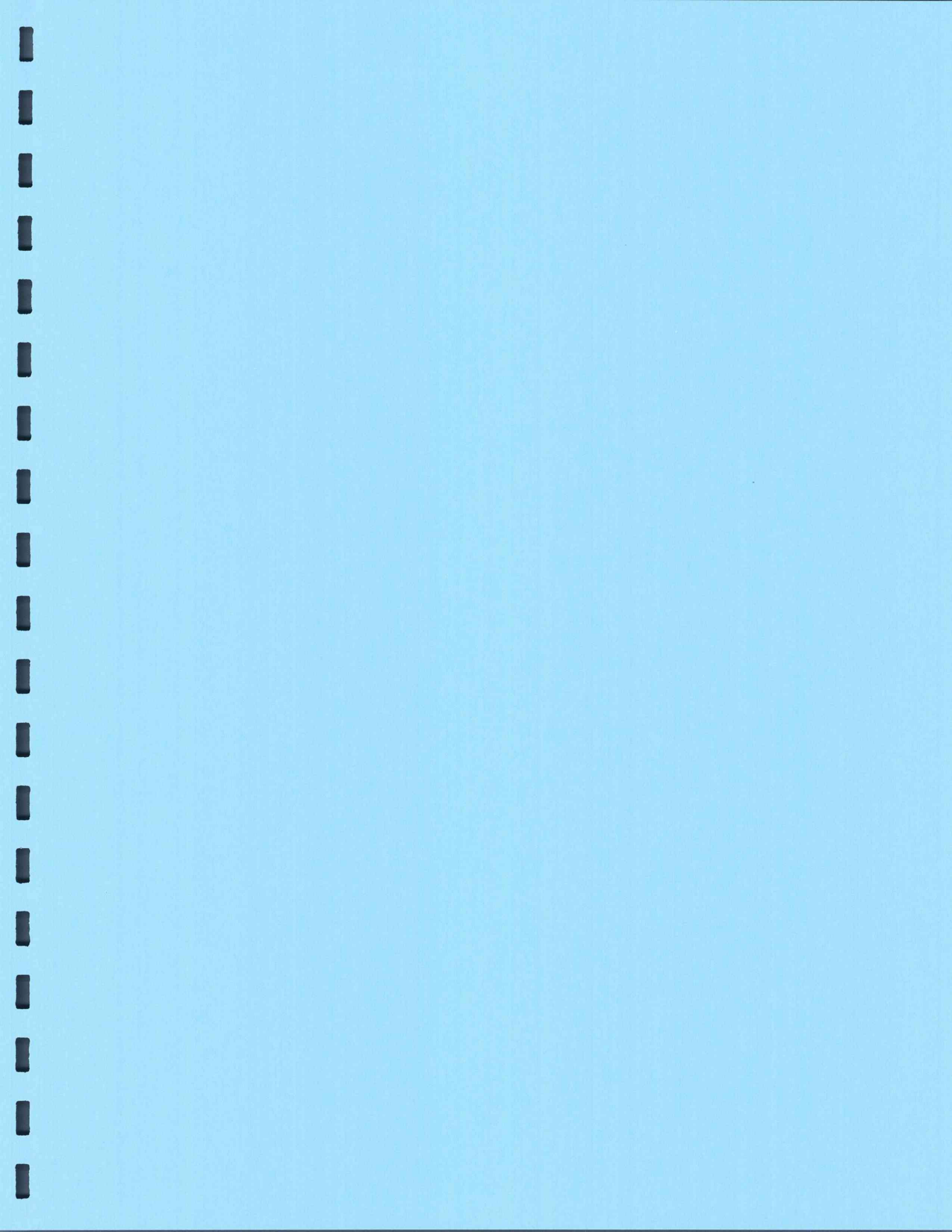
9) estimated for Cape Town Session.

10) secured, but CHF 300,000 still to be received.

11) estimated for 'Basic Budget' from the Canton of Geneva.

12) estimated for Rhode Island Session.

13) of which CHF 860,000 for 'Basic Budget' and CHF 1,710,000 for 'Costs of Meetings'



**Executive Meeting
4th Meeting
Rhode Island, 5 June**

**IWCO/EC/21
(future IWCO/24)**

Audited Financial Statements

for the Period 13 December 1995 to 31 December 1996

KPMG Klynveld Peat Marwick Goerdeler SA
Chemin De-Normandie 14
CH-1206 Geneva

P.O. Box 361
CH-1211 Geneva 25

Telephone 022 704 15 15
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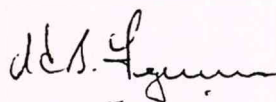
Auditor's report to the Executive Committee and Secretary-General of the
Independent World Commission on the Oceans, Lisbon & Geneva

We have audited the accompanying balance sheet of the Secretariat of the Independent World Commission on the Oceans ("IWCO"), Geneva as of 31 December 1996 and the related statements of operations and cash flows for the period then ended. These financial statements are the responsibility of the Secretary-General of IWCO. Our responsibility is to express an opinion on these financial statements based on our audit.

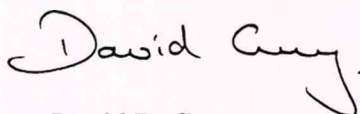
We conducted our audit in accordance with International Standards on Auditing. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by the Secretary-General, as well as evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinion.

In our opinion the financial statements present fairly, in all material respects, the financial position of the Secretariat of the Independent World Commission on the Oceans, Geneva as of 31 December 1996 and of the results of its operations and cash flows for the period then ended in accordance with International Accounting Standards.

