



**Conference of the Parties to the
WHO Framework Convention
on Tobacco Control**

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FCTC/COP7/19
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Financial resources and mechanisms of assistance

Report by the Convention Secretariat

INTRODUCTION

1. At the sixth session (Moscow, Russia, 13–18 October 2014), the Conference of the Parties (COP) adopted decision FCTC/COP6(17) entitled “Sustainable measures to strengthen implementation of the WHO FCTC”. The COP requested the Convention Secretariat to prepare and present an implementation report on activities undertaken to strengthen implementation of the WHO FCTC in line with this decision and decisions FCTC/COP1(13), FCTC/COP2(10), FCTC/COP4(17) and FCTC/COP5(14).

2. In accordance with decision FCTC/COP6(17), this document reviews resources and mechanisms of assistance in three sections. The first section deals with resources available for the Convention Secretariat to implement the workplans adopted by the Conference of the Parties (COP) and the performance of mechanisms of assistance. The second section describes the main activities undertaken by the Convention Secretariat to assist Parties in the implementation of the WHO FCTC. The third section describes how the Convention Secretariat can collaborate with other entities in order to maximize the globally available resources for the implementation of the WHO FCTC at country, regional and global levels.

RESOURCES TO SUPPORT IMPLEMENTATION OF THE WORKPLANS AND BUDGETS APPROVED BY THE COP

3. Resources for implementation of the workplans and budgets adopted by the Conference of the Parties (COP) fall under two principal categories: (a) voluntary assessed contributions (VAC) of Parties, in line with the biennial scales of assessments; and (b) extrabudgetary funds, aimed at financing activities that are approved by the COP but not covered by VAC. The total available funds for the 2014-2015 period amounted to US\$ 14 310 078.

Voluntary assessed contributions (total after deducting receivables from past years)	8 096 281
Extrabudgetary contributions received	2 258 174
Carry over from 2012-2013	4 225 623
Less: Loan for administrative services in 2010–2011	(270 000)
Total available funds for the biennium	US\$ 14 310 078

VAC 2014-2015

4. For the biennium 2014–2015, the approved VAC was US\$ 9 103 596 and the amount collected reached US\$ 8 169 188 (90% of approved VAC, including a US\$ 300 000 one-time exceptional contribution)¹. Apart from covering essential staff costs, VAC is used to fund mandatory activities related to treaty administration (convening sessions of the COP and Bureau, elaboration of treaty instruments, such as the Protocol, guidelines, policy options and relevant meetings mandated by COP. It is also used in the development and maintenance of the reporting system of the Convention, coordination with international organizations and bodies, and general management and administration).

Extrabudgetary Contributions 2014-2015

5. The Convention Secretariat has been actively searching for extrabudgetary funds to carry out activities adopted by the workplan but not covered by VAC, especially to directly assist Parties in the implementation of the WHO FCTC. The Convention Secretariat has received an additional US\$2 258 174 as direct extrabudgetary contributions (as the EU contribution was awarded in the previous biennium).

Party	Activity funded	Amount US\$
Australia	Support for Convention Secretariat work including legal and reporting arrangements	656 115
Brazil	Support for Convention Secretariat work including tobacco industry Observatories	80 000
EU	International cooperation, knowledge management and assistance to Parties	2 062 167
Norway	Support for Convention Secretariat work including Impact Assessment Review	528 789
Panama	Support for Convention Secretariat work including assistance to Parties	200 000
Russian Federation	Support for Convention Secretariat work including tobacco industry observatories	793 270
Total		4 320 341
	Less receivable from EU award	2 062 167
Total revenue		US\$ 2 258 174

6. The Convention Secretariat continues its fundraising efforts and is presenting a document to COP7 on the fundraising strategies and collaborative work for the Parties' consideration, see document FCTC/COP/7/26. Sources of direct and indirect contribution are available on the Convention Secretariat website².

MECHANISMS OF ASSISTANCE OF THE CONVENTION SECRETARIAT TO SUPPORT IMPLEMENTATION OF THE WORKPLANS AND BUDGETS APPROVED BY THE COP

¹ The Table with status for payments of voluntary contributions can be found on the Secretariat's webpage <http://www.who.int/fctc/en/>. Please also refer to the document entitled: Payment of the voluntary assessed contributions and measures to reduce Parties in arrears (Document FCTC/COP/7/24).

² <http://www.who.int/fctc/about/donorspartners/en/>

7. The WHO FCTC, its guidelines, workplans and relevant decisions adopted by the COP provide the necessary framework for the mechanisms of assistance to Parties.

