

**Executive Committee
Fourth Meeting
Rotterdam, 25 November 1996**

IWCO/EC/Inf. 9

List of Documents

- IWCO/EC/10 - Draft Report of the Third Meeting, Rio de Janeiro
- IWCO/EC/11/prov. - Provisional Agenda of the Fourth Meeting, Rotterdam
- IWCO/EC/12 - Budget and funding plan 1995 - 1998

- IWCO/EC/Inf. 8 - List of Participants
- IWCO/EC/Inf. 9 - List of Documents

NB : The list of substantive documents for Third Session is contained in IWCO/Inf.10
(See in particular IWCO/WP10 and IWCO/WP13)

Excutive Committee
4th Meeting
Rotterdam, 25 November 1996

IWCO/EC/Inf. 8

List of Participants

Mário Soares	Chairman
Abdelmohsin M. Al-Sudeary	Vice-Chairman
Eduardo Faleiro	Vice-Chairman
Elisabeth Mann Borgese	Vice-Chairperson
Patrick Kennedy	Vice-Chairman
Ruud Lubbers	Vice-Chairman
Guido de Marco	Vice-Chairman
Yoshio Suzuki	Vice-Chairman
José Israel Vargas	Vice-Chairman
Mário Ruivo	Co-ordinator
Salvino Busuttil	Treasurer
Sidney Holt	General Editor

Secretariat

Layashi Yaker	Secretary General
Jean-Pierre Lévy	Executive Secretary

Office of the Chairman

Mário Baptista Coelho	Personal Assistant
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Executive Committee
4th Meeting
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IWCO/EC/11/prov

Provisional Agenda

1. Opening
2. Adoption of the Agenda
3. Report of the 3th meeting of the EC
4. Progress report :
 - 4.1 Financial and budgetary matters
 - 4.2 Supporting structure of the Commission
5. Items to be considered by the Third Plenary Session
6. Arrangements for the Third Plenary Session
7. Planning of the Fourth Plenary Session (Rhode Island)
8. Next meeting of the EC
9. Closing

*Unilever
US, Ocean 2000*

*4-8 June Rhode Island
9-13 CSD-GA (23 June?)*

September 12-14 Nov. 1997

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IWCO/EC/12
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Budget and Funding Plan 1995-1998

Contrary to their previous versions, this Budget and Funding Plan 1995-1998 will be expressed in *CHF* (at 1.2 x USD) and limited to *cash* costs and contributions. The first was done because most financial commitments of the Secretariat of the Commission are in CHF. The second because auditors can only verify cash expenditures and revenues. Major *in kind* costs and contributions will, however, be mentioned through footnotes.

Budget 1995 - 1998

The (cash) budget for the period 1995 - 1998 amounts to:

- CHF 3,750,000 for the 'basic budget'; and ¹⁾ (USD 3,125,000)
- CHF 420,000 for the 'costs of meetings'. ²⁾ (USD 350,000)

The 'basic budget' is broken down as follows over the years of the period concerned:

- 1995		CHF 130,000
- 1996 1st half	CHF 130,000	
2nd half	<u>CHF 480,000</u>	
		CHF 610,000
- 1997		CHF 1,590,000
- 1998		<u>CHF 1,420,000</u>
Total		<u>CHF 3,750,000</u>

Funding Plan 1995 - 1998

Of the (cash) 'basic budget', so far CHF 2,260,000 (60 percent) has been secured from Japan, The Netherlands, Saudi Arabia and Switzerland.³⁾ This leaves CHF 1,490,000 still to be secured. Of the (cash) 'costs of meetings', so far CHF 360,000 (86 percent) has been secured from The Netherlands.⁴⁾ This leaves CHF 60,000 still to be secured. Funds needed to cover all costs in the 'basic budget' up to mid 1997 have been secured by end 1996. Moreover, early 1997 second instalments from Saudi Arabia (CHF 60,000) and Switzerland (CHF 300,000) will be received.

Funding activities should be completed by mid 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 the North and the South, as well as including the public and the private sectors.

¹⁾ excluding CHF 1,230,000 in kind expenditures

²⁾ excluding CHF 2,520,000 in kind expenditures

³⁾ excluding CHF 1,230,000 in kind contributions, which have been secured from the following countries: The Netherlands, Portugal, and Switzerland.