KPMG Klynveld Peat Marwick Goerdeler SA



Henry B. Ferguson



David R. Curry

Geneva, 28 May 1997

Enclosures :

Financial Statements consisting of :

- Balance Sheet
- Statement of Operations
- Statement of Cash Flows
- Notes to the Financial Statements

INDEPENDENT WORLD COMMISSION ON THE OCEANS

FINANCIAL STATEMENTS

FOR THE PERIOD 13 DECEMBER 1995 TO 31 DECEMBER 1996

=====

INDEPENDENT WORLD COMMISSION ON THE OCEANS

BALANCE SHEET
AS AT 31 DECEMBER 1996

	CHF
<u>ASSETS AND LIABILITIES</u>	
ASSETS	
Cash at bank	982'159
Grants receivable	83'300
Amounts receivable from the Office of the Chairman	111'956
Other receivables and prepaid expenses	9'883
Deposits for guarantees	10'732
Total assets	<u>1'198'030</u>
LIABILITIES	
Staff current accounts	53'836
Deferred income (note 8)	957'950
Accounts payable and accrued charges	163'755
Total liabilities	<u>1'175'541</u>
NET ASSETS	<u>22'489</u> =====
<u>AVAILABLE FOR FUTURE ACTIVITIES</u>	
Accumulated balance	<u>22'489</u> =====

See notes to financial statements.

INDEPENDENT WORLD COMMISSION ON THE OCEANS

INCOME AND EXPENDITURE ACCOUNT
FOR THE PERIOD 13 DECEMBER 1995 TO 31 DECEMBER 1996

	CHF
<u>INCOME</u>	
Government grants (note 4)	1'014'597
Transfers from Office of the Chairman (note 6)	139'162
Interest income	3'700
	<hr/>
Total income	1'157'459
	<hr/>
<u>EXPENDITURE</u>	
<u>Basic</u>	
Salaries	307'027
Common staff costs (incl. health & sick person replacement insurance)	32'570
Contractual services (incl. associated meeting and travel costs)	117'239
Official travel - Secretariat	37'800
Rental, maintenance & insurance - Premises	16'914
Rental, maintenance & insurance - Equipment	3'817
Communication costs	29'130
Office supplies	3'944
Books and journals	902
Miscellaneous	7'844
Bank charges	228
Currency reserve (note 3d)	9'714
	<hr/>
Total expenditure - Basic	567'129
	<hr/>
<u>Meetings</u> (note 7)	393'726
	<hr/>
<u>Outputs</u>	---
	<hr/>
<u>Activities of the IWCO paid by the Office of the Chairman</u>	87'061
	<hr/>
<u>Establishment costs</u>	87'054
	<hr/>
Total expenditure	1'134'970
	<hr/>
AVAILABLE	22'489
	<hr/> <hr/>

See notes to financial statements.

INDEPENDENT WORLD COMMISSION ON THE OCEANS

CASH FLOW STATEMENT
FOR THE PERIOD 13 DECEMBER 1995 TO 31 DECEMBER 1996

	CHF
<u>CASH FLOWS FROM OPERATING ACTIVITIES</u>	
Cash received from Office of Chairman	87'061
Cash grants received	1'878'597
Interest received	3'700
	<hr/>
Total cash income generated from operatio	1'969'358
Cash paid to employees and suppliers	919'549
	<hr/>
Net cash from operating activities	1'049'809
 <u>CASH FLOWS FROM INVESTING ACTIVITIES</u>	
Advances to Office of the Chairman	(286'832)
Reimbursements by Office of the Chairman	229'882
Deposits for guarantees paid	(10'700)
	<hr/>
Net cash from investing activities	(67'650)
	<hr/>
Net increase in cash	982'159
Cash at beginning of period	---
	<hr/>
Cash at end of period	982'159
	<hr/> <hr/>

See notes to financial statements.

INDEPENDENT WORLD COMMISSION ON THE OCEANS

NOTES TO FINANCIAL STATEMENTS
FOR THE PERIOD 13 DECEMBER 1995 TO 31 DECEMBER 1996

1. Activity

The aim of the Independent World Commission on the Oceans (IWCO) is to develop world consciousness of the unique role of the oceans in planetary survival and the critical importance of rational ocean management.

The Commission, launched in Tokyo on 13 December 1995, has a mandate that ends in December 1998.

2. Legal form and organisation

The Commission, of which the Secretariat is based in Geneva, enjoys privileges and immunities analogous to those of the United Nations in Geneva.

The Office of the Chairman of the Commission is located in Lisbon. The accounting records of the Office of the Chairman are maintained separately from those of the Commission.

3. Accounting policies

a) Accounting convention

The financial statements follow International Accounting Standards and are prepared under the historical-cost convention.

b) Government grants

Government grants are recognised as income over the periods necessary to match them with the related costs that they intend to cover.

c) In-kind contributions.

The values of in-kind contributions, including those of governments, are not recorded in these financial statements. They are, however, described in the notes.

d) Translation of foreign currencies.

The accounting records of the Commission are maintained in Swiss francs (CHF).

Income arising in currencies other than CHF is translated on the basis of exchange rates ruling at the transaction date. Expenditure in US Dollars is translated at the rate of 1.2 CHF equal to 1 US Dollar. Occasional expenditure in currencies other than CHF is translated on the basis of exchange rates ruling at

INDEPENDENT WORLD COMMISSION ON THE OCEANS

NOTES TO FINANCIAL STATEMENTS
FOR THE PERIOD 13 DECEMBER 1995 TO 31 DECEMBER 1996

the transaction date. Foreign currency balances held at the year end are translated at the rates of exchange ruling at the balance sheet date. All remaining exchange differences are charged to the income and expenditure account under the heading "Currency Reserve".

