



WHO FRAMEWORK CONVENTION
ON TOBACCO CONTROL

CONFERENCE OF THE PARTIES TO THE
WHO FRAMEWORK CONVENTION ON TOBACCO CONTROL

FCTC/COP/9/12
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Provisional agenda item 6.1

Performance and progress reports

Report by the Convention Secretariat

Purpose of the document

This report presents to the Conference of the Parties (COP) to the WHO Framework Convention on Tobacco Control (WHO FCTC) the following:

- (a) Performance Report for the 2018–2019 Workplan and Budget.
- (b) Interim Performance Report for the 2020–2021 Workplan and Budget.

Action by the Conference of the Parties

The COP is invited to note this report.

Contribute to the Sustainable Development Goals (SDGs), if applicable: SDG 3 and Target 3.a.

Link to the workplan and budget item: N/A.

Additional financial implications if not included in the workplan and budget: None.

Related document(s): FCTC/COP/9/13, FCTC/COP/9/14 and FCTC/COP/9/INF.DOC./1.

PERFORMANCE REPORT FOR THE 2018–2019 WORKPLAN AND BUDGET

1. This Performance Report includes a description of activities conducted by the Convention Secretariat during the 2018–2019 biennium to support the implementation of the WHO Framework Convention on Tobacco Control (WHO FCTC). It also contains information on the financial implementation of the Workplan and Budget for the financial period 2018–2019, which was adopted by the Seventh Session of the Conference of the Parties (COP7) to the WHO FCTC in decision FCTC/COP7(24). The report follows the structure of the approved Workplan and Budget.

PART I. WHO FRAMEWORK CONVENTION ON TOBACCO CONTROL

1. CONFERENCE OF THE PARTIES

1.1 Conference of the Parties

2. The Eighth Session of the Conference of the Parties (COP8) was held from 1 to 6 October 2018 in Geneva and was attended by over 1200 participants, comprising delegations from 148 Parties and including representatives of United Nations agencies, other international intergovernmental organizations (IGOs) and nongovernmental organizations (NGOs). The Convention Secretariat organized for COP8 a first-ever High-level Segment, with the theme of Tobacco Control and Global Climate Action.¹

3. Twenty-four decisions were adopted at COP8, covering a wide range of important issues to further promote implementation of the WHO FCTC, which can be found on the Convention Secretariat website.² Of these, four were on proceedings of the Conference of the Parties (COP),³ six were related to treaty instruments and technical matters,⁴ two were related to the reporting of implementation assistance and international cooperation,⁵ and 12 were on budgetary and institutional matters.⁶

4. The Convention Secretariat developed, under the guidance of the COP Bureau, the *Information Kit for Delegates to the Conference of the Parties to the WHO FCTC*, which is available online in all six official United Nations languages.⁷

5. The Convention Secretariat conducted two visits to The Hague, Netherlands. The second visit took place in October 2019, during which the proposed conference venue, hotels and other logistics were mapped according to the requirements of the Ninth Session of the Conference of the Parties (COP9). After the visit, the Convention Secretariat and the Government of the Netherlands finalized the

¹ Minister Grace Maria Fernandes Mendonça, Attorney-General of Brazil; Ms Anne Bucher, Director-General of DG SANTE, European Union.

² <https://fctc.who.int/who-fctc/governance/conference-of-the-parties/decisions-of-the-conference-of-the-parties-to-the-who-fctc>.

³ FCTC/COP8(1), FCTC/COP8(2), FCTC/COP8(23), FCTC/COP8(24).

⁴ FCTC/COP8(15), FCTC/COP8(17), FCTC/COP8(18), FCTC/COP8(19), FCTC/COP8(21), FCTC/COP8(22).

⁵ FCTC/COP8(16), FCTC/COP8(20).

⁶ FCTC/COP8(3), FCTC/COP8(4), FCTC/COP8(5), FCTC/COP8(6), FCTC/COP8(7), FCTC/COP8(8), FCTC/COP8(9), FCTC/COP8(10), FCTC/COP8(11), FCTC/COP8(12), FCTC/COP8(13), FCTC/COP8(14).

⁷ <https://vivello.ch/fctc/>.

Host Agreement, which was signed on 12 March 2020 at The Hague, in the presence of the State Secretary for Health, Ministry of Health of the Netherlands and the Head of the Convention Secretariat .

1.2 Conduct of COP8 Bureau meetings and support provided to the Bureau

6. The third COP7 Bureau meeting took place from 3 to 6 April 2018. The Bureau discussed the organization of COP8 and approved the COP8 provisional agenda and the theme of both the General Debate and the High-level Segment. The Bureau also reviewed the initial draft 2020–2021 Workplan and Budget and provided guidance on other important matters. The first meeting of the Bureau elected by COP8 took place on 12–13 March 2019 and adopted its Workplan in accordance with the COP Rules of Procedure and the decisions adopted by COP8. The second meeting of the COP8 Bureau took place on 26–27 September 2019.

2. PROTOCOLS, GUIDELINES AND OTHER POSSIBLE INSTRUMENTS FOR IMPLEMENTATION OF THE CONVENTION

2.1 Intergovernmental working/expert groups

WORKING GROUP ON MEASURES TO STRENGTHEN IMPLEMENTATION OF THE CONVENTION THROUGH COORDINATION AND COOPERATION

7. The Working Group on Measures to Strengthen Implementation of the Convention through Coordination and Cooperation continued its work in 2018. Key facilitators of the group held regular teleconferences, and two rounds of consultations among the Parties to the Convention were carried out. During these consultations, Parties were requested to provide feedback on drafts of the Medium-term Strategic Framework (MTSF) as elaborated by the Working Group.

8. The second meeting of the Working Group took place in London upon invitation by and support from the Government of the United Kingdom of Great Britain and Northern Ireland, and hosted by Cancer Research UK, an accredited NGO observer to the COP. During the meeting, the Working Group further discussed the MTSF and agreed on a version that could be presented to COP8. Key facilitators developed the report of the Working Group to COP8. Additional information materials were developed to promote the MTSF and its content among the Parties.

EXPERT GROUP ON ARTICLES 9 AND 10 (REGULATION OF CONTENTS AND DISCLOSURE OF TOBACCO PRODUCTS, INCLUDING WATER PIPE, SMOKELESS TOBACCO AND HEATED TOBACCO PRODUCTS)

9. Further to decision FCTC/COP8(21) and following a call for nominations issued to the Parties, the Convention Secretariat received nominations for the Expert Group on Articles 9 and 10 of the WHO FCTC (Regulation of contents and disclosure of tobacco products, including water pipe, smokeless tobacco and heated tobacco products). Membership of this Expert Group can be found on the website of the Convention Secretariat.¹

¹ https://www.who.int/fctc/treaty_instruments/groups/COP_UPDATE_JUNE_2020_composition_WG_EG.pdf?ua=1.

10. The meeting of the Expert Group on Articles 9 and 10, tasked with examining the reasons for low implementation of the articles and their related partial guidelines, took place from 21 to 22 November 2019 in Bilthoven, Netherlands, hosted by the Government of the Netherlands at the National Institute for Public Health and the Environment (RIVM).

11. Additionally, and as requested by decision FCTC/COP8(21), the Convention Secretariat in cooperation with the World Health Organization (WHO) held a face-to-face meeting on cigarette ventilation, hosted by the Netherlands in Bilthoven on 18–19 November 2019, to review the latest scientific evidence on the impact of cigarette ventilation on cigarette use.

EXPERT GROUP ON TOBACCO ADVERTISING, PROMOTION AND SPONSORSHIP: DEPICTION OF TOBACCO IN ENTERTAINMENT MEDIA

12. The Expert Group on Tobacco Advertising, Promotion and Sponsorship met in New Delhi, India, from 26 to 27 March 2018. During this meeting, the Expert Group reviewed its terms of reference and previous decisions on cross-border tobacco advertising, promotion and sponsorship (TAPS), reviewed relevant evidence and experience on controlling cross-border TAPS and TAPS in entertainment media, and identified gaps in knowledge. This meeting enabled the Expert Group to finalize its report to COP8.¹

WORKING GROUP TO DEVELOP SPECIFIC GUIDELINES TO ADDRESS CROSS-BORDER TOBACCO ADVERTISING, PROMOTION AND SPONSORSHIP AND THE DEPICTION OF TOBACCO IN THE ENTERTAINMENT MEDIA UNDER ARTICLE 13 OF THE WHO FCTC

13. Further to decision FCTC/COP8(17) and following a call for nominations issued to the Parties and observers, the Convention Secretariat received nominations for the Working Group to Develop Specific Guidelines to Address Cross-border Tobacco Advertising, Promotion and Sponsorship (TAPS) and the Depiction of Tobacco in the Entertainment Media under Article 13 of the WHO FCTC. Membership of this Working Group can be found on the website of the Convention Secretariat.²

14. The first meeting of the Working Group took place in Mauritius from 30 October to 1 November 2019. At this meeting, the members and observers to the Working Group reviewed the COP8 decision, and they discussed the structure and elements to be considered for the content of the specific guidelines under Article 13 of the WHO FCTC. The Working Group requested its key facilitators to prepare a draft text of the specific guidelines under Article 13 of the WHO FCTC to be discussed at its second meeting, which took place in Brazil in April 2020.

3. REPORTING AND EXCHANGE OF INFORMATION

3.1 Support for Parties in fulfilling their reporting obligations and global progress reports on implementation of the Convention

15. The Convention Secretariat carried out the 2018 reporting cycle (1 January to 31 March 2018) using the WHO FCTC Reporting Platform. New information was provided online by most of the Parties,

¹ <https://fctc.who.int/who-fctc/governance/conference-of-the-parties/eighth-session-of-the-conference-of-the-parties/main-documents/fctc-cop-8-7-expert-group-on-tobacco-advertising-promotion-and-sponsorship-depiction-of-tobacco-in-entertainment-media>.

² <https://fctc.who.int/who-fctc/governance/working-and-expert-group/intersessional-groups-mandated-by-cop8>.

including full reports submitted by 142 Parties. After the closure of the reporting cycle and before COP8, 13 additional reports were received by the Convention Secretariat. Six Parties submitted information on the additional questions on the use of implementation guidelines adopted by the COP.

16. Using the information from the reports of the Parties, the Convention Secretariat prepared the *2018 Global Progress Report on Implementation of the WHO Framework Convention on Tobacco Control*.¹ Parties' reports are also available in the WHO FCTC implementation database.² The Global Progress Report was formally launched at COP8 on 1 October 2018 by the President of the COP.³

17. A set of diverse publications was published prior to COP8, and some of these were launched during the meeting. These publications cover various WHO FCTC articles, such as Articles 5.3, 13, 17 and 18, as well as a toolkit on Article 5.2, integration of tobacco control into programmes on the control of tuberculosis and HIV/AIDS, and the global status of plain packaging. Other publications prepared include one on the environmental footprint of tobacco that was launched at COP8, and two technical papers that were prepared to support discussions at COP8: one on the regulation of water pipes, and the other on gender-responsive tobacco control.