⁴⁾ excluding CHF 2,040,000 in kind contributions which have been secured from the following countries: Japan, Brazil, USA, South Africa + India, and Portugal.

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 3-4)
 - 1.a. Basic Budget
 - 1.b. Costs of Meetings

2. Funding Plan 1995-1998 (see pages 5-6)
 - 2.a. Basic Budget
 - 2.b. Costs of Meetings

1. Budget 1995-1998

1.a. Basic Budget (in 1000 CHF)

No.	Chapter Heading	1995	1996			1997			1998	Total
			1st	2nd	total	1st	2nd	total		
001	Salaries	40	75	255	330	370	460	830	920	2, 120
002	Common Staff Costs	-	6	22	28	23	-	23	-	51
003	Contractual Services	-	1	120	121			422	200	743
004	Official Travel	-	-	18	18			120	120	258
005	Premises	-	-	7	7			33	33	73
006	Equipment	-	-	4	4			12	12	28
007	Communication	-	6	14	20			49	49	118
008	Insurance	-	-	2	2			9	9	20
009	Office Supplies	-	3	4	7			6	6	19
010	Books & Journals	-	-	2	2			6	6	14
011	Miscellaneous	-	2	2	4			14	14	32
012	Contingency Reserve	90	37	30	67			66	51	274
Office of the Chairman		p.m.	p.m.	p.m.	p.m.			p.m.	p.m.	p.m.
Total		130	130	480	610			1, 590	1, 420	3, 750

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

Description	1995	1996			1997	1998	Total
		1st	2nd	total			
Plenary Sessions ¹⁾	-	-	360	360	-	-	360
Ex Com Meetings ²⁾	-	-	-	-	60	-	60
Regional/Thematic Meetings ³⁾	-	-	-	-	-	-	-
Total ⁴⁾	-	-	360	360	60	-	420

The Budget 1995-1998 is up to 1 October 1996, as far as possible, based on actual expenditures and, thereafter, on the following main assumptions:

1. The Commission needs, as from 1 January 1997, a Secretariat of the following composition:

- 1 Secretary General]
- 1 Executive Secretary]
- 1 Senior Officer (organization)]
- 1 Senior Officer (substance)] staff as per
- 1 First Officer (information/communication)] 31-12-1996
- 1 Secretary]
- 1 Junior Secretary]
- 1 Junior Assistant]

- 1 Administrator (50%)] staff as from
- 1 Assistant] 01-01-1997

2. UN scales may, for the time being, only be used (as was done here as from 1 July 1997) for reference purposes and may only be applied if the Swiss government and, possibly, other funders compensate the costs of the 'post adjustment' for Geneva.

3. The costs of the Office of the Chairman have, for the time being, been put as p.m.

¹⁾ excluding CHF 1,800,000 (5 x CHF 360,000) in kind expenditures

²⁾ excluding CHF 120,000 (2 x CHF 60,000) in kind expenditures

³⁾ excluding CHF 600,000 in kind expenditures

⁴⁾ excluding a **total** of CHF 2,520,000 in kind expenditures

2. Funding Plan 1995-1998

2.b. Basic Budget (in 1000 CHF)

Description	1995	1996			1997	1998	Total
		1st	2nd	total			
Japan	-	-	720	720	-	-	720
The Netherlands ¹⁾	-	360	-	360	-	-	360
Portugal ²⁾	-	-	-	-	-	-	-
Saudi Arabia	-	-	60	60	60	60	180
Switzerland ³⁾	-	-	400	400	300	300	1,000
Total secured ⁴⁾	-	360	1,180	1,540	360	360	2,260
To be secured	130	-230	-700	-930	1,230	1,060	1,490
Total	130	130	480	610	1,590	1,420	3,750

1) excluding CHF 630,000 in kind contribution

2) excluding CHF 390,000 in kind contribution

3) excluding CHF 210,000 in kind contribution from Canton of Geneva

4) excluding a **total** of CHF 1,230,000 in kind contributions

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

Description	1995	1996			1997	1998	Total
		1st	2nd	total			
Japan ¹⁾	-	-	-	-	-	-	-
Brazil ²⁾	-	-	-	-	-	-	-
The Netherlands	-	360	-	360	-	-	360
USA ³⁾	-	-	-	-	-	-	-
South Africa + India ⁴⁾	-	-	-	-	-	-	-
Portugal ⁵⁾	-	-	-	-	-	-	-
Total secured ⁶⁾	-	360	-	360	-	-	360
To be secured ⁷⁾	-	-	-	-	60	-	60
Total	-	360	-	360	60	-	420