- e) Fixed assets.
Furniture and equipment, if at all purchased, are depreciated over their useful lives on a straight line basis.
- f) Rental, maintenance & insurance - Equipment.
Expenditure on repairs and maintenance to equipment is written off in the year incurred.
- g) Office supplies.
Minor office appliances are written off in the year incurred.

4. Government grants

The Swiss government contributed CHF 400'000 to the 1996 operating costs of the Secretariat.

The Dutch government contributed CHF 369'950 (NLG 495'000) to activities of the Commission for the period ending 31 December 1997, as well as CHF 392'597 (NLG 507'729.30) to cover the costs of the Third Session in Rotterdam, 25-29 November 1996, or a total of CHF 762'547 (NLG 1'002'729.30). The unused portion of the Dutch contribution has been classified as deferred income. See note 8.

5. In kind contributions

The Dutch government provides the services of one full time senior officer to the Commission, including his travel costs, over the period 15 January 1996 to no later than 31 January 1999. The total of this in kind contribution has been estimated to amount to CHF 650'000, ie an annual contribution of CHF 216'667.

The government of the Canton of Geneva has provided the Secretariat with use of office premises, furniture and computer equipment. The estimated value of the Canton's contribution for 1996 is CHF 60'000.

INDEPENDENT WORLD COMMISSION ON THE OCEANS

NOTES TO FINANCIAL STATEMENTS
FOR THE PERIOD 13 DECEMBER 1995 TO 31 DECEMBER 1996

Japan (Nippon Foundation) funded the First Session, held in Tokyo, 13-15 December 1995. This in kind contribution has been estimated to amount to CHF 360'000.

The Brazilian government, in conjunction with local public and private enterprise, financed the Second Session, held in Rio, 2-5 July 1996. This in kind contribution has been estimated to amount to CHF 360'000.

6. Office of the Chairman

The Office of the Chairman funds, from Portuguese sources, the meetings and related expenditure of the IWCO and its Secretariat in Lisbon, as well as concrete and substantive activities of the IWCO elsewhere. During the period the Office of the Chairman funded the following activities of the Commission:

	CHF
Contractual services;	
Study Group, Geneva	52'101
Inter-sessional meeting, Lisbon	22'525
Joint meetings	17'346
Study Groups, Lisbon	14'781
Other travel	32'409

	87'061

Total funding from Office of the Chairman	139'162

7. Meetings

Included under meetings are the following:

Third Session in Rotterdam (NLG 507'729.30)	392'596
Payments by Secretariat, Second Session	966
Payments by Secretariat, Third Session	164

	393'726

INDEPENDENT WORLD COMMISSION ON THE OCEANS

NOTES TO FINANCIAL STATEMENTS
FOR THE PERIOD 13 DECEMBER 1995 TO 31 DECEMBER 1996

8. Deferred income

During 1996, the Nippon Foundation (Japan) contributed a total of CHF 810'000 (USD 600'000) towards the core activities of the IWCO, in particular its information and communication campaign. This contribution will be used for 1997 and 1998 activities.

The unused portion of the Dutch contribution has also been included in deferred income. See note 4.

9. Taxation

The Commission has been granted an exemption from Geneva cantonal and Swiss federal direct income, capital and value added taxes.

10. Fixed Assets

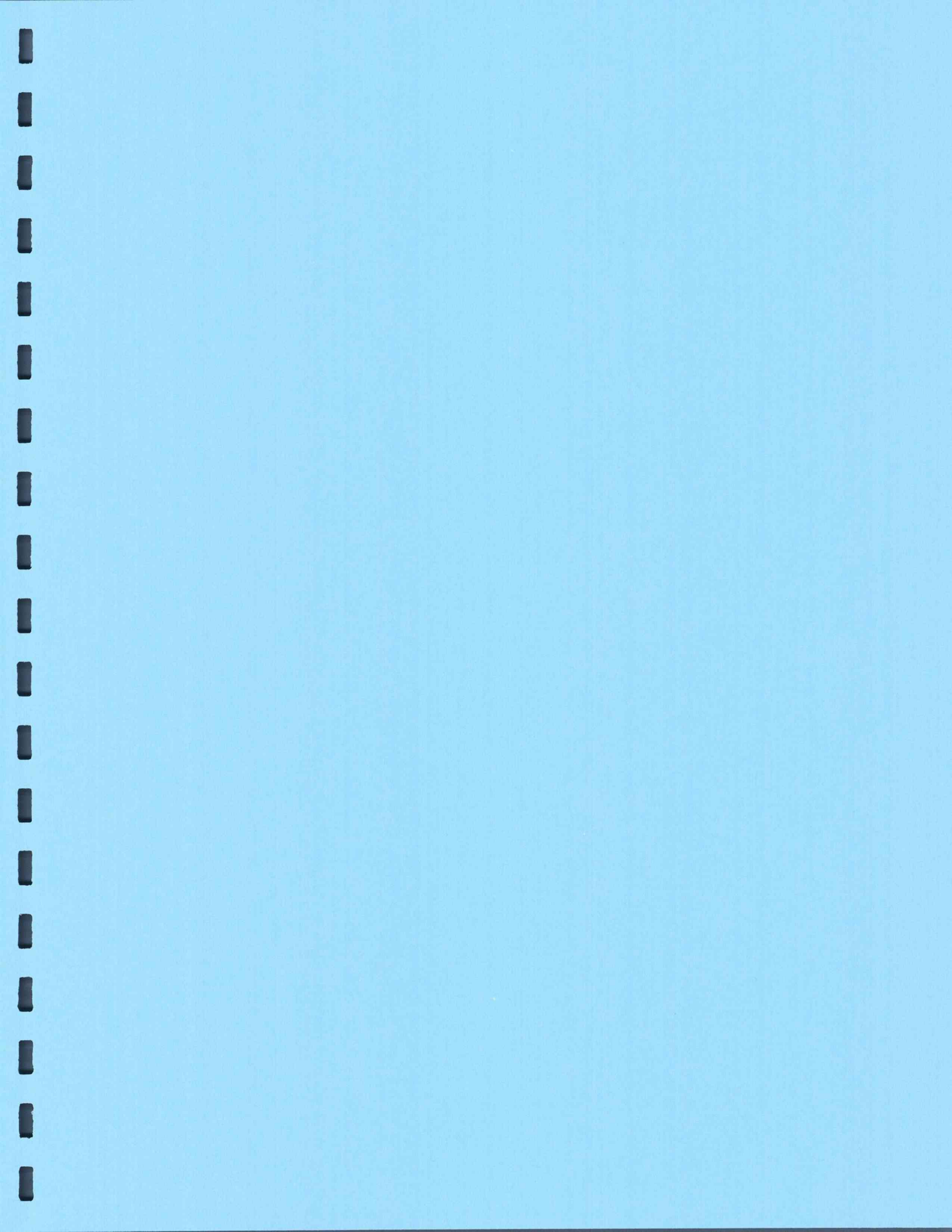
The value of furniture and equipment, for insurance purposes, is CHF 134'200. As stated in note 5, office furniture and equipment are in kind contributions and are therefore not recorded in these financial statements.