18. The findings of the WHO FCTC Impact Assessment were disseminated through the publication of a supplement in the journal *Tobacco Control* in June 2019, containing a series of nine scientific papers. This supplement provides a snapshot of the status of WHO FCTC implementation in 2016, with an overview of the progress and impact of the WHO FCTC in its first 10 years. These papers cover the analysis of the general impact of the Convention and its various articles, as well as cross-cutting issues on tobacco control. It is available at no cost on the website of BMJ Journals, a global health-care knowledge provider.⁴

19. The Convention Secretariat announced through two notes verbales the launch of the 2020 reporting cycle; one was sent in April 2019 and another in November 2019, providing further instructions for accessing the reporting platform. The cycle was launched in mid-December 2019 with an invitation to update the WHO FCTC questionnaire sent to the designated WHO FCTC Focal Point of each Party.

3.2 Exchange of information, including transfer of expertise and technology

20. The WHO FCTC coordination platform has been widely promoted in every relevant workshop or bilateral meeting. Information technology maintenance and support was provided, with special attention to the specific platforms for the Implementation Database and the WHO FCTC Knowledge Hubs. News updates, highlighting advances in implementation of the WHO FCTC by the Parties, have been published periodically in the database.

21. On 15–16 May 2018, WHO and the Convention Secretariat conducted a face-to-face meeting on Tobacco Addictiveness Reduction Measures in Berlin, Germany, in accordance with Decision FCTC/COP7(14). The main purpose of the meeting was to consider the current and emerging knowledge base, and to explore the potential benefits and challenges of developing and implementing regulatory interventions to reduce the addictiveness of tobacco products, in particular the conditions that

¹ <https://fctc.who.int/publications/m/item/2018-global-progress-report>.

² <https://untobaccocontrol.org/impldb/>.

³ <https://fctc.who.int/newsroom/news/item/01-10-2018-new-report-on-global-progress-in-implementation-of-tobacco-control-treaty>.

⁴ https://tobaccocontrol.bmj.com/content/28/Suppl_2.

would support or impede success in doing so. These discussions formed the basis of a report, cited in the Progress Report on Technical Matters Related to Articles 9 and 10 of the WHO FCTC to COP8 (FCTC/COP/8/8).¹

22. In accordance with decision FCTC/COP7(4), the Convention Secretariat in collaboration with the WHO FCTC Knowledge Hub on Waterpipe Tobacco Smoking produced a report summarizing the global regulatory practices for water pipe use. This report also identified gaps in evidence on such practices and provided key observations for the development of future policies that are aimed at regulating and controlling water pipe use.²

3.3 Knowledge management

23. The seven WHO FCTC Knowledge Hubs carried out a series of activities to support Parties. The WHO FCTC Knowledge Hubs continue to share on their websites, as well as through a dedicated newsletter prepared by the Convention Secretariat, news concerning their publications and resources, as well as on the activities they carry out or participate in to support the Parties in their comprehensive implementation of the WHO FCTC.³ A meeting of the Knowledge Hubs took place on the sidelines of the World Conference on Tobacco or Health in March 2018, where the Hubs exchanged views on how to integrate better implementation of Articles 5.3 and 20 in their work. The Hubs also issued a collective statement clarifying that they will not accept any support from the Philip Morris International-funded Foundation for a Smoke-Free World and will not work with any partners that accept such funding.

24. The fourth meeting of managers of the Knowledge Hubs, providing a platform for information exchange and mutual learning, took place 13–14 May 2019 in Bangkok, Thailand. The meeting addressed pertinent managerial issues, including the review of workplans, and aimed at increasing the effectiveness and cost-efficiency of the work of and coordination between the Hubs.

25. The work of the knowledge hubs is recognized under Strategic Objective 2.1 of the *Global Strategy to Accelerate Tobacco Control: Advancing Sustainable Development through the Implementation of the WHO FCTC 2019–2025*, which urges efforts to “strengthen the role of the Knowledge Hubs in assisting the Parties” and introduces a new indicator to measure such assistance. The Knowledge Hubs were requested to reflect this indicator, for the first time, in their 2018 reports, indicating the number of Parties assisted by the Knowledge Hubs during 2018. Besides collecting and reviewing technical and financial reports submitted by the Knowledge Hubs for 2018 and 2019, the Convention Secretariat also reviewed the proposed workplans of the Knowledge Hubs for the 2020–2021 biennium to ensure they are in line with COP decisions and the Convention Secretariat’s biennial workplan and budget.

¹ <https://apps.who.int/iris/handle/10665/274955>.

² <https://fctc.who.int/publications/m/item/an-overview-of-global-regulatory-practices-in-controlling-waterpipe-tobacco-use>.

³ <https://fctc.who.int/coordination-platform/knowledge-hubs/news>.

26. A report on country best practices in the implementation of Article 14 of the WHO FCTC¹ and another report on implementation of Article 17 of the WHO FCTC² were published and are available on the Convention Secretariat website.

4. ASSISTANCE TO PARTIES IN IMPLEMENTING SPECIFIC PROVISIONS OF THE CONVENTION, WITH PARTICULAR FOCUS ON DEVELOPING COUNTRY PARTIES AND PARTIES WITH ECONOMIES IN TRANSITION

4.1 FCTC 2030 project

27. Support to WHO FCTC Parties eligible to receive official development assistance (ODA) continued under the FCTC 2030 project. Intensive support was provided to the 15 selected FCTC 2030 Parties for Phase 1.³ Needs assessment missions were conducted in Madagascar, Myanmar and Samoa, and a needs assessment report handover mission took place in Sierra Leone. In addition, WHO FCTC investment case briefing missions took place in Cambodia, Madagascar, Myanmar, Nepal and Samoa, and WHO FCTC investment case handover missions took place in Cabo Verde, Cambodia, Colombia, Chad, El Salvador, Jordan, Georgia, Madagascar, Myanmar, Samoa, Sierra Leone, Sri Lanka and Zambia.⁴ Through the FCTC 2030 project, Parties are provided with support to implement the WHO FCTC with a focus on Articles 5, 6, 8, 11 and 13.

28. The 2018 annual planning meeting for all FCTC 2030 project countries took place in March 2018 in Cape Town, South Africa, which also included training on tobacco taxation. The 2019 annual planning workshop took place in El Salvador from 20 to 22 March 2019 with participants from the 15 FCTC 2030 countries. Organizations providing support under the project also participated in the meeting, which included three international intergovernmental organizations, two WHO FCTC Knowledge Hubs and five NGOs. A parliamentarians' forum for FCTC 2030 countries was organized in Georgia from 10 to 11 April 2019. The objectives of the forum were to support parliamentary capacity-building in FCTC 2030 Parties to prioritize, adopt and oversee the enforcement of new and amended national tobacco control laws, and to build the capacity of parliamentarians to address the complexities of tobacco industry interference.

29. The Convention Secretariat in partnership with the United Nations Development Programme (UNDP) jointly published toolkits for Parties to implement Article 5.1⁵ and Article 5.2(a)⁶ of the WHO FCTC. WHO FCTC investment cases that have been developed are made available for downloading on the website of the Convention Secretariat. Based on these toolkits, as a delivery partner in the FCTC 2030 project, UNDP offices at the global, regional and country levels have been supporting FCTC 2030 Parties to develop national tobacco control strategic plans and to establish new or strengthen existing national multisectoral tobacco control coordination mechanisms. Assistance has been provided

¹ <https://fctc.who.int/publications/country-examples-case-studies-and-good-practices/good-country-practices-in-the-implementation-ofwho-fctc-article-14-and-its-guidelines>.

² <https://fctc.who.int/publications/country-examples-case-studies-and-good-practices/country-practices-in-the-implementation-of-article-17>.

³ <https://fctc.who.int/who-fctc/development-assistance/fctc-2030>.

⁴ <https://fctc.who.int/who-fctc/development-assistance/investment-cases>.

⁵ <https://www.undp.org/publications/national-tobacco-control-strategies>.

⁶ https://fctc.who.int/librariesprovider12/default-document-library/national-coordinating-mechanism-for-tobacco-control.pdf?sfvrsn=e6fe734d_1.

to several countries including Cabo Verde, Cambodia, Chad, Egypt, El Salvador, Jordan, Madagascar, Myanmar, Nepal, Sri Lanka and Zambia.

30. The Convention Secretariat also worked with UNDP to develop an issue brief *Integrating Tobacco Control into Tuberculosis and HIV Responses: Implementing the WHO Framework Convention on Tobacco Control* to address comorbidities. The brief was launched during the United Nations General Assembly High-level Meeting on Ending Tuberculosis on 26 September 2018 in New York City as a model for aligning work for tuberculosis, HIV and noncommunicable diseases (NCDs).

31. In collaboration with WHO through the FCTC 2030 project, the Convention Secretariat supported a Regional Workshop for Capacity-building in Tobacco Cessation in South-East Asia in New Delhi, India, from 23 to 24 April 2018; an Expert Consultation to Inform the Development of a Regional Action Plan for Tobacco Control in the Western Pacific Region in Manila, Philippines, from 12 to 13 February 2019; a Workshop on Enforcement of Tobacco control Legislation in the Eastern Mediterranean Region in Cairo, Egypt, from 8 to 10 April 2019; and a Technical Workshop on Tobacco Plain Packaging held in Bangkok, Thailand, from 10 to 12 December 2019.

32. In collaboration with WHO FCTC Knowledge Hubs, the Convention Secretariat supported representatives from FCTC 2030 countries (Georgia, Myanmar, Samoa, Sri Lanka and Sierra Leone) to attend the July 2019 and November 2019 workshops organized by the WHO FCTC Knowledge Hub on Tobacco Taxation and Illicit Trade in Cape Town, South Africa, and they supported representatives from Myanmar, Nepal, Sri Lanka and Zambia to attend legal training organized by the WHO FCTC Knowledge Hub on Legal Challenges in 2018 and 2019.

33. The Convention Secretariat began planning for Phase 2 of the FCTC 2030 project at the end of 2019. A call for expressions of interest was published to encourage WHO FCTC Parties eligible to receive ODA to submit applications. Selection of Phase 2 countries was scheduled to be announced in February 2020.

4.2 Needs assessments and promotion of access to available resources and mechanisms of assistance

34. For Parties that are not FCTC 2030 project countries, the Convention Secretariat conducted needs assessment missions upon request from the governments of Sudan (19–22 March 2018), the Philippines (7–11 May 2018), Lithuania (6–7 June 2018), Timor-Leste (27–31 August 2018), Niger (8–12 April 2019), Paraguay (6–10 May 2019) and Senegal (8–12 July 2019). The Convention Secretariat also provided support to implement the post-assessment activities according to priority areas identified during these needs assessment missions.

