

9TH MEETING OF THE FINANCE AND ADMINISTRATION COMMITTEE (FAC)

Held remotely, 18, 21 and 22 January 2022 (NZDT)

FAC 9 – Doc 10

Development of a Secretariat Strategic Plan and Associated Staffing Strategy

Secretariat

1. Background

The request for a staffing strategy can be traced back to a recommendation arising from the December 2018 SPRFMO performance review (paragraph 396b):

“that the Commission, on advice of the Executive Secretary, give consideration to reviewing the structure of the Secretariat to ensure the most cost-effective use of staff resources, and to investing additional resources in building the capacity of the Secretariat to analyse scientific and MCS data”.

In response, COMM7 instructed *“the Executive Secretary to consider this recommendation and to advise the Commission accordingly no later than the 2020 annual meeting”* in 2019. As instructed, the Executive Secretary (FAC7-Doc12_restricted) prepared a paper that was initially discussed in 2020, by the 7th meeting of the SPRFMO Financial and Administrative Committee (FAC7) who recommended:

“that the Executive Secretary prepare a staffing strategy for consideration by the FAC in 2021 which outlines the future staffing needs of the Organisation. The FAC emphasised that the future staff structure should reflect the actual and anticipated needs of the Secretariat in the Executive Secretary’s view.

The anticipated staffing strategy was not presented to FAC8 in 2021 due, in part, to the unanticipated departure of the (then) Executive Secretary as well as the limitations associated with moving to a virtual meeting.

In 2021, during FAC8, and after a discussion concerning the resources required to implement Commission decisions, the FAC Chairperson noted:

“that the Secretariat should report anticipated resource requirements in the (upcoming) staffing strategy”.

The current paper presents a possible timeframe for the Members consideration whereby the requested Staffing Strategy is developed as part of a broader Secretariat workplan.

The **FAC is invited to:**

- **Endorse** the suggested workplan for development of a Secretariat Strategic Plan and associated Staffing Strategy (refer Section 4).

2. Goal Identification

Often, the first step in developing any staffing plan is to understand the overarching goals for an organisation. Once the desired outcomes have been recognised, then a plan can be formulated to identify the amount and type of support needed to best achieve the organisations expectations.

The overall objective of the Organisation is clearly stated in Article 2 of the Convention; however, while objective provides a direction for the Organisation as a whole, the specific goals and functions of the Secretariat are generally less clear. For example, from the SPRFMO Convention:

Article 14, para 1: *The Secretariat shall perform the functions delegated to it by the Commission.*

Article 14, para 4: *The Executive Secretary shall ensure the effective functioning of the Secretariat.*



Article 14, para 5: *The Secretariat to be established under this Convention shall be cost effective. The setting up and the functioning of the Secretariat shall, where appropriate, take into account the capacity of existing regional institutions to perform certain technical secretariat functions and more specifically the availability of services under contractual arrangement.*

Article 28: *The observer programme shall be coordinated by the Secretariat of the Commission.*

As can be seen, the functional description of the Secretariat is very broad, and the observer programme is the only specific task that is mentioned in the Convention. There are also several short-term or recurring tasks that are specified either in the Rules of Procedure, Financial Regulations, or the Conservation and Management Measures. The number and type of tasks are reflected in the 47 [Secretariat related deadlines](#) and the matrix of Secretariat functions and work areas contained in Annex 1.

It is important to recognise that the Secretariat list of tasks and functional areas are ever evolving and increasing year by year as the organisation adopts more CMMs and continues to revise current CMMs (eg. the VMS workplan was a significant piece of new work that took up over 75% of the new Compliance Managers time this year, amendments to CMM12 meant during 2021 the Secretariat received over 6,000 files related to transshipment events taking up over 50% of the Data Managers time).

The various tasks and functions have been used by the Executive Secretary to develop individual employment agreements, but they have not been drawn together as a whole, there has not been a formal workload assessment for each position, and, to date, there has been limited input from other Stakeholders (such as Members). Thus, there is a potential gap between the individual job descriptions and the organisations overall expectations.