Assistance for the Implementation of the Convention: Needs Assessments Exercises

8. The COP identified needs assessments as a key instrument to provide country assistance. The assessments are carried out jointly with the governments concerned, on request, with priority given to lower-resource countries. Since COP6, 10 additional needs assessment missions have been conducted in Belarus, Benin, Bolivia, Costa Rica, the Democratic Republic of the Congo, El Salvador, Ethiopia, Lebanon, Mongolia and Tonga. The WHO FCTC's webpage on needs assessment has been updated and mission reports can be accessed³ there.

9. Post-needs assessment assistance has been provided to countries based on identified needs and recommendations of the needs assessment exercises conducted in this biennium and some from the last biennium.

10. Needs assessment missions have been very useful in identifying the more frequent challenges and country needs for WHO FCTC implementation. They have also provided a good opportunity to raise awareness among political leaders and decision-makers, in order to mobilize internal resources and harmonize implementation of the Convention with national health and development plans. They provide useful information on where effort should be concentrated to provide adequate assistance. For example, the development of legislation, the establishment of a national multisectoral coordinating mechanism, assistance in tax increase policies or the development of a national plan of action were among the main identified needs. See table below with the most frequently identified needs.

Needs identified during needs assessment missions (2009-2015)	Number of Parties
Revise or develop new legislation	32
Establish or strengthen national multisectoral coordination mechanism	28
Increase tobacco taxation	23
Develop or finalize a national action plan	22
Include support for the implementation of the WHO FCTC into the UN Development Assistance Framework (UNDAF)	22
Enforce tobacco control policies	17
Awareness raising	16
Resource allocation for tobacco control	15
Support for ratifying the protocol, or strengthening control of illicit trade in tobacco products	8
Integrate tobacco control into national health and development plans	7
Introduce pictorial health warnings	7
Conduct advocacy campaigns	6
Prevent tobacco industry interference	6
Enhance surveillance data	5
Review or introduce technical regulations for tobacco products	4

³ <http://www.who.int/fctc/implementation/needs/en/>

Work with international development partners	3
Promote alternatives to tobacco growing	3

11. Apart from the identification of needs, the missions are a great opportunity for building capacity and raising awareness among government and non-government sectors, and for promoting multisectoral cooperation. Additionally, they foster international cooperation through the involvement of COP observers and thereby strengthen the global network in assisting Parties to implement the treaty and to identify and counteract tobacco industry interference.

12. An evaluation of the process and impact of the needs assessment exercises has been conducted in line with the COP6 approved workplan and budget 2016–2017. The evaluation was carried out by a group of independent scientists through interviews and focus groups with various actors involved in needs assessment exercises. The preliminary results of this evaluation suggest that in general the missions have been very positive for countries in moving towards implementation of the FCTC.

Support to Parties in Specific Provisions of the Convention

13. The Convention Secretariat is actively engaged in providing support to Parties for specific provisions of the Convention either through organized activities or on an ad hoc basis upon request. The Convention Secretariat has employed an “open door” policy for the past two years to accommodate requests for assistance from Parties at any level of development. For instance, legal support has been provided by the Convention Secretariat in the form of technical inputs or reports, statements, friend of the court briefings and submissions to court cases.

14. Support has also been provided to Parties by the Convention Secretariat in fulfilling their reporting obligations through training (during regional workshops or online webinars) and by addressing specific queries upon request.

15. The Convention Secretariat also assists Parties by facilitating the granting of licenses for pictorial health warnings from the database established on the WHO NMH/PND website.

16. In order to increase the number of copyright-free options and make available images appropriate to different regions, the Convention Secretariat has initiated the development of a pictorial health warning database for Eastern Mediterranean and Pacific Island countries in collaboration with WHO Eastern Mediterranean Regional Office (EMRO) and WHO Western Pacific Regional Office (WPRO), and has complemented the existing database with English and French messages and with images for Africa.

17. The Convention Secretariat is working to facilitate the exchange of information and knowledge management by developing a more practical and user-friendly information platform to assist Parties in accessing information and resources (both technical and financial) useful for the implementation of the WHO FCTC. The terms of reference (ToRs) of this new communication platform have been agreed by the working group on sustainable measures⁴.

18. The Convention Secretariat also plays an important role in improving the capacity of Parties to implement the WHO FCTC and mobilize financial resources. An example of these activities are the regional and subregional capacity building workshops. Since the last COP, the Convention Secretariat has organized, or co-organized with WHO regional offices and hosting governments, seven such workshops in Botswana, Egypt, Fiji, Kuwait, Myanmar, Panama, Sri Lanka and Turkmenistan.