4.3 Support for Parties engaged in legal action, including in line with Article 19, and trade, investment and other legal challenges to implementation of the Convention

35. In decision FCTC/COP8(18), COP8 requested the Convention Secretariat to comply with decision FCTC/COP7(11), which mandated the Convention Secretariat, among other things, to “develop a database of experts and institutions that can provide Parties, upon request, with technical assistance related to tobacco industry liability”, as well as to “prepare, maintain and make available to Parties a comprehensive list of the existing legal resources that may assist Parties in dealing with all forms of liability and other legal challenges where necessary”. In document COP/Bureau8/2/5, the Convention Secretariat submitted to the Second Meeting of the Bureau elected by COP8 a proposal to comply with

the mandate, while addressing the need to maintain its institutional (actual and perceived) neutrality and objectivity. The Convention Secretariat has begun implementing the proposed approach, as adopted by the Bureau, to collect nominations by the Parties of public experts and institutions for the database of experts, and recommendations by the Parties of resources related to liability and other legal challenges.

36. In March 2018, the Convention Secretariat launched the *Article 19 Civil Liability Toolkit*. The toolkit website consists of an interactive guide for people affected by tobacco use, health-care providers, insurers, NGOs and lawyers who want to take legal action against the tobacco industry. The toolkit provides various scenarios that can be adapted so that they best suit the context of the situation of the users of the tool.¹

4.4 Supporting Parties to pursue economically sustainable alternatives to tobacco growing (in relation to Articles 17 and 18 of the WHO FCTC)

37. Under the FCTC 2030 project, the Convention Secretariat at COP8 launched the report *Cigarette smoking: an assessment of tobacco's global environmental footprint across its entire supply chain, and policy strategies to reduce it*.² The report outlines systematically for the first time the substantial impact of cigarette smoking on the environment and on sustainable development. A High-level Segment on Tobacco Control and Global Climate Action was also held at COP8 to raise awareness of the environmental impacts of tobacco.³

38. The Convention Secretariat is involved, as part of the United Nations Interagency Task Force on the Prevention and Control of Non-communicable Diseases (UNIATF) Thematic Group on Tobacco Control, in discussions exploring ideas around a United Nations-led global Joint Programme on Alternative Livelihoods to Tobacco. A toolkit for Parties is being developed as part of this project.

39. Arrangements were also made at the end of 2019 to establish the WHO FCTC Knowledge Hub for Articles 17 and 18 in Brazil.

4.5 Support to Parties in implementing Article 5.3

40. The WHO FCTC Knowledge Hub for Article 5.3 and the tobacco industry observatories have continued monitoring Article 5.3 of the WHO FCTC implementation by Parties, as well as the tobacco industry interference in public health policies. This Knowledge Hub publishes bimonthly online reports (e-updates) on the assistance provided to the Parties on Article 5.3, as well as news related to Parties' initiatives and information about the observatories' tobacco industry monitoring work. The three observatories, based in Brazil, South Africa and Sri Lanka, continue to update information through their websites on the activities of the tobacco industry, with specific focus on their host country and region.

41. The second capacity-building workshop in which the Knowledge Hub for Article 5.3 participated took place in Beirut, Lebanon, in February 2018, where representatives of Parties from the Eastern Mediterranean Region came together to learn how to build national programmes for the implementation

¹ <http://untobaccocontrol.org/impldb/tobacco-control-toolkit/#/>.

² <https://fctc.who.int/newsroom/news/item/02-10-2018-new-report-from-the-secretariat-of-the-who-fctc-demonstrates-how-smoking-destroys-the-environment-and-undermines-sustainable-development>.

³ <https://fctc.who.int/newsroom/news/item/01-10-2018-who-fctc-cop8-spotlight-on-environment-in-tobacco-control-talks-in-geneva>.

of Article 5.3. The meeting was co-organized by WHO Regional Office for the Eastern Mediterranean and the Convention Secretariat.

42. The Convention Secretariat commissioned several reports to document best practices and international developments related to Article 5.3. In January 2018, a report was published on *Good country practices in the implementation of WHO FCTC Article 5.3 and its guidelines*.¹ Another report highlights the opportunities within the Guidelines on cooperation between the United Nations and the business sector and the United Nations Global Compact to support Parties in establishing strong policies to protect their tobacco control programmes and policies from the commercial and other vested interests of the tobacco.²

43. *The Guide for Parties to the WHO FCTC on How to Conduct Industry Monitoring*, jointly developed by the WHO FCTC Knowledge Hub for Article 5.3 and the Convention Secretariat, was launched in September 2018. The guide reflects the importance given to tobacco industry monitoring by the Guidelines for Implementation of Article 5.3, considered “essential for ensuring the introduction and implementation of efficient tobacco control policies”. The Guide has been translated into six United Nations official languages and is available online.³

44. An informal meeting of experts to support the work of the COP on Article 5.3 was organized by the Knowledge Hub for Article 5.3 in May 2019 in Thailand. The aim of the meeting was to facilitate increased action to strengthen implementation of Article 5.3 and the Guidelines for Implementation and to counter the tobacco industry interference at the global, regional and country levels. Subsequently, the Convention Secretariat participated in the International Meeting on Strengthening the Whole-of-Government Approach to Counter Tobacco Industry Interference, organized by the Global Center for Good Governance in Tobacco Control. The objective of the meeting was to promote greater communication and engagement among all government sectors from Parties to increase awareness and implementation of Article 5.3 of the WHO FCTC.

45. Support to Parties on implementing Article 5.3 continues to be provided in collaboration with the WHO FCTC Knowledge Hub for Article 5.3. Furthermore, upon request by the Parties, the Knowledge Hub provided assistance to Bangladesh and Ukraine to conduct tobacco industry monitoring projects.

46. The Convention Secretariat and the WHO FCTC Knowledge Hub for Article 5.3 participated in a meeting in November 2019 organized by the Pan American Health Organization (WHO Regional Office for the Americas) on development of an indicator to monitor the protection of tobacco control policies against the interference of the tobacco industry as part of the *Strategy and Plan of Action to Strengthen Tobacco Control in the Region of the Americas 2018–2022*. The WHO FCTC Knowledge Hub for Article 5.3 is also finalizing an online course, which will help raise awareness of Article 5.3 and the Guidelines for Implementation, and help build and strengthen capacity of WHO FCTC Focal Points and other stakeholders in addressing tobacco industry interference.

¹ <https://fctc.who.int/publications/m/item/good-country-practices-in-the-implementation-of-who-fctc-article-5.3-and-its-guidelines>.

² <https://fctc.who.int/who-fctc/governance/conference-of-the-parties/eighth-session-of-the-conference-of-the-parties/supplementary-information/compatibility-of-the-united-nations-guidelines-on-cooperation-between-the-united-nations-and-the-business-sector-and-the-guiding-principles-on-business-and-human-rights-with-article-5.3-of-the-who-framework-convention-on-tobacco-control>.

³ <https://untobaccocontrol.org/impldb/wp-content/uploads/Guide-for-Parties-WHO-FCTC.pdf>.

4.6 Support to Parties in implementing Article 4.2(c) and (d)

47. Decision FCTC/COP7(12) requested the Convention Secretariat to invite WHO to prepare and submit a paper to COP8 that included: (a) further updates on the evidence on tobacco use and its consequences among girls and women, as well as boys and men, and with special attention to vulnerable groups, with respect to social determinants of health; (b) experiences from the Parties including opportunities and challenges in implementing gender-specific tobacco control policies; and (c) policy options to be considered by the Parties when developing and promoting gender-specific tobacco control policies, in line with WHO FCTC provisions, at the national level. This report was prepared by WHO and is accessible online.¹

5. COORDINATION WITH INTERNATIONAL AND REGIONAL INTERGOVERNMENTAL ORGANIZATIONS AND OTHER BODIES

5.1 Promoting international cooperation with emphasis on observers (IGOs and NGOs) to COP

48. The Convention Secretariat held a briefing for the Permanent Missions in Geneva in January 2018 on the issues related to the discussion in the 332nd Session of the Governing Body of the International Labour Organization (ILO) regarding a public–private partnership between ILO and the tobacco industry. The Convention Secretariat participated in the ILO Technical Meeting to Promote an Exchange of Views on the Further Development and Implementation of the Integrated Strategy to Address Decent Work Deficits in the Tobacco Sector, held in Kampala, Uganda on 3–5 July 2019.² At the 337th ILO Governing Body meeting, an historic decision was made to terminate private and public partnerships with the tobacco industry, following debates over four sessions of the Governing Body. The Convention Secretariat proactively followed the debate along with WHO, and it established cooperation with the International Labour Office of the ILO, Parties and key stakeholders.

49. The Convention Secretariat spoke at the United Nations Office at Geneva (UNOG) as part of World No Tobacco Day 2019 and congratulated UNOG for the launch of its smoking cessation programme for its staff members, as well as for its recent announcement of specific measures to strengthen its smoke and vape-free policy within its outdoor premises.³

50. The Convention Secretariat delivered a statement at the 41st Session of the Conference of the Food and Agriculture Organization (FAO) on the United Nations in June 2019 and reiterated its commitment to strengthening its existing collaboration with FAO and other international organizations in order to facilitate a systematic and comprehensive approach to implementation of Articles 17 and 18 of the WHO FCTC.⁴

¹ <https://fctc.who.int/who-fctc/governance/conference-of-the-parties/eighth-session-of-the-conference-of-the-parties/supplementary-information/gender-responsive-tobacco-control-evidence-and-options-for-policies-and-programmes>.

² <https://fctc.who.int/newsroom/news/item/02-07-2019-technical-meeting-to-promote-an-exchange-of-views-on-the-further-development-and-implementation-of-the-integrated-strategy-to-address-decent-work-deficits-in-the-tobacco-sector-kampala-uganda-3-5-july-2019>.

³ <https://fctc.who.int/newsroom/news/item/31-05-2019-convention-secretariat-joins-unog-to-celebrate-wntd2019-and-applauds-its-smoke-and-vape-free-policy-and-cessation-programme-for-staff>.

⁴ <https://fctc.who.int/newsroom/speeches/item/fao-conference-41st-session>.

51. A meeting on the role of regional integration groups in the implementation of the WHO FCTC and the Protocol to Eliminate Illicit Trade in Tobacco Products was held in Geneva from 7 to 8 November 2019 and attended by six regional integration organizations (Organisation of African, Caribbean and Pacific States; African Capacity Building Foundation; Gulf Cooperation Council; Organisation of Eastern Caribbean States; and Economic Cooperation Organization; and Southern African Customs Union).

5.2 Promotion of South–South and Triangular cooperation in the exchange of scientific, technical and legal expertise as relevant to the implementation of the Convention

52. During the first six months of 2018, activities of the South–South and Triangular cooperation projects initiated in the previous year have continued. As part of the South–South project on Article 6, a workshop on taxation was organized by the University of Cape Town in January 2018, and, as part of the project on Article 5.2, a mission from Brazil went to the Philippines to conduct training. With support from the FCTC 2030 project, Fiji hosted a study visit on enforcement for Samoa in October 2019; Singapore organized a study visit on enforcement for Sri Lanka in November 2019; Thailand participated in Myanmar’s plain packaging consultation workshop in December 2019; and Kenya provided technical support to Sierra Leone on application of tax stamps.