1) excluding CHF 360,000 in kind contribution

2) excluding CHF 360,000 in kind contribution

3) excluding CHF 360,000 in kind contribution

4) excluding CHF 360,000 in kind contribution

5) excluding CHF 600,000 in kind contribution

6) excluding a **total** of CHF 2,040,000 in kind contributions

7) excluding CHF 480,000 in kind contribution

The in kind contributions have been further listed in the following three Annexes:

Annex 1: In kind contributions to 'basic budget'

Annex 2: In kind contributions to 'costs of meetings'

Annex 3: In kind contributions of The Netherlands and Portugal

Annex 1: In kind contributions to 'basic budget' (in 1000 CHF)

Description	1995	1996			1997	1998	Total
		1st	2nd	total			
The Netherlands	-	108	120	228	216	186	630
Portugal	-	60	60	120	150	120	390
Switzerland ¹⁾	-	18	36	54	78	78	210
Total	-	186	216	402	444	384	1,230

¹⁾ from the Canton of Geneva

Annex 2: In kind contributions to 'costs of meetings' (in 1000 CHF)

Description	1995	1996			1997	1998	Total
		1st	2nd	total			
Japan	360	-	-	-	-	-	360
Brazil	-	360	-	360	-	-	360
The Netherlands ¹⁾	-	-	-	-	-	-	-
USA	-	-	-	-	360	-	360
South Africa + India	-	-	-	-	360	-	360
Portugal	-	60	-	60	120	420	600
Total secured	360	420	-	420	840	420	2, 040
To be secured	-	-	-	-	480	-	480
Total	360	420	-	420	1, 320	420	2, 520

¹⁾ excluding CHF 360,000 cash contribution

Annexe 3: In kind contributions of The Netherlands and Portugal (in 1000 CHF)

Description	1995	1996			1997	1998	Total
		1st	2nd	total			
<u>The Netherlands</u>							
- Secondment Senior Officer	-	75	81	156	162	162	480
- Travel Costs Senior Officer	-	33	39	72	54	24	150
- Total	-	108	120	228	216	186	630

<u>Portugal</u>							
- Study Groups	-	-	30	30	90	30	150
- Travel Costs SG incl. hospitality	-	30	30	60	-	-	60
- Printed Matter	-	30	-	30	-	-	30
- Office of the Chairman	-	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.
- Subtotal 'basic budget'	-	60	60	120	90	30	240
- Plenary Session	-	-	-	-	-	360	360
- Ex Com Meetings	-	60	-	60	-	30	90
- Thematic Meetings	-	-	-	-	120	-	120
- Subtotal 'cost of meetings'	-	60	-	60	120	390	570
- Total	-	120	60	180	210	420	810

Executive Committee
4th Meeting
Rotterdam, 25 November 1996

IWCO/EC/14
(previous EC/13/ prov. 3)

Draft Report

1. Opening

Due to the late arrival of the Chairman, Dr. Mário Soares, who had to participate in an important meeting in Montevideo, the meeting of the Executive Committee was chaired by the Vice-Chairman, Mr. Ruud Lubbers. He welcomed the participants present in Rotterdam (a list of participants is annexed).

2. Adoption of the Agenda

The chairman proposed that the Provisional Agenda (document IWCO/EC/11 Prov) be considered in conjunction with the agenda of the Plenary Session of the Commission (document IWCO/16 Prov.). In particular he referred to item 5 of the provisional agenda of the Executive Committee which covers the program of the work of the Commission. With this understanding the Agenda was then adopted without change.

3. Report of the 3rd. Meeting of the EC

The Draft Report of the 3rd meeting held in Rio de Janeiro (IWCO/EC/10) was adopted without changes.

4. Progress report

4.1 Financial and budgetary matters:

The Treasurer presented a report on the financial situation of the Commission. He referred to a preliminary document drafted on this subject (IWCO/EC/12) and mentioned that this document will be revised and thereafter circulated to the members of the Executive Committee. In particular the revision will recognize the contributions made by Portugal, relating to travel and hosting of meetings. It will also show a reduction of 'salaries', 'official travel' and 'contingency reserve'.