INDEPENDENT WORLD COMMISSION ON THE OCEANS

INCOME AND EXPENDITURE ACCOUNT
FOR THE PERIOD 13 DECEMBER 1995 TO 31 DECEMBER 1996

	1-Jan-96 to 30-Jun-96 CHF	1-Jul-96 to 31-Dec-96 CHF	1-Jan-96 to 31-Dec-96 CHF
<u>INCOME</u>			
Government grants (note 4)	222'000	792'597	1'014'597
Transfers from Office of the Chairman (note 6)	54'174	84'988	139'162 *
Interest income	395	3'305	3'700
Total income	<u>276'569</u>	<u>880'890</u>	<u>1'157'459</u>
<u>EXPENDITURE</u>			
<u>Basic</u>			
Salaries	76'500	230'527	307'027
Common staff costs (incl. health & sick person replacement insurance)	5'679	26'891	32'570
Contractual services (incl. Study Group meeting and travel costs)	5'314	111'925	117'239 *
Official travel - Secretariat	23'343	14'457	37'800
Rental, maintenance & insurance - Premises	8'097	8'817	16'914
Rental, maintenance & insurance - Equipment	---	3'817	3'817
Communication costs	8'108	21'022	29'130
Office supplies	1'425	2'519	3'944
Books and journals	28	874	902
Miscellaneous	3'558	4'286	7'844
Bank charges	117	111	228
Currency reserve (note 3d)	3'102	6'612	9'714
Total expenditure - Basic	<u>135'271</u>	<u>431'858</u>	<u>567'129</u>
<u>Meetings</u> (note 7)	---	393'726	393'726
<u>Outputs</u>	---	---	---
<u>Activities of the IWCO paid by the Office of the Chairman</u>			
	54'174	32'887	87'061 *
<u>Establishment costs - 1995</u>	87'054	---	87'054
Total expenditure	<u>276'499</u>	<u>858'471</u>	<u>1'134'970</u>
AVAILABLE	<u>70</u>	<u>22'419</u>	<u>22'489</u>
	=====	=====	=====

* An additional CHF 52,101, shown under Contractual services and incurred during the second half of 1996 was also funded by the Office of the Chairman



Study Group
Partnership and Solidarity
North/South Issues
Geneva, 25 - 26 April 1997

IWCO/EC/WP11

Draft Minutes

I - Opening

The meeting, which was convened at the Centre Européen de la Culture, was opened by Eduardo Faleiro who chaired until the arrival of the Chairman Kader Asmal later in the morning. The Secretary General of IWCO, Layashi Yaker, gave a welcoming address to the participants on behalf of Dr. Mário Soares, Chairman of the Commission. (See list of participants in Annex II)

II - Adoption of the Agenda

The agenda was adopted after being amended by the addition of "Access to information" as sub-item 1.c. (Annex III)

III - Main issues

1. Equity and interdependence in the use of the ocean at a time of change

A number of changes have occurred in the international setting in recent decades which have implications for the ongoing policy dialogue on the management of ocean resources, including equity aspects. Globalization – as manifested in the increased pace of technological innovation, the revolution in communications and the internationalization of finance capital through the expanding role of transnational corporations -- has reinforced the interdependence between countries at many levels including the environmental level. The number and capacity of sea vessels has grown, as well as the variety of commodities and destinations of containers. A political parallel to the trend towards globalization "at the top", is a trend around the world at the grass roots level involving nongovernmental organizations (NGOs) and communities that have mobilized themselves and achieved a certain measure of success in getting previously unwilling government bureaucracies to listen to them. There is a slowly growing awareness that *democracy* is essential to progress on environmental issues -- including marine environmental issues. Here, democracy is not necessarily taken in the literal sense to mean the possibility of "voting" but rather an open society wherein people have access to information and the possibility of influencing some of the collective decisions affecting their lives.

The experiment with neo-liberalism has permitted some countries to move ahead on the economic front but has accentuated the vulnerability of others while increasing the gap between rich and poor. Moreover, since there are no market signals to behave responsibly on the ocean, the unfettered reliance on the market mechanism is not compatible with sustainability. At the same time, new ways in which state and non-state actors can collaborate in managing the ocean environment for the benefit of all have emerged. With the end of the Cold War, new sources of tension have arisen that have altered the security concerns of governments. Emerging conflicts on land are influencing what happens in the context of the oceans, as the situation in Somalia illustrates. Security needs have changed and are focused more on peace-keeping and confidence building. Something can be learned, perhaps, from the experience of the South China Sea countries which have managed to keep their area from exploding despite highly conflicting national interests.