5.3 Coordination with the United Nations and the WHO global NCD agenda

53. The Convention Secretariat attended the 10th Meeting of the UNIATF on 20–21 February 2018 in Vienna, Austria. Members from 17 United Nations agencies discussed the work of the Thematic Working Group on Tobacco Control, including the *Model Policy for Agencies of the United Nations System on Preventing Tobacco Industry Interference*, establishment of the United Nations smoke-free campuses and, more generally, support for implementation of the 2030 Agenda for Sustainable Development, in particular Target 3.a (on implementation of the WHO FCTC) and promoting the entrance into force of the Protocol to Eliminate Illicit Trade in Tobacco Products.

54. The Convention Secretariat actively participated in the 11th UNIATF meeting that took place on 8–9 November 2018 in Geneva and was hosted by the World Intellectual Property Organization (WIPO). The meeting was attended by 24 United Nations agencies, programmes, funds and IGOs.

55. The Convention Secretariat participated in the 12th UNIATF meeting that took place on 6–7 March 2019 in New York, hosted by UNDP. The *Model Policy for Agencies of the United Nations System on Preventing Tobacco Industry Interference* was reiterated and information was collected from United Nations agencies on its implementation. The Task Force also received updates on progress in developing WHO FCTC investment cases. In addition, Task Force provided an update on its activities to integrate WHO FCTC into their broader Sustainable Development Goals (SDG) implementation plans. The tobacco thematic working group also agreed to take forward the opportunity to develop a joint programme on alternative livelihoods.

56. The Convention Secretariat participated in the 13th UNIATF meeting hosted by the World Food Programme (WFP) in Rome, Italy, on 22–23 October 2019, which was attended by 18 agencies. The Convention Secretariat and WHO presented an update on the work of the Thematic Working Group. There was evidence of progress on implementing the *Model Policy for Agencies of the United Nations System on Preventing Tobacco Industry Interference*. The Convention Secretariat presented the United Nations Secretary-General’s letter to heads of United Nations agencies on implementing the Model Policy and ensuring that the tobacco industry has no place in the SDGs. An update on the Convention Secretariat FCTC 2030 project was presented, with work on tobacco investment cases presented by the

Convention Secretariat. An update on the Joint Programme on Economically Sustainable Alternative Livelihoods for Tobacco Farmers was provided by FAO, ILO, UNDP, WHO and the Convention Secretariat. UNDP presented the tobacco control social impact bond feasibility study conducted for the Convention Secretariat in Zambia.

57. The Convention Secretariat supported the corresponding President of the COP to provide a written submission to the United Nations Economic and Social Council (ECOSOC) High-level Political Forum on the SDGs in 2018 and again in 2019.

58. On 17 October 2017, the Director-General of WHO announced the establishment of the WHO High-level Independent Commission on Noncommunicable Diseases to advise the Director-General on bold, forward-looking, innovative – but also practical – recommendations on how to accelerate progress towards SDG Target 3.4 on NCDs. As part of the work of the High-level Commission, a technical consultation with leading NCD experts was organized in March 2018. The Convention Secretariat participated in the meeting and stressed the importance of strengthening governance of global NCD work and promoted policy coherence among different government agencies.

59. In April 2018, the Convention Secretariat participated in the WHO Global Dialogue on Partnerships for Sustainable Financing of NCD Prevention and Control, jointly organized by the WHO Global Coordination Mechanism and the Government of Denmark. The meeting provided a good opportunity to explore innovative financing concepts for the financing of national NCD responses, and the Convention Secretariat introduced the concept of the Investment Case (document FCTC/COP/8/18), as well as drawing attention to the need to prevent tobacco industry conflicts of interest from occurring in the financing of NCDs.

5.4 Human rights

60. The Convention Secretariat contributed to the Global Forum on Human Rights and a Tobacco-Free World, held in Bucharest, Romania, on 26 March 2019, under the auspices of the Presidential Administration of Romania, and co-organized by Action on Smoking and Health (ASH), the European Network for Smoking and Tobacco Prevention (ENSP) and Healthy Romania Generation 2035 Association. During this event, the Head of the Convention Secretariat stressed the importance of developing a better understanding of the human rights dimensions of tobacco control and reaching out beyond traditional stakeholders to achieve the multifaceted, cross-sectoral objective of the WHO FCTC.

61. The Convention Secretariat shared its perspective on the dialogue between tobacco control and human rights at an event organized by ASH together with Vaagdhara on the margins of the 41st session of the Human Rights Council, convened between 14 June and 12 July 2019 in Geneva. The Convention Secretariat emphasized the mutually reinforcing nature of human rights and the WHO FCTC. The event raised awareness on the possibilities of using a human rights-based approach to tobacco control and discussed means to promote human rights within the United Nations human rights system, particularly the right to health.

5.5 Action in support of SDG Target 3.a

62. The Convention Secretariat, as co-custodian of Target 3.a and Indicator 3.a.1 – together with WHO – participated in the Ninth Meeting of the Inter-agency and Expert Group on SDG Indicators (IAEG-SDGs), held from 26 to 28 March 2019 in Beirut, Lebanon, where experiences on implementing monitoring of the SDGs were shared. After the meeting, the Convention Secretariat engaged with the Interlinkages Working Group and initiated discussions with partner countries that were already part of

the Working Group to contribute to the second report of the group, in order to describe how the WHO FCTC interacts with other SDGs.

6. ADMINISTRATION AND MANAGEMENT, AND OTHER ARRANGEMENTS AND ACTIVITIES

6.1 General administration and management

63. Information on the actions taken by the Convention Secretariat to collect Assessed Contributions (AC) is available in document FCTC/COP/9/14. The Convention Secretariat has undertaken great efforts in collecting arrears of AC. For the biennium, almost 97% of AC has been collected.

64. A number of positions and contracts have been issued. The long-term position of Programme Manager for the Convention was filled in March 2019. The selection process for two other long-term positions (CS Treaty Officer and Coordinator, Reporting and Knowledge Management) has been completed, and the selection process for another is ongoing (Senior Legal Officer).

65. The Convention Secretariat continued its fundraising efforts and prepared a follow-up document on fundraising strategies, including the Investment Fund concept.

66. Furthermore, the Convention Secretariat continued to make a sustained effort in realizing greater savings through increased efficiency and careful budget management. These include making the most efficient use of existing staff who are fully involved in various functions, outsourcing certain services to make them more cost-effective, reducing as much as possible the amount of travel, limiting the number of staff participating in meetings abroad, engaging in direct negotiations with suppliers to ensure better prices, making the best use of information technology and digital platforms to conduct virtual meetings and activities when appropriate, and adhering to a green policy, thus saving paper and photocopy costs.

6.2 Awareness raising, publications, website and web applications and implementation of the communications plan

67. The Convention Secretariat has continued efforts to update and restructure the WHO FCTC website. During the biennium, the Convention Secretariat uploaded 101 main stories, 13 secondary stories and 40 press releases on its website. The website recorded 1 114 882 visits¹ during the biennium. It also updated its social media pages on Facebook and Twitter and reactivated a YouTube channel. Traffic also increased on Twitter and Facebook. On Twitter, the Convention Secretariat earned 2486 followers and had 2 954 000 impressions.² Facebook earned 223 followers and posted content reached 78 100 people.³ Engagement also grew on the YouTube channel with 4500 views⁴ and 40 subscribers.

¹ A visit is defined as a visit to a website where at least one page has been loaded. This includes also media (PDF files and pictures).

² Impressions on Twitter is a total tally of all the times the Tweet has been seen. This includes not only the times it appears in one of your followers' timeline but also the times it has appeared in search or as a result of someone liking the Tweet.

³ Content reach is the number of people who saw any post at least once.

⁴ YouTube's definition of a view is a viewer initiated intentional play of a video.

68. To promote the entry into force of the Protocol to Eliminate Illicit Trade in Tobacco Products, the Convention Secretariat engaged in an online campaign that included posts on social media and web stories on the countdown to ratification by the 40th Party to the Protocol, which would mark its entrance into force.

69. During the 17th World Conference on Tobacco or Health, the Convention Secretariat developed and launched a communication strategy to promote COP8, the WHO FCTC and the ratification of the Protocol.¹

70. At the Sixty-ninth World Health Assembly a digital and live campaign for COP8 took place. It included promoting COP8 by utilizing “frames” delegates put around their faces for social media photos to promote COP8 among Health Assembly delegates and during high-level meetings.²

71. A leaflet about the work of the Convention Secretariat, another one on South–South and Triangular Cooperation, and fact sheets on needs assessment missions undertaken from 2013 to 2016 and on the work of IGOs to promote the implementation of the treaty were developed. For COP8 and for the First Session of the Meeting of the Parties (MOP1) to the Protocol to Eliminate illicit Trade in Tobacco Products, the Convention Secretariat developed a software application for portable devices and a social media toolkit, as well as a marketplace that included a booth for the WHO FCTC, with an animated infographic in the six United Nations official languages. The software application recorded some 2000 users.

72. An effort is underway to improve coordination of the implementation of the communications plan of the *Global Strategy to Accelerate Tobacco Control: Advancing Sustainable Development through the Implementation of the WHO FCTC 2019–2025*. Also, the communications plan for the 15-year anniversary campaign of the WHO FCTC and to fulfil the mandate from COP decision FCTC/COP8(18) intended to raise awareness of tobacco industry tactics and activities, in line with Article 5.3, are being developed. The Convention Secretariat has engaged professional communication agencies to assist with the communication work for these areas.

PART II. PROTOCOL TO ELIMINATE ILLICIT TRADE IN TOBACCO PRODUCTS

1. PREPARING THE ENTRY INTO FORCE OF THE PROTOCOL TO ELIMINATE ILLICIT TRADE IN TOBACCO PRODUCTS

73. The Convention Secretariat continued to promote the entry into force of the Protocol to Eliminate illicit Trade in Tobacco Products through a series of awareness-raising and capacity-building activities such as the workshops and meetings held in Belgium, Brazil, El Salvador, Jamaica and Ukraine. A multisectoral workshop was held in Kingston Bay, Jamaica, in October 2019 to promote the Protocol and was attended by more than 60 delegates representing 13 WHO FCTC Parties in the Caribbean region.³

¹ <https://twitter.com/FCTCOfficial/status/1000025377530699776/photo/1>.

² <https://www.facebook.com/FCTCOfficial/photos/2019746394944133>;
<https://twitter.com/FCTCOfficial/status/998970446749028353/photo/1>.

³ <https://fctc.who.int/newsroom/news/item/08-10-2019-more-than-60-delegates-representing-13-countries-met-in-montego-bay-jamaica-for-the-multisectoral-workshop-for-who-fctc-parties-in-the-caribbean-region-to-promote-the-protocol>.