⁴ Sustainable Measures Working Group Report to COP, Document FCTC/COP7/18

19. The Convention Secretariat is working with the United Nations Development Programme (UNDP), the World Bank and WHO in the development of a methodological tool to assess the economic impact of tobacco use and the cost of implementing the WHO FCTC.

ASSISTANCE TO PARTIES THROUGH COORDINATION AND COLLABORATION WITH OTHER ENTITIES IN ORDER TO MAXIMIZE GLOBALLY AVAILABLE RESOURCES

Collaboration with Academia and other Health Institutions: Knowledge Hubs and Observatories

20. Following various COP6 decisions, including the workplan and budget for the 2016–2017 biennium, the Convention Secretariat has identified six institutions in the six WHO Regions for the establishment of Knowledge Hubs. For details, please see the Performance report for the 2014–2015 workplan and budget (FCTC/COP/7/22).

21. Knowledge Hubs assist Parties in the implementation of the treaty by analyzing, synthesizing, sharing and disseminating to the Parties knowledge and information relating to matters under their expertise in relation to the Convention in accordance with Article 22. Furthermore, on occasion they will be asked to provide direct assistance to Parties in their area of expertise.

22. Start-up funding for this project was obtained under the European Union Contribution Agreement with the Convention Secretariat. However, once established, the responsible institutions (e.g., academic institutions, government-based agencies, etc.) should not only have relevant expertise and capacity to support the hubs, but should also seek to dedicate resources to ensure their long-term sustainability.

23. The Convention Secretariat will coordinate with the hubs on their assistance to Parties and will also facilitate communication and collaboration between them. Specifically, the Convention Secretariat will provide the hubs, on a centralized server, with individual web pages, including communication platforms, to assist in their dissemination of material.

24. The Convention Secretariat has also engaged in establishing tobacco industry monitoring centres (Observatories), in selected academic institutions of the Parties, with in-site support from the EU. The first such Observatory was established by FIOCRUZ in Brazil (launched in March 2016) and two additional Observatories are in the process of being established, at Sefako Makgatho Health Sciences University in Pretoria, South Africa and at the University of Colombo, Sri Lanka. The role of the Observatories is to act as regional/subregional sentinels in monitoring tobacco industry strategies and tactics in the country in which they are based, but also regionally, and to share such information globally. This information will be available to governments and civil society for policy making and advocacy. It will also assist all Parties to the Convention to better protect themselves against tobacco industry interference by learning about the behaviour of the tobacco industry, including interference with public health policies. The Convention Secretariat will also provide an initial EU seed grant to the Observatories. However, once established, the responsible institutions should seek to dedicate resources to ensure the long-term sustainability of their functions.

Cooperation with intergovernmental organizations (IGOs)

25. The main focus for cooperation with IGOs is through official links with organizations which were granted observer status to COP⁵. In this regard, the Convention Secretariat is working with UN agencies, including WHO, as well as with regional and international organizations accredited to COP to further strengthen multisectoral technical support and assistance to Parties.

⁵ <http://www.who.int/fctc/cop/observers>

26. Additional approaches include some international frameworks for cooperation, as presented in the relevant COP7 document⁶. These include specialized assistance by the United Nations Inter-Agency Task Force for the Prevention and Control of Noncommunicable Diseases (UNIATF), where the Convention Secretariat has been an independent member since its establishment, working with other members in the drafting and implementation of the UNIATF workplan. The Convention Secretariat participates in all meetings of the UNIATF and ensures that activities related to the implementation of the Convention are carried out. Once a year, a full day from the UNIATF meeting is devoted to treaty implementation and coordinated by the Convention Secretariat in cooperation with WHO. The Convention Secretariat has also recently become a member of the WHO Global Coordination Mechanism on prevention and control of Noncommunicable Diseases (WHO GCM/NCD).

27. The Convention Secretariat works closely with UNDP and has advocated at country level for the creation of a working group within the UN country team, which would offer multisectoral assistance and support to national governments from the UN agencies and intergovernmental observers to COP in the countries concerned. The Convention Secretariat and UNDP jointly developed action points for the UN Resident Coordinators and the UN Country Teams to support implementation of target 3.a of the Sustainable Development Goals (SDGs), on strengthening implementation of the Convention and promoting its inclusion in national development and health plans. The Convention Secretariat is engaged in cooperative work with individual UN agencies such as the Food and Agriculture Organization (FAO) on Articles 17 and 18, the International Labour Organization (ILO) on tobacco sector employment including child labour, UNDP on Article 5.2, needs assessment missions, and UN Women on tobacco and gender, amongst others.