Little is to be gained in debates on ocean affairs by reverting to the stylized confrontation in international fora between a monolithic North and monolithic South that characterized the 1960s and 1970s. The important over-riding issue is that of equity and of protecting the interest of the weak in situations where the distribution of bargaining power is highly uneven. However, it is not to be forgotten that developing countries as a group still show some common characteristics -- including deficiencies and weaknesses in the domain of the oceans -- which deserve continuing attention. The notion of 'partnership' in North-South and other relations between unequal partners may have to give way to the notion of *shared influence*.

2. Shortcomings of present approaches to international cooperation in ocean affairs.

The history of ocean affairs in the past has tended to favor a *sectional approach* in dealing with marine problems. Ocean matters typically fall under such Ministries as Environment, Industry, Transport, Defence and Foreign Affairs. This has led to fragmentation and dispersal of efforts with the result that cooperation has not been effective. Scarcely any country has a full-fledged Ministry or even a focal point dealing with the entire range of ocean issues. The consensus, however, is that neither a single Ministry at the national level nor a universal oceans organization at the international level would be feasible. Even if it were, there would be strong resistance, especially at the international level, to creating a new super-bureaucracy of any kind.

This does not mean that we have to accept the existing framework of national and international institutions for dealing with the oceans without reform or modification. At the national level, for instance, it is possible to establish mechanisms for inter-ministerial consultation and collaboration, perhaps by way

of special advisory boards or cabinet committees. As mentioned above, important changes have taken place over the past several decades which militate in favor of at least some reforms. One change is in the marine environment itself: oceans are no longer a sort of last frontier to be explored, harvested and used as an infinite sink for waste material. This has affected the nature of international cooperation which initially was in the area of "blue ocean technology" and now centers predominantly on *coastal problems*. How to adapt existing institutions towards the regional, coastal tasks of today is of primary concern.

Among the adaptations that would be required is a shift towards *integrated management of the oceans*. This would involve at least some modification of the present sectoral system, as still reflected in Agenda 21, in order to come to grips with the management of coastal zones.

A true partnership cannot develop if there is no compatibility between partners. It is for this reason that we have followed a regional and sub-regional approach to the ocean that is driven by the different needs of groups of contiguous countries. In some areas, for example, the concern is about food from the ocean, whereas in others it is high-level oceanic research that is of interest.

A major issue is why have attempts at international cooperation not been more successful. The answer appears to be that those entering into negotiations must share a common interest *politically* and *economically*. It is futile to try to promote sub-regional centers and similar initiatives if these prior criteria are not met. Institutions should result from agreement and not vice versa. All negotiations should lead to some net benefits to all participants even if not all participants share equally in the benefits. The previous motivation for North South negotiations, Northern "guilt feelings" over its exploitative colonial past has proved to be unproductive and needs to be replaced by the prospect that all stand to gain at least something. This principle underlies the success of the Barcelona Convention for the Mediterranean area. Other examples of success, for the same reason, are the island developing countries agreements and the International Maritime Organization accomplishment in dealing with pollution from shipping.

"Coordination" has become an oft-repeated cliché in international discussions on the management of the ocean. The reality is that coordination of efforts of different organizations and agencies responsible for the ocean is impeded because of the strength of vested interests. These interests opposed to coordination at the international level are a manifestation of similar vested interests in the home countries of member Governments.

Some *impediments to cooperation* come from industrialized countries – governments and firms – whose pursuit of their own – to some extent – myopic,

self-interest can sometimes be at odds with the ocean development objectives of developing countries. Examples can be found in West Africa and the Caribbean. In West Africa the European Union, backed up by its market power, was able to insist on negotiating fishing accords country-by-country rather than collectively with Cape Verde, Guinea Bissau, Senegal and Mauritania which had been trying for some time to set up a common fishery surveillance system. In the Caribbean, where a pristine and safe ocean environment is crucial to the success of the tourist industry, a major nuclear power was able to block the setting up of a unanimously-agreed nuclear-free zone for shipping that had been agreed by NGOs and all governments of the region. Similarly, an attempt by several countries to levy a head tax on ever-larger cruise ships from Florida in order to finance environmentally-enhancing incinerators was foiled because of the ability of cruise operators to play off one country against another by threatening to "take their business elsewhere".

The nuclear example above relates to another, more general issue: the altered global setting for *security of the ocean* and its implications for how we interpret national *sovereignty vs. freedom of the sea*. The growing traffic in arms, dangerous substances, and illegal immigrants poses a conflict between a country's "legitimate" pursuit into the territorial waters and Extended Economic Zones of other countries and the concern by the latter about incursions on their sovereignty and the possible abuses that can result from them. Although the issue has been taken up by another Study Group, what needs to be stressed from this meeting is that the concerns of countries that are too weak to assert their interests – including many developing countries -- need to be taken fully into account in the Final Report's treatment of this subject.

3. The search for improved approaches for strengthening international cooperation

Do the oceans pose a qualitatively different set of environmental and resource management problems from those on land? In many respects the problems are comparable and the differences transient. In some respects, however, they are not. What is *different about ocean problems* and which gives them a global dimension stems from:

- (1) The relatively greater mobility of the living resources that are of primary concern – e.g. straddling fish stocks.
- (2) The importance of transport in the "no-man's land" of the high seas.
- (3) The world-wide significance of such natural phenomena as currents.
- (4) The special status conferred on the oceans in the field of international law.
- (5) Following from (4), the unique types of international institutions that are needed in order to manage ocean space.