74. During this biennium, 23 WHO FCTC Parties (Belgium, Benin, Brazil, Cabo Verde, Chad, Croatia, Czech Republic, the European Union, Fiji, India, the Islamic Republic of Iran, Kuwait, Luxembourg, Malta, Mauritius, Nigeria, Norway, Qatar, Samoa, Sweden, Togo, Turkey and the United Kingdom of Great Britain and Northern Ireland) ratified the Protocol, bringing the total number of Parties to 57 at the end of the reporting period.

75. The Convention Secretariat implemented a two-year grant provided by the European Union that aims to raise awareness among academic researchers and key decision-makers of the Protocol and to accelerate its ratification and implementation by 11 European Union Member States. Among the activities completed as part of this grant was a study visit to the National Headquarters of the Customs Administration of the Netherlands and the Port of Rotterdam from 25 to 26 June 2019 and a multisectoral workshop on the Protocol held in Riga, Latvia, in December 2019, for 11 WHO FCTC Parties in the European Region.¹ More than 40 delegates attended the workshop and agreed to work towards greater collaboration among government agencies, and with regional and international bodies in charge of law enforcement and customs.

76. The Convention Secretariat continued to provide or facilitate technical assistance to Parties upon request and supported a number of Parties in the process of becoming Parties to the Protocol.

2. MEETING OF THE PARTIES AND WORKING GROUP MEETINGS

77. The Convention Secretariat convened one meeting of the Panel of Experts on the Protocol from 10 to 13 March 2018 to prepare the draft agenda and relevant documents for the First Session of the Meeting of the Parties (MOP1) to the Protocol. The Convention Secretariat organized a preparatory meeting for MOP1 from 16 to 17 July 2018 in Geneva. More than 30 Parties to the Protocol representing the six WHO regions attended the meeting. They discussed and agreed on the draft agenda and relevant preparations for MOP1.

78. The Convention Secretariat organized MOP1 from 8 to 10 October 2018 in Geneva. The meeting concluded after taking the first steps towards the creation of a monitoring system to track and trace the movement of tobacco products. MOP1 discussions drew the participation of 44 State Parties to the Protocol and 56 State non-Parties, along with representatives from NGOs and IGOs.

79. At its first session, the Meeting of the Parties (MOP) decided to establish two working groups and requested the Convention Secretariat to make the necessary arrangements, including budgetary arrangements, for the working groups to complete their work. Accordingly, the Convention Secretariat organized the first meeting of the Working Group on Tracking and Tracing Systems, including the Global Information-sharing Focal Point and the unique identification markings for cigarette packets and packages in Panama City, Panama, from 26 to 28 November 2019 and the first meeting of the Working Group on Assistance and Cooperation in Quito, Ecuador, from 3 to 4 December 2019. In addition to Parties, representatives of from NGOs and IGOs participated in these meetings.

¹ <https://fctc.who.int/newsroom/news/item/09-12-2019-more-than-40-delegates-representing-11-european-countries-met-in-latvia-for-a-workshop-on-illicit-trade-in-tobacco-products>.

3. ADMINISTRATION AND MANAGEMENT, AND OTHER ARRANGEMENTS AND ACTIVITIES

80. The Convention Secretariat continued its fundraising efforts and is undertaking discussions and negotiations with donors and partners for Extra-budgetary Contributions (EB) for implementation of the workplan.

81. The Convention Secretariat was also in the process of completing a number of recruitments in 2019, with emphasis on Protocol-related work. The selection process for four long-term positions was completed by the end of 2019.

82. The Convention Secretariat ran a communications campaign in 2018 to promote the entry into force of the Protocol. Following the ratification of the United Kingdom of Great Britain and Northern Ireland of the Protocol on 26 June 2018, the conditions for the entry into force of the Protocol were met.¹

83. In accordance with decision FCTC/MOP1(14), the visual identity of the Protocol was adopted by the Bureau at its second meeting in September 2019 and the logo was deposited with the World Intellectual Property Organization (WIPO) to obtain the necessary legal protection.

2018–2019 FINANCIAL IMPLEMENTATION

84. The tables below present details on the financial implementation of the 2018–2019 Workplan and Budget approved by COP7. This report also contains the certified Statement of Income and Expenditure as at 31 December 2019.

85. The Convention Secretariat will continue to follow strictly WHO financial rules, and whenever it is within its control it will ensure maximum implementation of the Assessed Contributions (AC) allocated to activities and staffing. However, it is inevitable that at the end of a biennium, some remaining balance will be generated. In order for the Convention Secretariat to be able to utilize any remaining AC balance, the guidance from the COP is needed.

86. Several factors have contributed to the generation of a balance in AC in the 2018–2019 biennium. Besides the efforts made by the Convention Secretariat to realize greater savings, lower costs related to the organization of the COP and a delay in the establishment of posts and the recruitment of new members of the staff also had an impact on the utilization of AC. Additionally, the exact amount that comes from AC to cover WHO recovery costs is only defined at the end of the biennium.²

87. According to the certified Statement of Income and Expenditure, US\$ 4 143 448 would be available for the Convention Secretariat as balance of AC as at 31 December 2019.

88. In the 2018–2019 biennium, there were some charges that were meant to be charged to the AC paid by the MOP, but were instead charged to the AC of the COP (including US\$ 121 334 for activities and US \$379 253 for staff costs). Thus, a total amount of US\$ 500 587 would need to be recovered from MOP AC and returned to the COP. Therefore, the balance will increase to US\$ 4 644 035.

¹ <https://fctc.who.int/newsroom/news/item/26-06-2018-mission-accomplished-the-protocol-is-a-reality->.

² More information on the Cost Recovery Methodology is available in Appendix C of the Generic Hosting Terms for WHO Hosted Partnerships.

89. It is important to highlight that even though WHO withheld 2% (US\$ 176 010) of the total amount approved as an adjustment to reflect AC that are not collected, by the end of March 2021 the total amount of uncollected AC was US\$ 282 185. This full amount would be deducted by WHO in December 2021 if the AC are not collected by then.

90. COP may want to consider, in the decision related to the 2022–2023 Workplan and Budget, mandating the Convention Secretariat to set aside a part of any potential balance of AC with the aim of establishing a contingency fund to act as a reserve in the event of any unmitigated risks. This fund would only be used in exceptional circumstances defined in accordance with a decision from the COP. The practice of having such contingency funds is grounded in sound financial management policies and is adopted by many similar entities including WHO, which has special purpose funds established by several World Health Assembly resolutions.¹

91. After deducting the portion of the balance that would be allocated to the contingency fund, any balance remaining could be utilized to finance priority activities approved in the workplan and budget that are subject to the availability of EB.

92. The use of these balances will be reported to the Bureau and to the COP, as appropriate.

¹ More information on WHO special purpose fund is available within WHO Audited Financial Statements: https://www.who.int/about/finances-accountability/reports/A72_36-en.pdf?ua=1.

Certified Statement of Income and Expenditure as at 31 December 2019



Secretariat of the WHO Framework Convention on Tobacco Control (FCTC) –
Conference of the Parties (COP)

Statement of Income and Expenditure as at 31 December 2019
(expressed in US dollars)

Opening Balance 1 January 2018	8,457,553
Revenue	
Voluntary Assessed Contributions	8,800,522
Voluntary Contributions	12,987,847
Total Revenue	21,788,369
Expense (details attached - page 2)	
2018-2019	18,266,109
Fund balance at 31 December 2019	11,979,813
 Less:	
Receivable from AC prior biennia (2006-2017)	(334,497)
Reserve for AC 2018-2019 (2%)	(176,010)
Funds available at 31 December 2019 (details attached - page 3)	11,469,306

I certify that the above statement reflects correctly the revenue and expenditure recorded in the WHO Global Accounting System.


 Jane Stewart
 PP. Director Accounts

06 October 2020



Expenditure details for the period 2018–2019 in US\$

Expenditure type	Assessed Contributions (AC)	Extra-budgetary Contributions (EB)	Total
Staff costs	6 267 010	2 481 671	8 748 680
Medical supplies and materials	–	3 828	3 828
Equipment, vehicles and furniture	18 232	45 813	64 045
Contractual services	581 084	3 407 742	3 988 825
Travel	576 227	1 373 873	1 950 100
Transfer and grants	2 000	1 826 275	1 828 275
General operating costs	154 508	301 813	456 321
Cost recovery	32 000	1 194 034	1 226 034
Grand total	7 631 061	10 635 048	18 266 109

Funds available as at 31 December 2019 in US\$

	Balance 1 January 2018	Revenues 2018–2019	Expenditure 2018–2019	Balance as at 31 December 2019	Adjustment	Funds Available as at 31 December 2019
Assessed Contributions (AC)	–	8 800 522	7 631 061	4 653 955	-510 507	4 143 448
Extra-budgetary Contributions (EB)	–	12 987 847	10 635 048	7 325 858	-	7 325 858
Total	–	21 788 369	18 266 109	11 979 813	-510 507	11 469 306

Notes:

1. The total amount receivable from Parties as at 31 December 2019 amounts to US\$ 1 544 523. However, based on experience from prior collections, only the following is adjusted for (totalling US\$ 510 507):

- Amounts outstanding from prior biennia: US\$ 334 497
- 2% withholding on 2018–2019 invoicing: US\$ 176 010.

DESCRIPTION OF EXPENDITURES

Activity	Assessed Contributions (AC) approved	Extra-budgetary Contributions (EB) approved	Total approved	Available AC	Available EB	% mobilized	Total available funds	Total spent	Total balance
1. Conference of the Parties (COP)									
1.1 Conference of the Parties									
(a) Prepare, convene and support the Eighth session of the COP (COP8) including support to Parties, as appropriate	1 675 000	231 500	1 906 500	1 675 000	21 500	89	1 696 500	1 303 296	393 204
(b) Prepare, edit, translate and disseminate COP documentation									
(c) Prepare, edit, translate and disseminate report, decisions, and other documentation									
(d) Prepare and disseminate official records									
(e) Review applications for observer status and prepare reports for consideration by the Bureau and the COP									
(f) Conduct review of accreditation of intergovernmental organizations (IGOs) and nongovernmental organizations (NGOs) in consultation with the Bureau									
(g) Raise awareness and assist Parties and observers in their participation at the COP									
(h) Use COP as an opportunity to build capacity and create awareness about WHO FCTC technical and implementation issues with due regard to Articles 4.2 and 5.3									
(i) Promote communication and media coverage of the COP									