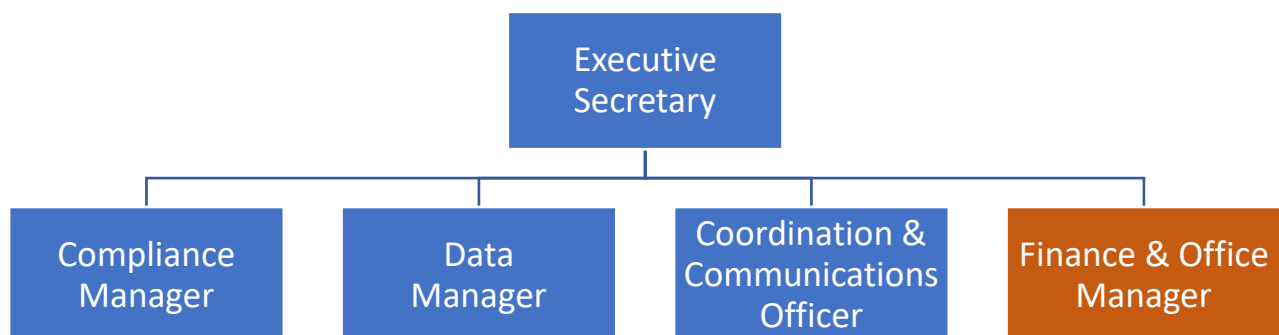
3. Current Secretariat Resourcing

Changes in the Secretariat since September 2020 include:

- A new Executive Secretary (Mr Craig Loveridge)
- A new Compliance Manager (Mr Randy Jenkins)
- A new Data Manager (Dr Tiffany Vidal)
- Disestablishment of the Data analyst contractor (part-time)
- Disestablishment of the Compliance officer position (shared with Chile)
- Resignation of the IT Manager (Mr John Cheva, part -time)

This represents a drop of 2 employee's (effective 1 FTE) since September 2020. Currently there are five employees - Full Time Equivalents (FTE¹) in the Secretariat with 4 in the Professional category and 1 in the General Services category.

Figure 1. Current structure of the SPRFMO Secretariat



¹ An FTE equals 2,080 hours per year.



4. Suggested Future Steps

Many other RFMOs have developed medium-term strategic plans for their Secretariats (e.g., [CCAMLR](#), [IOTC](#) and [WCPFC](#)). A strategic plan is a living document and can be refreshed as needed to account for new activities and emerging demands on the Secretariat. Such plans can also be used to describe the support services that the Secretariat provides to the Organisation and its Members, Cooperating non-Contracting Parties, and other stakeholders. A Secretariat strategic plan can facilitate the work of the Commission by clarifying the role of the Secretariat, outlining Members’ expectations of the Secretariat and its performance, and identifying priority work areas for the Secretariat.

Thus, a Strategic plan for the Secretariat can be seen as an overarching document that can provide the rationale behind a staffing plan. As the development of a strategic plan will necessarily rely upon input from the Organisation’s stakeholders (especially Members), it can be used to fill the gap that currently exists between the internally developed job descriptions/workplans and external expectations. The following timeframe is suggested for development of a basic Secretariat Strategic Plan and associated Staffing Strategy.

Figure 2. Workplan for development of a Secretariat Strategic Plan and associated Staffing Strategy

Task	Lead	Involved stakeholders	Expected delivery
Develop a short (15-20 minute) survey for stakeholders to determine Secretariat goals and associated objectives.	Executive Secretary Draft survey to be presented to Chairperson and FAC Chairperson prior to circulation	Members, CNCPs, IGOs, & NGOs	May (Draft) – June
Collate the responses into thematic areas and develop indicators to track performance.	Executive Secretary	Chairperson and FAC Chairperson	August
Conduct a workload analysis between Secretariat capabilities and externally developed expectations. Forecast future needs in relation to current staffing, organisation requests, and industry benchmarks (i.e., other RFMOs).	Executive Secretary	Secretariat	September
Prepare draft Secretariat Strategic Plan for review by Chairpersons	Executive Secretary	Chairperson and FAC Chairperson	October
Prepare proposed Secretariat Strategic plan for 2023 Commission (including staffing strategy)	Executive Secretary	Members	As per usual Proposal timeframes