- (6) Following from all of the above, the North and the South both have, in many instances, a self-interest in basing their inter-relationship in ocean affairs on the principle of solidarity.

With regard to capacity building, there is a need for sensitivity by aid givers to the attitude of governments to the use of expatriate personnel in the marine sciences. Some governments lack confidence in the ability of domestic consultants – university professors, researchers etc. – to manage training programs effectively; whereas others stand ready to sacrifice short term efficiency for long-term reduction in dependence on foreign consultants. The importance of capacity building in marine science cannot be over-emphasized. Scientific knowledge, based in part on research capabilities, is essential to the monitoring, observation and surveillance of the oceans. Technological advances in remote sensing and communications make it possible to increase the density of global interactions among scientists, thereby promoting capacity building in the ocean sciences.

Neighboring states, particularly in the South, require mechanisms for cooperating on a regional basis in order to get their views on ocean matters heard more effectively in international fora. One approach would be to try to forge alliances among the various “stakeholders” – government departments, fishers’ organizations, scientists, public interest groups, port authorities, municipalities etc. – by holding consultations among them at the national and then at the regional level. An example is the series of six workshops that have been organized through the Unilever/Worldwide Fund for Nature project to oversee the certification of fish products entering international trade. Similar efforts on a larger scale in various regions and sub-regions of the world would provide a means for networking and pursuing common interests on a wide range of marine issues without requiring a complex institutional structure.

Concerning the effect of the ocean and climate on one another, it is becoming increasingly recognized that the problem is less one of rising sea level and higher mean annual temperatures world-wide as it is climate change, especially changes in the geographical pattern of climate and what they may mean for the collective interest of countries of the Southern Hemisphere. There may well be a basis for successful international negotiation by developing countries on this issue as there was for island countries as a group.

The *Global Environment Facility (GEF)*, jointly administered by the World Bank, UNDP and UNEP, is relevant to the oceans issue because, at present, it is the largest financial source available for new aid money for marine projects. The replenishment of 1994 of \$2 billion means a total of \$500 million per year of which about 14 per cent – or \$70 million per annum – is earmarked for “international waters” (of which part is for fresh waters). Although this is small, it represents double the annual budget of UNEP and has been used in financing of

projects in a number of marine regions in the developing world. The GEF does have ramifications for North-South solidarity because, at the recent discussions on the restructuring of GEF, recipient countries won a hard-fought battle to increase their share of the total number of Council seats to sixteen out of thirty-two, thereby increasing their role in policy decisions. The message from the Commission should be that international waters in GEF are severely underfunded because, unlike in the other GEF areas (climate change, biodiversity and ozone-depletion), there does not exist an external body authorized to provide guidance in setting priorities for the allocation of GEF funds in this area.

The volume of *financial resources* available for support of international regional cooperation on ocean-related activities is inadequate. At the present time there is a proliferation of different institutions that are involved, in one way or another, in the financing of international cooperation on the oceans which results in dispersal of efforts. Regrouping or re-structuring existing international institutions into one funding agency, however, would be unwise because it would not lead to additional funds for the oceans and could result in an over-all reduction. What is needed instead is some kind of mechanism for improving the *coordination* between the different ocean-funding institutions.

As regards the *taxation of or royalties* on marine-related economic activity, it may be recalled that a legal basis exists (Article 82 of the Law of the Sea) for the collection of such revenues from coastal states in respect of the exploitation of non-living resources of the continental shelf beyond 200 nautical miles from the baselines from which the breadth of the territorial sea is measured. Such payments are to be made to the Seabed Authority for distribution to States Parties to the Convention on the basis of equitable sharing criteria, taking into account the interests of developing States, particularly the least developed and land-locked among them.

In so far as the goods and services provided by the sea produce wealth that should be paid for just as goods and services of the land are paid for, a strong rationale exists for collecting taxes or royalties from marine enterprises for purposes of funding activities related to the protection and management of ocean resources. Such revenues would be used to defray the social cost of ocean pollution, transport of hazardous material and rescues at sea. The rate of charge and mechanics of collection, the collecting institution and the beneficiary of the revenues are aspects that need to be worked out. Since the charges are meant to offset the cost of the use of ocean resources, the most acceptable and easy to justify terminology should be *user fees* rather than royalties or taxes which have other implications. A further possibility for raising revenue for research on fish stocks is to set aside a portion of the receipts from the payment of fishing rights.

A number of poorer countries face difficulties in raising revenues to cover expenditures for research and development on the problems of artisanal fisheries. One solution is the small grants program of the GEF which provides for grants of up to \$50,000 for such research that can be obtained by applying to the local UNDP office.

As far as the area of the seabed beyond national jurisdiction is concerned, the *International Seabed Authority* should be used to develop a partnership between North and South in two areas: (1) monitoring of seabed activities and research on their potential environmental impact and (2) research and technology development related to the seabed. In this context it should be noted that the International Seabed Authority could have an important role to play in facilitating North-South partnership and solidarity as regards marine biodiversity. The genetic resources of the seabed should be subject to an international agreement declaring such resources to be the 'common heritage of mankind'.

IV - Drafting of contributions by participants

Towards the end of the meeting, time was set aside for the preparation of written contributions by the participants to guide the Rapporteur in the preparation of the draft chapter on Partnership and Solidarity: North/South Issues for the Final Report of the Commission. The written contributions are contained in Annex I to these minutes.

V - Conclusions and recommendations

The following conclusions and recommendations emerged from the meeting of the Study Group:

Democracy in the sense of people having access to information and the possibility of influencing some of the collective decisions affecting their lives is a necessary (though not necessarily a sufficient) condition for progress on environmental issues.