The Treasurer noted that the budgetary document in its present form was in Swiss francs and was limited to a cash basis. He also informed the Executive Committee that there was no cash flow problem expected until autumn 1997, but there was still a need to secure additional cash contribution to cover the expenses of the Commission during its lifespan.

The Secretary General informed the Executive Committee of recent fund raising activities and expected financial contributions.

During the discussion which followed, the question of "establishment costs" incurred before the creation of the Commission was raised as these "establishment costs" did not appear anywhere in the budget. In this regard it was noted that the Commission was independent and could not, as a principle, be involved in any activities preceding its establishment. It was nevertheless mentioned that this question should be further studied with view of defining a possible approach compatible with the priorities of the Commission. Finally, the Executive Committee renewed its views that all efforts should be made to achieve austerity and that a better balance be established between substantive activities and administrative costs.

Regional and thematic meetings

The issue of covering the expenses of regional and thematic meetings was raised and while it was acknowledged that, as a rule, the Commission could not financially support such meetings it was pointed out that in some special cases an effort could be made with a view to mobilizing support to cover expenses associated with the travel of some participants to such meetings. Specific reference was made to possible financing of travel of participants in regional meetings in West-Africa and to North-African participants in a Mediterranean regional meeting.

The Executive Committee noted that, previously, proposals had also been made to hold such meetings in South-America, the Indian Ocean, and the Arab countries. Vice-chairman Vargas informed the Executive Committee that Brazil had established a National Commission on the Oceans comprising 18 high level members. Under this Brazilian Commission four working groups were convened to discuss the issues initially identified by the IWCO and a report on their findings will be provided to the Independent Commission. In addition a possible Brazilian participant for each of the scheduled study groups will be proposed by Ambassador de Macedo Soares.

4.2 Supporting structure of the Commission

The Secretary General provided the latest information on the operation of the Secretariat of the Commission, underlining that it was working with a minimum of staff. The Secretariat was working closely with the Office of the Chairman and progress was made in optimising the functioning of both offices. He also referred to the work being pursued to disseminate the activities of the Commission, in particular to the use of Internet.

5 Items to be considered by the Third Plenary Session

In accordance with the decision taken when adopting the Agenda of the meeting, the Executive Committee considered under this item the work program of the Commission.

The Executive Secretary reminded the Executive Committee that the final outputs of the Commission will include a Report with Recommendations, a Lisbon Declaration and an Executive summary to be submitted to the United Nations General Assembly in 1998 under its item "The International Year of the Oceans".

For these outputs to be available by June 1998 draft versions will have to be submitted to the Fifth Plenary Session of the Commission, in Cape Town, in November 1997.

It was felt that the time schedule was tight in view of the progress so far. The Executive Secretary also outlined the procedure to be followed in the preparation of inputs to the Final Report. In doing so he stressed that the contributions expected from the resource persons/rapporteurs, after the meeting of the Study Groups, would go beyond the report of the Study Group. These contributions will form a basis of a chapter of the Final Report but may be substantially improved upon before it reaches that stage.

In this connection it was suggested that draft chapters of the report could also be used to solicit regional comments and other inputs. They would be sent out together with the request to make comments on it from a regional point of view.

The Executive Committee would also be called upon to comment on the first revision of the draft outline of the Final Report submitted to this Session (IWCO/WP10) and would receive early working draft of the Chapters.

Organization and Methodology for the Study Groups

Concern was expressed about the prospects for implementing the timetable in view of some delays in identifying experts and other members of the Study Groups. There was a need for consensus on the organization of work in order to achieve more rapid results in the future. In this connection it was underscored that the preparation of a background paper **prior** to each Study Group meeting was a must in order to focus the discussion and come up with genuinely fresh ideas. The Executive Committee reviewed the progress made in the convening of Study Groups meetings. Satisfactory results had been achieved in holding the Legal and Institutional Study Group and obtaining a report which, though an excellent piece of work, had not brought forth novel ideas that would contribute significantly to the preparation of the relevant chapter of the Final Report.

The Study Group on Peaceful uses of the Oceans has been scheduled for 22 - 24 January 1997 in Lisbon and a draft background paper, to be prepared by Richard Falk in his capacity of resource person/rapporteur, is expected to be completed by mid-December 1996 and sent to participants in sufficient time to prepare for the meeting. The Chairman suggested that Guido De Marco chair this Study Group but that he would refer this matter to the Chairman of the Commission for decision.