5. Anticipated outcomes

Developing a strategic plan will outline a clear direction and establish priorities for the Secretariat to follow. It will also improve focus, self-awareness, and create a sense of purpose within the Secretariat which, in turn, will improve employee motivation and ensure that the Secretariat’s goals are aligned with the Members’ expectations.

A Secretariat Strategic Plan will reduce organisational frustration by becoming a reference point that ensures everyone is clear on the Secretariat’s goals and objectives - such a plan can also help build consensus about where the Organisation is going.

A strategic plan can also serve as a vital tool by which the Secretariat’s performance can be better measured, and future challenges (particularly around resourcing) can be identified and factored into decision making.



Annex 1: Current Secretariat Functions and Work Areas (Nov 2021)

Executive Secretary		Data Manager	
Commission, Coordination & Secretariat	External cooperation	Data Management	Fisheries Science
Task	Task	Task	Task
Direct & supervise employees	BBNJ	Maintain Record of Vessels	SC Agenda/papers/workplan
Commission Annual Report	FAO/COFI/CITIES/CBD	Receive, store datasets	General SC support
Coordination of WGs	Other States/NGO/IGOs	Fishery information analysis	SC report/expert coordination
Extraordinary requests	RSN/RFBs/other RFMOs	Data dissemination	SC onsite support
Member/CNCP relations	MoUs/Arrangements	Template mgmt	SC Communications & recommendations
Tenders & Grants	UN-ICSC/-DOALOS/-FSA	Data Base develop/maintenance	CMM review/input
SPRFMO-rel. guidance		Data, Records & Info planning	Technical editing CMMs
Commission Agenda/planning		Monthly fishery reports	Observer programme Coordinator
Overseeing Deadlines		AM papers (Catch, CJM, RoV, Obs)	FAO project lead (ABNJ, AIS)
Contracts main providers		FIRMS-CWP	MoU Implementation (Data & Science)
		ALDG	EU Grants (MSE/Spatial tools/training)

Compliance Manager		Finance & Office Manager	
Compliance monitoring	VMS Manager	Finance Administration	Office Administration
Task	Task	Task	Task
CMS reporting	VMS data connections	Banking	Contractors & Service Providers
CMM review/input	Security VMS data measures	Audit & Collabor. with auditors	Office Equipment & supplies
Port inspections	VMS Technical aspects	GST returns	Office Property manager
Boarding and inspection	VMS Bills & Payments	Income and expenses	Travel bookings/DSA
IUU related work	VMS papers/reports	Monthly/annual reports	HR - leave
CTC Agenda/support	VMS alerts and manual reports	Payroll, UN salaries/policies	
CTC papers (admin, CMS, VMS, Port, IUU, CNCPs)	MoU Implementation (Compliance)	FAC agenda/ papers/ reports	
MCS/IMO/Interpol		Financial monitoring	
CTC Onsite support		Financial planning	
		Grant budget monitoring	

Coordination & Communications Officer		IT Manager
Communication & Dissemination of Information	Meeting Organisation	IT services
Task	Task	Task
Branding & formatting	Invitations	Hard & Software management
Contact mgmt	Logistics	Information Technology
Public relations	Planning support	Security System Administrator
Social media	Registrations	IT services at meetings
Website administration	Visa support	Website support
General inquiries	Annual meeting Onsite support	Disaster recovery planning
Newsletter	Agendas and workplans	
Official communications	Observers	
Reminders to Members	MoU Implementation (Admin)	
Secretariat Admin. Report	Monthly fishery reports	