Activity	Assessed Contributions (AC) approved	Extra-budgetary Contributions (EB) approved	Total approved	Available AC	Available EB	% mobilized	Total available funds	Total spent	Total balance
1.2 Bureau of the COP including Regional Coordinators where appropriate									
(a) Prepare, convene and support the work of the Bureau	167 400	0	167 400	167 000	0	100	167 400	186 632	(19 232)
(b) Prepare documents for the meetings of the Bureau and make them available to the Parties									
(c) Provide regular updates to the Bureau and Regional Coordinators on the status of implementation of the workplan and budget for the biennium as requested by the COP, and on ad-hoc issues									
(d) Prepare summary records of the intersessional meetings of the Bureau									
(e) Implement COP7 decisions that require consultation with the Bureau outside the regular meetings									
(f) Involve the Bureau and Regional Coordinators in celebrations of the 15th anniversary of the WHO FCTC and all other relevant events where appropriate									
(g) Evaluation of the Head of the Secretariat									
2. Protocols, guidelines and other possible instruments for implementation of the Convention									
2.1 Intergovernmental working/expert groups									
(a) Working Group Articles 9 and 10: one meeting of the working group after COP8 and intersessional work of the Key Facilitators and the Convention Secretariat	0	84 900	84 900	0	65 330	77	65 330	57 937	7 393
(b) Working group on Strengthening the implementation of the Convention	0	79 800	79 800	11 673	81 470	117	93 143	93 142	1

Activity	Assessed Contributions (AC) approved	Extra-budgetary Contributions (EB) approved	Total approved	Available AC	Available EB	% mobilized	Total available funds	Total spent	Total balance
(c) Expert Group on Article 13, cross-border advertising and tobacco advertising, promotion and sponsorship in entertainment media	0	70 100	70 100	8 020	163 734	245	171 754	171 754	0
3. Reporting and exchange of information									
3.1 Support for Parties in fulfilling their reporting obligations and global progress reports on implementation of the Convention									
(a) Conduct the biennial reporting cycle in 2018	0	100 000	100 000	0	39 519	39.5	39 519	39 519	0
(b) Analyse Parties' reports and develop the 2018 Global Progress Report (identify trends, areas of progress, challenges in implementation and areas/articles of the Convention proposed for further exploration)	0	50 000	50 000	0	40 963	82	40 963	40 963	0
(c) Dissemination of findings from the impact assessment	0	15 000	15 000	0	59 160	394	59 160	59 160	0
(d) Strengthen capacity of Parties to report	0	186 000	186 000	243	9 220	5	9 462	9 462	0
3.2 Exchange of information, including transfer of expertise and technology									
(a) Promote, maintain and upgrade the WHO FCTC coordination platform including Implementation Database, Networking platform, Knowledge Hub platform, e-learning tools and assistance to Parties	0	31 500	31 500	219	36 749	117	36 969	36 969	0
(b) Explore existing knowledge on addictiveness reduction measure	0	66 500	66 500	0	63 262	95	63 262	14 077	49 185
(c) Provide evidence-based regulatory experiences and country successful practices in regulating waterpipes, share existing evidence and prepare COP8 report	0	20 000	20 000	0	23 880	119	23 880	23 880	0

Activity	Assessed Contributions (AC) approved	Extra-budgetary Contributions (EB) approved	Total approved	Available AC	Available EB	% mobilized	Total available funds	Total spent	Total balance
3.3 Knowledge management									
(a) Knowledge Hubs (KHs): Coordinate and support the existing KHs and establish up to six new KHs (one on Article 5.3). agree on workplans in line with COP decisions and ensure webpage update	0	300 000	300 000	0	315 379	105	315 379	315 379	0
(b) Observatories on Article 5.3: coordinate and support the work of the Observatories, agree on workplans in line with COP decisions, identify new ones and ensure webpage update	0	250 000	250 000	0	28 514	11	28 514	28 514	0
4. Assistance to Parties in implementing specific provisions of the Convention, with particular focus on developing country Parties and Parties with economies in transition									
4.1 Assistance to Parties									
(a) Promote the establishment of coordination mechanisms	0	30 000	30 000	0	0	0	0	0	0
(b) Identify achievements, challenges and best practices to enhance global and regional cooperation, and provide assistance in implementation of the WHO FCTC within and between regions	0	249 950	249 950	0	673 853	270	673 853	673 853	0
4.2 Needs assessments and promotion of access to available resources and mechanisms of assistance									
(a) Carry out needs assessments, including assessment of the impact of WHO FCTC and other forms of targeted assistance upon request to strengthen implementation of the Convention at the national level	0	319 000	319 000	22 586	112 522	42	135 108	135 108	0
(b) Provide support to Parties in identified areas of need upon request	0	300 000	300 000	6 001	4 323 993	1 443	4 329 994	4 329 994	0

Activity	Assessed Contributions (AC) approved	Extra-budgetary Contributions (EB) approved	Total approved	Available AC	Available EB	% mobilized	Total available funds	Total spent	Total balance
4.3. Support for Parties engaged in legal action, including in line with Article 19, and trade, investment and other legal challenges to implementation of the Convention									
(a) Provide direct assistance to Parties upon request and maintain a list of experts on trade, criminal liability and other legal challenges, who could be deployed to assist Parties in collaboration with the relevant KHs	0	36 000	36 000	0	0	0	0	0	0
(b) Monitor trade and investment issues relevant to implementation of the Convention	0	20 000	20 000	0	0	0	0	0	0
(c) Training on legal issues in collaboration with KH	0	24 000	24 000	0	0	0	0	0	0
4.4 Supporting Parties to pursue economically sustainable alternatives to tobacco growing (in relation to Articles 17 and 18 of the WHO FCTC)									
(a) Support interested Parties in developing pilot projects and other initiatives that aim to implement Articles 17 and 18 policy options and recommendations	0	120 000	120 000	0	0	0	0	0	0
(b) One global workshop organized on Article 17 and 18	0	81 500	81 500	20 724	40	25	20 764	20 764	0
(c) Develop a toolkit to guide the implementation of Article 17	0	50 000	50 000	0	0	0	0	0	0
(d) Sharing of experience and good practices	0	20 000	20 000	0	0	0	0	0	0
4.5 Support to Parties in implementing Article 5.3									
(a) Monitor Article 5.3 implementation in collaboration with the Article 5.3 Observatories	0	24 000	24 000	0	0	0	0	0	0
(b) Provide training in coordination with Observatories to Parties' designated experts on Article 5.3	0	20 800	20 800	0	0	0	0	0	0

Activity	Assessed Contributions (AC) approved	Extra-budgetary Contributions (EB) approved	Total approved	Available AC	Available EB	% mobilized	Total available funds	Total spent	Total balance
(c) Informal consultation to support the work of the Convention Secretariat and the establishment of the knowledge hub on Article 5.3	0	49 000	49 000	0	2 512	5	2 512	2 512	0
(d) Maintaining a list of experts on Article 5.3, who could be deployed to assist Parties at their request	0	18 800	18 800	0	0	0	0	0	0
(e) Produce and disseminate best practices in implementation of Article 5.3	0	10 000	10 000	0	0	0	0	0	0
(f) Conduct a study and prepare a report on guidelines for cooperation between UN and private sector	0	5 000	5 000	0	0	0	0	0	0
(g) Increase awareness on existing tools for the implementation of Article 5.3	0	10 000	10 000	0	0	0	0	0	0
4.6 Support to Parties in implementing Article 4.2 (c) and (d)									
(a) Provide training to Parties to strengthen Article 4.2 implementation	0	15 600	15 600	0	0	0	0	0	0
(b) Organize one global expert workshop and develop a toolkit on gender sensitive policies in the implementation of the WHO FCTC	0	99 200	99 200	0	8 000	8	8 000	8 000	0
(c) Organize one global expert workshop and develop a toolkit with the participation of indigenous individuals and communities to promote the implementation of the treaty with culturally appropriate perspectives	0	99 200	99 200	0	0	0	0	0	0

Activity	Assessed Contributions (AC) approved	Extra-budgetary Contributions (EB) approved	Total approved	Available AC	Available EB	% mobilized	Total available funds	Total spent	Total balance
5. Coordination with international and regional intergovernmental organizations and other bodies									
5.1 Promoting international cooperation with emphasis on observers (IGOs and NGOs) to COP									
(a) Enhanced cooperation and communication with IGOs, including awareness raising, dissemination of information about WHO FCTC-related activities of IGO observers to COP through a designated space on the Information Platform	0	31 200	31 200	0	30 070	96.3	30 070	30 070	0
(b) Review and promote cooperation with relevant departments of WHO	0	66 400	66 400	0	0	0	0	0	0
(c) Enhanced cooperation and communication with civil society organizations (especially observers to the COP) in relevant activities to reach national, regional and global organizations	0	62 400	62 400	0	0	0	0	0	0
(d) Conducting the biennial reporting cycle for NGO observers	0	30 000	30 000	0	0	0	0	0	0
(e) Disseminate information about WHO FCTC-related activities of NGOs accredited to COP including through designated space on the Information Platform	0	10 000	10 000	0	0	0	0	0	0
5.2 Promotion of South–South cooperation in the exchange of scientific, technical and legal expertise as relevant to the implementation of the Convention									
(a) Assist and facilitate interested partners in South–South and Triangular cooperation	0	105 900	105 900	0	0	0	0	0	0
(b) Review experiences with demonstration projects and identify further projects	0	120 000	120 000	0	0	0	0	0	0
(c) Encourage the use of the South–South networking platform on the WHO FCTC Coordination Platform	0	10 000	10 000	0	0	0	0	0	0

Activity	Assessed Contributions (AC) approved	Extra-budgetary Contributions (EB) approved	Total approved	Available AC	Available EB	% mobilized	Total available funds	Total spent	Total balance
5.3 NCDs Global Monitoring Framework of the Tobacco Target – Coordination with the UN Interagency Task Force on the Prevention and Control of Non-communicable Diseases (UNIATF)									
(a) Continue to implement multisectoral assistance activities to Parties in cooperation with members of the UNIATF and the Global Coordinating Mechanism on NCDs (GCM/NCD)	0	20 800	20 800	24 202	3 663	134	27 865	27 865	0
(b) Contribute to the action plan of UNIATF and GCM/NCD	0	10 400	10 400	0	0	0	0	0	0
(c) Maintain working relationships concerning tobacco-related data exchange with UN agencies to assist with the monitoring and evaluation of progress made in WHO FCTC implementation	0	10 000	10 000	0	0	0	0	0	0
(d) Cooperate with IGOs and bodies with technical expertise, including UN treaty bodies, to strengthen implementation of the WHO FCTC	0	30 000	30 000	0	0	0	0	0	0
5.4 Human Rights Coordination with OHCHR									
(a) Enhanced cooperation and communication with UN Treaty Bodies, including human rights treaties	0	20 000	20 000	0	0	0	0	0	0
5.5 Action in support of SDG target 3.a									
(a) Awareness raising and resource mobilization for Sustainable Development Goal (SDG) Target 3.a and Financing for Development action agenda	0	30 000	30 000	0	88 235	294	88 235	88 235	0
(b) Monitoring SDGs	0	102 900	102 900	0	2 643	2.6	2 643	2 643	0