Cooperation with Civil Society

28. The Convention Secretariat recognizes the importance of its partnerships with civil society and cooperates with NGOs through official links with organizations which were granted observer status to COP⁷. The Convention Secretariat utilizes a variety of forums to engage with NGO observers. Regular teleconferences and contacts are held with Corporate Accountability International, the Union and the Framework Convention Alliance on Tobacco Control, to discuss their contributions to implement COP workplans. Recently, the Southeast Asia Tobacco Control Alliance (SEATCA), the European Network for Smoking and Tobacco Prevention (ENSP), the Campaign for Tobacco-Free Kids (CTFK), the World Heart Foundation (WHF), the Union for International Cancer Control (UICC) and the World Federation of Public Health Associations (WFPHA) engaged with the Secretariat to share their plans on tobacco control. Additionally, informal meetings with relevant NGOs are held on the sidelines of other FCTC-related meetings and in meetings that the Secretariat participates in, to identify areas of joint interest. The Secretariat also participates in civil society meetings.

29. In most cases civil society groups are composed of highly motivated, well-trained and committed networks of organizations and individuals. Civil society can provide meaningful technical expertise, materials, networks, connections and resources to assist Parties in mobilizing public opinion, advocating policy change and working on behalf of the most vulnerable. The Convention Secretariat works very closely with civil society, and will continue to do so, to coordinate efforts to assist Parties in the implementation of the WHO FCTC.

⁶ Please also refer to document FCTC/COP7/16 International cooperation for implementation of the WHO FCTC, including implementation of the 2030 Agenda for Sustainable Development, the global NCD targets and human rights

⁷ [igo/en/ http://www.who.int/fctc/cop/observers_ngo/en/](http://www.who.int/fctc/cop/observers_ngo/en/)

Coordinating assistance between Parties: Promotion of South-South and Triangular cooperation⁸

30. At its first session (Geneva, Switzerland, 6–17 February 2006), the COP requested the Convention Secretariat to promote south-south cooperation in the exchange of scientific, technical and legal expertise to implement the Convention. Since then, the Convention Secretariat has continued to work to promote this type of assistance.

31. In September 2015, the Convention Secretariat in collaboration with the UNDP organized a south-south and triangular cooperation meeting in Montevideo, Uruguay. Parties that had undergone needs assessment exercises (conducted by the Convention Secretariat) were invited to participate. Parties with identified needs, as well as other entities such as international nongovernmental organizations (NGOs) and Knowledge Hubs that could provide assistance in addressing these needs, were also invited. Twenty-two Parties from all six Regions participated in the event. As a result of this meeting, eight cooperation projects were identified and six have been undertaken so far. The Convention Secretariat used EU funds to provide some seed funding for these projects, which we hope will result in long-term collaboration (FCTC/COP/7/17).

Implementation of the WHO FCTC as a development issue

32. The implementation of the WHO FCTC is a key element of the 2030 Agenda for Sustainable Development. The fact that the implementation of the WHO FCTC has been included as target 3.a of the health and wellbeing target of the SDGs reflects a recognition of this link and provides important momentum for increasing the commitment of Parties and the UN system to countering this public health threat.

33. The implementation of the treaty will help achieve other SDGs, on poverty, gender equality, reduced inequalities and economic growth. COP7 agenda items also include consideration of gender⁹ as an issue that cuts across issues in treaty implementation and is also key to the 2030 Agenda for Sustainable Development. The Convention Secretariat is working within the UN system, in particular with UNDP, to reach out for development resources for the implementation of the WHO FCTC and work to develop a strategy to strengthen and monitor the international efforts towards achievement of target 3.a.

34. The Addis Ababa Action Agenda was adopted at the Third International Conference on Financing for Development (Addis Ababa, Ethiopia, 13–16 July 2015). The Action Agenda establishes a strong foundation to support implementation of the 2030 Agenda for Sustainable Development. It provides a new global framework to finance sustainable development and includes a comprehensive set of policies, including increases in tobacco taxes in order to support the SDGs. The Convention Secretariat, together with other UN agencies, is aligning efforts with this initiative to support Parties and to provide technical assistance for tax increases as a solution both to reduce tobacco use and to provide funding for development.

ACTION BY THE CONFERENCE OF THE PARTIES

35. The COP is invited to note this report and provide further guidance.

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⁸ Please also refer to Document FCTC/COP/7/17 South-South and Triangular cooperation

⁹ Addressing gender-specific risks when developing tobacco control strategies *Document FCTC/COP/7/14*