The unfettered reliance on the market mechanism as a guide to responsible behavior on the ocean is not compatible with sustainability.

In North-South and other relations between unequal partners regarding ocean affairs, the notion of 'partnership' may have to give way to that of 'shared influence'.

At least some modification of existing institutions towards integrated management of the oceans is required in order to come to grips with the regional and coastal tasks that are relevant today.

The needs of countries that are too weak to assert their own security interests need to be taken fully into account in the Final Report's treatment of peaceful uses of the ocean.

The "stakeholder" approach to the forging of alliances on ocean issues between neighboring countries should be explored as a means of strengthening cooperation on a regional basis.

An external body should be designated to provide guidance in setting priority for GEF funds in the area of oceans.

There is a need to explore alternative mechanisms for improving coordination between the different ocean-funding institutions.

A strong rationale exists for collecting taxes or royalties from marine enterprises for purposes of funding activities related to the protection and management of ocean resources.

The genetic resources of the seabed should be subject to an international agreement declaring such resources to be the 'common heritage of mankind'.

VI - Closing

Chairman Kader Asmal closed the meeting after a brief presentation by the Rapporteur of the priorities that will be reflected in the next draft of the paper.

**Summary of Priorities to be Reflected in Draft Chapter on Partnership
and Solidarity: North/South Issues**

and

Outline of Chapter

by Professor Nazli Choucri
Rapporteur

Rapporteur's summary of priorities
to be reflected in draft of chapter

These are rough observations based on the verbal presentation of the
Rapporteur and do not reflect the final copy of the Report (which will
serve as an input to the draft chapter

See attached for logic of draft chapter.

The following comments focus on three issues by way of highlighting not only the unique contributions of this working group in more general terms, but also specific proposals for enhancing North-South relations, more specifically.

The three issues are:

- (a) Implications of the changing **global context** for management of the oceans as we enter the 21st century, particularly with their relevance to North-South relations
- (b) Importance of reshaping **North South-relations**, taking into account experiences to date, priorities of the North, and critical requirements for the South
- (c) Critical **new directions** in oceans management given the changing global context and critical requirements of the South.

These three issues emerge from the Agenda as initially specified, but are strongly reinforced and strengthened by the nature of the discussion. Below is a brief synopsis of the contents for each of the three sections (and a detailed outline of the current text-in-preparation is appended).

I. The Changing Global Context global

Considerable time was devoted at the working group to the changing global context. Strategic, political, economic, environmental, demographic and other issues were addressed, and specific attention was given to the tension between the agenda of the NIEO and the evolving emphasis on the competitive market processes.

In this context we also discussed the ways in which the oceans posed some distinctive, if not unique, issues for the international community when compared to other major items currently on the global agenda. Among the most important elements raised in this context is the way in which this "uniqueness" may facilitate (a) improvements in North South relations and (b) formulation of 'new directions' in ocean management.

"Unique features": ocean as a critical resource; its global nature; expanded legal foundations for international relations; and extent of institutional contexts, serves, and developments Both the up-side and the down-side of these four factors were discussed given our primary concerns, namely forging solidarity in North South relations.

Distinct in from, but invariably related, is the record of ocean measurement to date. Here we reviewed institutional and operational features, and examined strengths as well as limitations. One critical conclusion pertained to the dualism in ocean affairs: on the one hand there has been extensive focus and efforts on oceans; on the other these have been highly fragmented in thrust as well as impacts

II. Reshaping North South Relations

Initially we began discussion of the critical features of the present setting that impede improvement in North-South relations in the domain of ocean issues; and then focused on some actions that could result in the improvement of these relationships.

Current obstacles included:

continued pursuit of limited self interest serves generate "wrong signals";
Serious fragmentation of ocean institutions, and communities, at all levels;

continued impediments in efforts to improve capacity and in technology development

"Divorce" is not an option and both North and South need to find means improving interactions. Specific measures to improve North South relations were also

III. New Directions

Discussion of new directions identified a set of recommendations:

General: Imperatives

1. Strengthening new modes of cooperation - pursuit of coalitions between NGOs, business, scientific community. (Association of Senegalese fishermen)
2. Revisiting what works and what does not in terms of institutions, accountability and transparency
3. Facilitation to access of information and two-way dialogue
4. Recognizing and reinforcing the greening of the oceans

Global Action:

1. Need for new funding mechanisms focusing on oceans
2. Streamlining and rendering existing international arrangements more coherent.
3. Reinforce existing mechanisms of intermediation that appear critical such as
- Seabed Authority

Regional Efforts:

1. Regional cohesion and cooperation - esp. sharing overlapping ecosystems
 - reinforce mechanisms of consultation
 - establish forums for interactions
 - encourage stronger civil society
 - facilitate harmonization of rules within and across countries
 - initiate joint management strategies
3. Reinforce inputs to implementation of Agenda 21 - particularly in relation to ocean and coastal areas
4. Appreciate role of land locked countries to request agreement on implementation of Article 10 on rights to ocean
5. Reinforce mechanisms for the South "coming the table" and Come to the table: facilitate formal and informal discussions

6. Improve the North's capacity to understand priorities and constraints of the South
7. Initiative a "big push" on science and technology, education, and manpower training at the regional level, with global support and reinforced by national initiatives

National level:

1. Coherent capacity building activities
2. Reduction of barriers to civil society
3. Strengthen monitoring capabilities

The six questions posed initially by the Chairman have not been adequately addressed by the group as a whole, however, there is considerable indirect reference and application. The following were noted during the discussion, but do not represent an adequate response. These include, for example:

1. How can countries of the South obtain maximum benefits from transferred marine and maritime capital, infrastructure, science, technology and human skills from the North?
 - Regional research centers, consolidate information related initiatives
2. How best can South countries police, control and manage their marine EEZs (Exclusive Economic Zones)?
 - joint strategies of control
 - enlist go inputs into increasing transparency of activities
3. How should South countries contribute to and influence international legislation and agreements dealing with various aspects of ocean management and use (e.g. UNCLOS, Agenda 21 of UNCED, the Convention on Biological Diversity, UN and FAO fishery agreements, MARPOL, etc.)?
 - shared training activities
 - participate in international efforts to obtain the views of developing countries (such as the questionnaires of the UNCSD)

4. How can South countries best practice modern conservation and management principles, that include the concept of sustainable use of renewable resources and the precautionary principle, developed by countries of the North that have far greater financial resources to devote to their execution?
 - accelerating training provisions in N/S relations and S/S interactions
 - provide continued inputs into UNCSD requests for reactions and feedback from the South to Agenda 21 initiatives

5. How should countries of South best act regionally (through partnerships and by showing solidarity with neighbors) in their combined best interests in relation to ocean issues?
 - initiative mechanisms for transparency
 - demand, and provide access to, information
 - address jointly the matter of "freedom of the high seas"
 - elicit support from the ngo community in articulating basic concerns

OVERVIEW OF CHAPTER ON NORTH-SOUTH SOLIDARITY

OUTLINE

I. THE NEED for a NEW OCEANS STRATEGY

1.1 The Changing Global Context

- a. Globalization.
- b. Beyond NIEO
- c. Strategic Changes
- d. Underlying Socio-Economic Parameters
- e. Sustainable Development

1.2 The Oceans in New Global Context

- a. Oceans Security Issues
- b. Current Oceans Strategies
- c. Limitations in Ocean Strategies
- d. Lessons to date

II. RESHAPING NORTH-SOUTH RELATIONS

2.1 Opportunity Paradox

- a. Oceans as a unique domain for North-South Interactions
- b. On the one hand & on the other
- c. Increased
- d. North-South Contentions Key to this Paradox
- e. Focus on Equity and Solidarity

- use of and sharing benefits from ocean and its resources

- venues for cooperation in the context of increasing globalization and competitiveness

2.2 Differentials in Power and Influence

- a. Indicators of Differentials
- b. Implications for power and influence
- c. Gaps in technology, capacity, resources, and performance
- d. Reducing Critical Contentions

2.3 New Principles for North-South Solidarity

- a. New Principles of "fairness"
- b. Equity and Solidarity as common but differentiated responsibility as well as shared influence
- c. Need for new context in North-South Interactions

III. NEW DIRECTIONS and NEW STRATEGY

3.1 Defining Global Imperatives

- a. Creating Financial Resources
 - Global Oceans Fund
 - Supporting financial mechanisms
- b. Consolidating Institutional Responsibilities
 - institutional consolidation
 - new initiatives in oceans education
 - scientific-awareness-initiatives
 - strengthening dispute resolution systems
 - encouraging two-track systems

c. Global Information Systems for Ocean Management

- breakdown isolation of information
- breakdown isolation of scientific evidence and analysis
- monitoring ocean surveillance

3.2 Sharing Global Responsibilities

a. What must the North do?

- technology cooperation packages
- "oceans clause" on education and investment assistance
- more coherence in assistance programs

b. What must the South do?

c. The Role of Private Interests:

- insurance industry
- maritime industry
- private-public initiatives

d. What role for North-South Collaboration?

3.3 Shaping Regional Strategies

a. Regional Linkages

b. Lateral Technology Cooperation

c. Joint Initiatives for Monitoring and Regulating Ocean Uses

d. Regional Capacity-Building Initiatives

- stockholder initiatives
- workshop and related activities

3.4 Building National Capacity

- a. Capacity-Building in
Education, Information, Communication**
- b. Reinforcing Civil Society**
- c. two-way Connectivity: Bottom-up vs. Top
Down**
- d. Linking to Regional Networks**

Annex II

SG/PS/4 Rev. 3

**Study Group
Partnership and Solidarity:
North/South Issues
Geneva, 25-26 April 1997**

Provisional List of Participants

Kader Asmal* (Chairman Study Group)	South Africa
Patricio Bernal*	Chile
Havelock Brewster	Guyana
Nazli Choucri (Rapporteur)	Egypt
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Eduardo Faleiro*	India
Gotfried Hempel	Germany
Sidney Holt*	UK
José Luiz de Jesus	Cape Verde
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Manuel Tello	Mexico

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Layashi Yaker	Secretary General
Jean Pierre Lévy	Executive Secretary
Thomas Ganiatsos	Senior Officer
Peter Sand	Consultant

Office of the Chairman

Mário Baptista Coelho	Personal Assistant to Chairman IWCO
Ana Maria Casquilho Plimer	Personal Assistant to Coordinator IWCO

Observer

John Cooper	Personal Assistant to Chairman Study Group
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**Study Group
Partnership and Solidarity:
North/South Issues
Geneva, 25 - 26 April 1997**

Draft Provisional Agenda

I - Opening

II - Adoption of the Agenda

III - Main Issues

1. Equity and interdependence in the use of the ocean at a time of change
 - a) The altered global setting
 - b) Implications of the altered global setting for the oceans
 - c) Access to information
2. Shortcomings of present approaches to international cooperation in ocean affairs
 - a) The main areas of ocean "governance"
 - b) Diagnosis of main problems hampering international cooperation in these areas of ocean governance
3. The search for improved approaches for strengthening international cooperation
 - a) Institutions
 - b) Finance

IV - Drafting of contributions by participants

V - Conclusions and recommendations

VI - Closing