The Study Group on Economic Uses of the Oceans (subject to agreement on a title which takes fuller account of environment) has been scheduled for 16 - 19 February 1997 in Lisbon. While unhappiness was expressed concerning the delay in organizing this Group – especially as regards the selection of participants – it was mentioned that a Rapporteur (Paul Streeten) had already been engaged, who would prepare a background paper for this Group. Ruud Lubbers indicated his willingness to play an active role in this group. A final decision on chairmanship and participants for this meeting would be taken during this session, after consultation with the Chairman of the Commission. Salvino Busuttill reconfirmed his willingness to continue to act as a convenor of this Group.

The fourth Study Group, on Science and Technology, has been scheduled for 5 - 8 February in Lisbon. Proposals relating to the nomination of rapporteur and participants for this group will be made to the Chairman during this Session. Upon the suggestion of the acting Chairman, Patrick Kennedy accepted to chair this Group in cooperation with Ulf Lie, acting as convenor.

It was felt that, at this stage, priority should be given to the holding of the aforementioned Study Groups. The issues of awareness-raising, partnership and ocean governance pervade all four issues selected and should be considered at a later stage in the light of the results of their discussion.

Priorities and Objectives of the Commission

The two objectives - production of a Final Report, in book form or otherwise, and the increasing of public awareness should be concurrent objectives. Thus, for example, the adherence to a strict schedule for organizing the Study Groups and preparing the individual chapters in time for the Final Session (June 1998) should contribute to an ongoing public concern and debate about the sustainability of the oceans. It was also pointed out that, in view of the proliferation of information on the oceans, the Commission could consider recommending a central source of information for ocean matters. Since politicians make decisions according to the information that is given to them, special care has to be taken in management of information.

Timing of Rhode Island Plenary

It was agreed that the Rhode Island Plenary would be timed so as to achieve the maximum impact on the Special Session of the UN General Assembly. This issue should be taken up by the Plenary. Patrick Kennedy stated that he was prepared to consider shifting the date of the Fourth Session in Rhode Island from the early-June date, originally agreed upon, to a later date just before the Special Session which is now tentatively scheduled for 23 June 1997. This matter should again be considered by the Plenary Session after it receives final confirmation of the dates of the Special Session of the General Assembly.

6. Arrangements for the Third Plenary Session

No particular comments were made in this item.

7. Planning of the Fourth Plenary Session (Rhode Island)

A presentation on this item will be made during the closing of the Plenary Session.

8. Next meeting of the EC

The Executive Committee may be reconvened in order to consider, *inter alia*, this question. (In the meantime, it has been scheduled to hold the 5th meeting of the EC on 24 - 26 April 1997 in Geneva).

9. Closing

The closing of the Executive Committee meeting will take place when it is reconvened.

Annex

I. Participating Members

Members	Kader Asmal	Vice-Chairman
	Elisabeth Mann Borgese	Vice-Chairperson
	Patrick Kennedy	Vice-Chairman
	Ruud Lubbers	Vice-Chairman
	Guido de Marco	Vice-Chairman
	José Israel Vargas	Vice-Chairman
	Mário Ruivo	Coordinator
	Salvino Busuttil	Treasurer
	Sidney Holt	General Editor
Ex Officio Members	Layashi Yaker	Secretary General
	Jean-Pierre Lévy	Executive Secretary
II. Secretariat	Jan van Ettinger	Senior Officer
	Tom Ganiatsos	Senior Officer
	Dieter Poortman	Junior Assistant
	Ernst Décsey	} Internet Consultants
	Charles Hieronymni	

III. Other Participants

Office of the Chairman	Mário Baptista Coelho	Personal assistant to the Chairman
	Ana-Maria Casquilho Plimer	Personal assistant to the Coordinator
	Ana-Teresa Egea	Senior Secretary
Brazilian National Commission on the Oceans	Luiz Philipe Costa Fernandes	Executive Secretary National Commission on the Oceans
	Lauro Moreira	Special Internal Advisor Ministry of Science and Technology of Brazil
	Antonio José Teixeira	Adviser for Ocean Issues
Netherlands 'Local Organisers'	Marjolein Matthijssen-van der Bos Mai Elmar	
Rhode Island 'Local Organisers'	Matthew Braunstein Anthony Marcella	
South Africa 'Local Organisers'	John Cooper	