Activity	Assessed Contributions (AC) approved	Extra-budgetary Contributions (EB) approved	Total approved	Available AC	Available EB	% mobilized	Total available funds	Total spent	Total balance
6. Administration and management, and other arrangements and activities									
6.1 General administration and management									
(a) General administration, staff and finance management	60 000	0	60 000	47 068	70 994	197	118 062	118 062	0
(b) Resource mobilization	14 000	0	14 000	4 909	36 337	295	41 246	41 246	0
6.2 Awareness raising, publications, website and web applications and implementation of communications plan									
(a) Disseminate information to the WHO FCTC technical and official focal points and to Observers to COP focal points	0	15 200	15 200	5 413	0	36	5 413	5 413	0
(b) Updating of the WHO FCTC website in the six WHO official languages	0	50 000	50 000	73 281	123 031	393	196 312	196 312	0
(c) Redesigning and producing new issues of the FCTC Bulletin (newsletter in a printable version)	0	40 000	40 000	0	0	0	0	0	0
(d) Feeding WHO FCTC social media channels on Facebook, Twitter and YouTube	0	50 000	50 000	47 532	0	95	47 532	47 532	0
(e) Printing and disseminating technical WHO FCTC basic and technical publications	0	40 000	40 000	2 171	0	5	2 171	2 171	0
(f) Increase profile and visibility of the Convention internationally at conferences and other events	0	84 000	84 000	7 248	140 784	176	148 032	148 032	0
(g) World No Tobacco Day	0	47 600	47 600	0	0	0	0	0	0
(h) Organizing the WHO FCTC 15th year anniversary	0	64 000	64 000	0	61 969	97	61 969	61 969	0
(i) Printing and disseminating rules of procedure if amended by the COP	0	20 000	20 000	0	0	0	0	0	0
(j) UN tobacco control newsroom	0	200 000	200 000	0	0	0	0	0	0

Activity	Assessed Contributions (AC) approved	Extra-budgetary Contributions (EB) approved	Total approved	Available AC	Available EB	% mobilized	Total available funds	Total spent	Total balance
Part II. PROTOCOL TO ELIMINATE ILLICIT TRADE IN TOBACCO PRODUCTS									
1. Preparing for the entry into force of the Protocol to Eliminate Illicit Trade in Tobacco Products									
1.1 Promoting the entry into force of the Protocol									
(a) Hold six multisectoral, subregional Protocol-specific workshops	0	297 600	297 600	6 424	170 926	59.6	177 350	177 350	0
(b) Monitor and evaluate the dedicated Protocol webpage and redesign accordingly	0	20 000	20 000	0	8 060	40.3	8 060	8 060	0
(c) Engage the potential of relevant international organizations	0	68 000	68 000	0	6 177	9	6 177	6 177	0
(d) Promote the use of the self-assessment checklist	0	20 000	20 000	0	0	0	0	0	0
1.2 Technical assistance in preparation for entry into force									
(a) Conduct and disseminate studies and best practices on Protocol-specific topics	0	160 000	160 000	0	142 759	89	142 759	142 759	0
(b) Provide technical assistance on Protocol-specific topics	0	19 200	19 200	3 600	59 044	326	62 644	62 644	0
(c) Facilitate and support the work of the panel of experts in accordance with the decisions of COP6 and COP7	0	103 300	103 300	30 717	45 432	74	76 150	76 150	0

Activity	Assessed Contributions (AC) approved	Extra-budgetary Contributions (EB) approved	Total approved	Available AC	Available EB	% mobilized	Total available funds	Total spent	Total balance
2. Meeting of the Parties (MOP)									
2.1 First session of the Meeting of the Parties									
(a) Prepare and convene a preparatory meeting for MOP1 with each region to be represented by up to two Protocol Parties	0	98 200	98 200	0	0	0	0	0	0
(b) Prepare, convene (immediately before or after COP8, pending entry into force) and disseminate the official records of MOP1	306 000	490 500	796 500	480 597	0	60	480 597	480 597	0
3. Administration and management and other arrangements and activities									
3.1 General administration and management									
(a) Resource mobilization	0	14 000	14 000	0	0	0	0	0	0
(b) General administration, staff and finance management	0	30 000	30 000	26 049	37 220	211	63 269	63 269	0
3.2 Advocacy, publications and website									
(a) Prepare and implement a communications plan for promoting entry into force of the Protocol	0	38 800	38 800	2 222	46 623	126	48 845	48 845	0

**INTERIM PERFORMANCE REPORT FOR THE 2020–2021 WORKPLAN AND BUDGET
(1 January 2020–31 December 2020)**

93. This report contains an update of the activities conducted by the Convention Secretariat to support implementation of the WHO FCTC from 1 January to 31 December 2020. This report aligns with the Workplan and Budget for the financial period 2020–2021 that was approved at the Eighth Session of the Conference of the Parties (COP8) to the WHO FCTC in decision FCTC/COP8(10) and with the *Global Strategy to Accelerate Tobacco Control: Advancing Sustainable Development through the Implementation of the WHO FCTC 2019–2025*, adopted in decision FCTC/COP8(16). The Statement of Income and Expenditure for the reporting period, and description of expenditure, can be found below.

1. GOVERNANCE (PRE-COP ARRANGEMENTS AND CONFERENCE OF THE PARTIES)

94. The Convention Secretariat and the Government of the Netherlands finalized the Host Agreement for COP9/MOP2 which was signed on 12 March 2020 at The Hague, in the presence of the Head of the Secretariat and the State Secretary for Health, Ministry of Health of the Netherlands.

95. In light of the COVID-19 global pandemic, and its impact on the conduct of international global conferences and travel, the Bureaus elected by COP8 and MOP1, in consultation with the host country and the Convention Secretariat, decided during their Third Joint Meeting on 21 April 2020 to postpone the sessions of COP9 and MOP2 to November 2021.

96. Four Bureau meetings were conducted in 2020 through virtual means: the Third Meeting of the Bureau in April 2020, a meeting in June 2020 focusing only on the proposed WHO FCTC Investment Fund, and two meetings in September and December 2020 focusing on the proposed draft COP Workplan and Budget for 2022–2023.

2. GIVE PRIORITY TO ENABLING ACTION TO ACCELERATE WHO FCTC IMPLEMENTATION, INCLUDING EFFECTIVE FORMS OF TECHNICAL AND FINANCIAL ASSISTANCE TO SUPPORT PARTIES IN THE IDENTIFIED PRIORITY ACTION AREAS

2.1 Intersessional working groups and expert groups

EXPERT GROUP ON ARTICLES 9 AND 10 (REGULATION OF CONTENTS AND DISCLOSURE OF TOBACCO PRODUCTS, INCLUDING WATER PIPE, SMOKELESS TOBACCO AND HEATED TOBACCO PRODUCTS)

97. Further to decision FCTC/COP8(21) and following a call for nominations issued to the Parties, the Convention Secretariat received nominations for the Expert Group on Articles 9 and 10 of the WHO FCTC (Regulation of contents and disclosure of tobacco products, including water pipe,

smokeless tobacco and heated tobacco products). Membership of this Expert Group can be found on the website of the Convention Secretariat.¹

98. The meeting of the Expert Group, principally tasked with examining the reasons for low implementation of the articles and their related partial guidelines, and with identifying and presenting positive experiences from Parties in addressing barriers to their implementation, took place on 21–22 November 2019 in Bilthoven, Netherlands, hosted by the Government of the Netherlands at the National Institute for Public Health and the Environment.

99. A consultant was hired by the Convention Secretariat to carry out desk research and an analysis of a questionnaire sent to Parties in two consecutive rounds, with only 38 Parties provided input, and developed a background report that fed the discussions of the Expert Group during the meeting. The report gathered information on the challenges for the implementation of Articles 9 and 10 of the WHO FCTC and related partial guidelines, positive experiences and successful international cooperation in the matter. A meeting report was prepared to document the deliberations of the Expert Group, finalized with inputs from the experts. Based on the meeting report, the Convention Secretariat has supported the Expert Group to finalize this report to COP9.

WORKING GROUP TO DEVELOP SPECIFIC GUIDELINES TO ADDRESS CROSS-BORDER TOBACCO ADVERTISING, PROMOTION AND SPONSORSHIP AND THE DEPICTION OF TOBACCO IN THE ENTERTAINMENT MEDIA UNDER ARTICLE 13 OF THE WHO FCTC

100. Further to the decision FCTC/COP8(17) and following a call for nominations issued to the Parties and observers, the Convention Secretariat received nominations for the Working Group to develop specific guidelines to address cross-border tobacco advertising, promotion and sponsorship (TAPS) and the depiction of tobacco in the entertainment media under Article 13 of the WHO FCTC. Membership of this Working Group can be found on the website of the Convention Secretariat.²

101. The first meeting of the Working Group took place in Mauritius from 30 October to 1 November 2019. At this meeting, the members and observers to the Working Group discussed the structure and elements to be considered for the content of the specific guidelines under Article 13 of the WHO FCTC. The Working Group requested the Convention Secretariat to further involve lawyers and Internet regulation experts in the process and also requested the Working Group key facilitators to prepare a draft text of the specific guidelines under Article 13 of the WHO FCTC to be discussed at its second meeting, which was then scheduled to be held in Brazil in April 2020.

102. However, due to COVID-19 pandemic restrictions, the second meeting of the Working Group was cancelled. The Key Facilitators of the Working Group, with support from the Convention Secretariat, lawyers and experts in TAPS and media regulation, prepared a draft report, including a draft text of the specific guidelines under Article 13 of the WHO FCTC and a draft decision that was circulated for online consultations with members and observers of the Working Group in April and in June 2020, respectively. After receiving and processing input from the consultations, a revised version of the draft documents by the Key Facilitators was shared for consideration with the Working Group in December 2020.

¹ https://www.who.int/fctc/treaty_instruments/groups/COP_UPDATE_JUNE_2020_composition_WG_EG.pdf?ua=1.

² *Idem*.

103. At the second meeting of the Working Group, which took place virtually from 24 to 25 February 2021, the members and observers to the Working Group present for the meeting discussed necessary amendments and validated a draft report of the Working Group, containing in its annexes the draft text of the specific guidelines under Article 13 of the WHO FCTC and a draft decision, developed under the leadership of the Key Facilitators.

2.2 Direct assistance to Parties

FCTC 2030 Project

104. Support to WHO FCTC Parties continued under the FCTC 2030 project. Activities included continuing the provision of direct support to the 24 selected FCTC 2030 countries. The FCTC 2030 project, together with partners (including WHO and UNDP as key delivery partners), are providing technical and financial assistance to project countries, particularly on the time-bound measures, as well as Articles 5, 6, 12, 14, 16 and 20 of the WHO FCTC.

105. Through UNDP, work to complete WHO FCTC investment cases (data validation, modelling and webinars) is underway. For some countries, modelling was also conducted to estimate government tax revenue from tobacco tax increases and to estimate the effect of tobacco taxes on different income segments of society. The investment cases/reports are being finalized with virtual handovers planned to take place throughout 2021.

106. In 2020, Eswatini conducted a joint needs assessment mission and held stakeholder meetings and bilateral meetings with key ministries and agencies. Virtual launches of the FCTC 2030 project took place in Armenia, Costa Rica, Fiji and Suriname. It is noteworthy to mention that due to the COVID-19 pandemic, resulting in international travel not being possible in 2020, the first-ever virtual needs assessment mission was organized for Armenia in July 2020. Suriname also conducted bilateral meetings virtually as part of a needs assessment in that country at the end of 2020. A virtual mission, coupled with the launch of the FCTC 2030 project, took place in Serbia in February 2021.

Needs assessments and promotion of access to available resources and mechanisms of assistance

107. The Convention Secretariat continues supporting five other non-FCTC 2030 countries with planning for needs assessments and post-needs assessment activities. Mauritania conducted a joint needs assessment mission in 2020 with post-needs assessment support to be provided in 2021. Virtual needs assessments and post-needs assessment support are planned for Mali, Montenegro, Sao Tome and Principe, and the United Republic of Tanzania in 2021.

108. The Convention Secretariat also regularly participates in events and webinars organized by Parties and continues to respond to ad-hoc requests for technical support and assistance received from Parties.

2.3 Monitoring and evaluation

109. The University of York, United Kingdom of Great Britain and Northern Ireland, is conducting an independent external evaluation of the FCTC 2030 project. The evaluation team has completed national stakeholder interviews and an economic evaluation is underway. A consultant has also been engaged to conduct an internal monitoring and evaluation of the FCTC 2030 project using outcome mapping methodology.

3. STRENGTHEN SYSTEMS FOR REGULARLY CAPTURING AND SHARING LESSONS AND EVIDENCE ON NEW, INNOVATIVE AND SUCCESSFUL MEANS OF IMPLEMENTING TOBACCO CONTROL MEASURES

3.1 Assistance to Parties by sharing lessons and evidence through South–South and Triangular cooperation

110. Through the FCTC 2030 project, the Convention Secretariat continues to assist and facilitate interested partners in South–South and Triangular cooperation. In 2020, Brazil provided support to Cabo Verde on Article 14 of the WHO FCTC and Colombia on Article 5 of the WHO FCTC, and Georgia supported Serbia in its study on the economic burden of tobacco-related diseases.

111. In April 2020, the Knowledge Hub on International Cooperation in Uruguay coordinated a series of teleconferences with the Parties to the WHO FCTC in the Region of the Americas to allow Parties to discuss priorities and challenges in implementation of the Convention. On 1 October 2020, the Knowledge Hub contributed to the organization of a webinar for the Eastern Mediterranean Region and the Region of the Americas on the Protocol to Eliminate Illicit Trade in Tobacco Products. The main organizer of the event was the Framework Convention Alliance (FCA), an observer to the Conference of the Parties to the WHO FCTC. The webinar helped with the sharing of information and experiences between the two regions on how to advance the implementation of the Protocol, as part of comprehensive tobacco control measures and complementary to Article 15 of the WHO FCTC. It also served as a platform for discussing any challenges, such as the interference of the tobacco industry and the promotion by the industry of any tracking and tracing systems that do not meet the standards defined by the Protocol. Currently, the Knowledge Hub is planning a follow-up online event with El Salvador on smoking cessation. It also plans to organize a bilateral project on the enforcement of tobacco control policies with Honduras. These are South–South cooperation initiatives, organized through the Uruguayan Agency for International Cooperation (AUCI) – an office of the President of Uruguay.

3.2 Assistance to Parties through training, knowledge sharing and sharing of good practices and networking

112. In 2020, the WHO FCTC Knowledge Hub on Tobacco Taxation and Illicit Trade organized a series of three webinars on the following topics: 1) global trends in tobacco taxation, including trends in tobacco tax structures, and providing evidence of the effectiveness of tobacco taxation; 2) measuring illicit trade, including an explanation on the various methods for measuring illicit trade, as well as the advantages and drawbacks of each; and 3) an overview of the Protocol to Eliminate Illicit Trade in Tobacco Products. In collaboration with the Knowledge Hub, the Convention Secretariat also successfully organized the Virtual Workshop on Tobacco Taxation Modelling in December 2020 with nearly 250 registrants, which was organized through the FCTC 2030 project.

113. The WHO FCTC Knowledge Hub on Smokeless Tobacco launched in June 2020 an online course on smokeless tobacco cessation, offering its participants an understanding of the important issues concerning this matter. The course introduced the epidemiology and harms associated with smokeless tobacco, its addictive potential and tobacco withdrawal symptoms. One of the main areas covered in the course was the development of the knowledge and skills needed to support smokeless tobacco quit attempts, with particular emphasis on offering behavioural support and the use of nicotine replacement therapy. The Knowledge Hub also organized a webinar around World No Tobacco Day 2020.

114. Though the COVID-19 pandemic has made in-person training impossible, the WHO FCTC Knowledge Hub on Legal Challenges continued to deliver training on law and NCDs in 2020 through its first-ever online legal training programme.¹ Thirty-five lawyers, policy-makers and WHO staff registered for the six-week course beginning in September, which covered various topics around law and NCDs, including the WHO FCTC and legal challenges. The Knowledge Hub is also adapting its training programme for the pandemic and beyond by introducing virtual workshops and meetings for the 200 members of its alumni network and other key stakeholders. Since the June 2020 decision by the World Trade Organization (WTO) Appellate Body, the Knowledge Hub has been working to disseminate the findings upholding a 2018 WTO panel ruling that Australia's tobacco plain packaging laws do not infringe international trade or intellectual property laws and their implications for public health. It distributed a press release, was featured in Australian national media, published a summary of the decision for legal and public health practitioners, and co-hosted a webinar with Melbourne Law School on 16 July 2020. The Knowledge Hub also took part on 29 October 2020 in the World Conference on Tobacco or Health Leadership Summit's webinar on Plain packaging: Lessons for the next round of implementing countries. The Knowledge Hub also organized a workshop on plain packaging and the WTO panel ruling, from 30 November to 3 December 2020, for government officials, civil society and tobacco control experts from around the world.

115. The WHO FCTC Knowledge Hub for Article 5.3 of the WHO FCTC organized a series of five webinars between October 2019 and September 2020 aimed at sharing knowledge and draw on the panellists expertise on the progress in implementing Article 5.3, especially during the time of COVID-19. The Knowledge Hub developed and launched an online course: Implementing Article 5.3 of the WHO Framework Convention on Tobacco Control: from policy to practice.² This course is oriented to policy-makers, WHO FCTC focal points, public health advocates and tobacco control specialists, and it has been developed by experts on Article 5.3 of the WHO FCTC. Aiming at safeguarding public health policies from tobacco industry interference, the course tackles the policy recommendations under the Guidelines for the Implementation of Article 5.3 of the WHO FCTC, using a practice-oriented approach, and presents the issues, policy options and tools in an easy and accessible manner. The Knowledge Hub has developed a series of e-updates and made available resources to protect tobacco control during the COVID-19 pandemic.³ The information provided includes tobacco industry donations by country; the list of countries that have banned or contemplated banning tobacco, electronic cigarettes and waterpipes during the pandemic; and misleading information about smoking or using electronic cigarettes and their link to COVID-19.

116. The WHO FCTC Knowledge Hub on Surveillance developed a new web page including information and resources on tobacco surveillance during the COVID-19 pandemic. Additionally, information is provided on a new national COVID programme and study by THL, with the aim of investigating how individual factors, including genetic determinants and lifestyles, affect the causation of severe coronavirus infections.

117. The annual meeting with the managers of the Knowledge Hubs was held in December 2020 through virtual means. An *Information Kit for Parties on Accessing Support from Knowledge Hubs* is being developed by the Convention Secretariat and will be made available in the six official United Nations languages. For the first time, following the closure of the 2020 reporting cycle, all Knowledge Hubs contributed to the extent of their capabilities to the analysis of data reported by the Parties, which

¹ <https://untobaccocontrol.org/kh/legal-challenges/mccabe-centre-hosts-first-ever-online-legal-training-course/>.

² <https://untobaccocontrol.org/elearning/article53/>.

³ <https://untobaccocontrol.org/kh/article-53/covid-19-update-resources/>.

was incorporated in the respective sections of the *Global Progress Report on Implementation of the WHO Framework Convention on Tobacco Control*.

118. This year also marked the first time a virtual signing ceremony was organized between the Convention Secretariat and the Fundação Oswaldo Cruz (Fiocruz), Ministry of Health of Brazil, which is now officially the eighth WHO FCTC Knowledge Hub, focusing on Articles 17 and 18 of the Convention.

3.3 Assistance to Parties through the development of toolkits, manuals and publications

119. In terms of publications and resources, this year the Convention Secretariat has released or is about to release the following publications: *WHO FCTC Implementation Review in Pacific Island Countries; Information Kit for the WHO FCTC Technical Focal Points; Guide for WHO FCTC Parties on including SDG Target 3.a in Voluntary National Reviews; Integration of WHO FCTC implementation with the control and prevention of non-communicable diseases: A Toolkit; Manual and Legislation Template for WHO FCTC-Compliant Regulation of Waterpipe Tobacco, Waterpipes, and Waterpipe Accessories; Manual and Legislation Template for WHO FCTC-Compliant Regulation of Smokeless Tobacco Products; Information Kit for WHO FCTC Parties on WHO FCTC Knowledge Hubs; Best Practices on Smokeless Tobacco Control* and an Article 17 and 18 Toolkit for Parties (being developed within the UNIATF framework).

120. Together with UNDP, the Convention Secretariat has published 14 investment cases for tobacco control for Phase I FCTC 2030 project countries and is in the process of finalizing 10 additional investment cases. Tobacco Control as an Accelerator for the Sustainable Development Goals policy briefs are also available for two FCTC 2030 project countries, with eight others being finalized. All publications will help scale up national multisectoral action for tobacco control in the context of the SDGs.

121. In addition, in decision FCTC/COP8(18) the COP8 requested the Convention Secretariat to comply with decision FCTC/COP/7(11), which mandated the Secretariat, among others, to “develop a database of experts and institutions that can provide Parties, upon request, with technical assistance related to tobacco industry liability”. The Convention Secretariat has started collecting nominations by Parties of public experts and institutions for the database of experts, and recommendations by Parties of resources related to liability and other legal challenges. This database will be included in the Coordination platform that is currently being developed by the Convention Secretariat.

3.4 Support for Parties in fulfilling their reporting obligations and global progress reports on implementation of the Convention

122. The Convention Secretariat has upgraded the existing implementation database to incorporate information on the Parties to the Protocol. The development of the Global Progress Report for the WHO FCTC, including baseline data for the indicators under the *Global Strategy to Accelerate Tobacco Control: Advancing Sustainable Development through the Implementation of the WHO FCTC 2019–2025* is ongoing and will be launched in 2021, to be available for COP9. Work is also underway to migrate the untobaccocontrol.org site of the Convention Secretariat, which contains very rich content including the WHO FCTC Implementation Database and the sites of the WHO FCTC Knowledge Hubs, to a more secure platform.

123. Some initial work has also begun on the Scoping study on the future *WHO FCTC data quality assurance framework*, which was discussed at the April 2021 Bureau meeting.

4. MOBILIZE INTERNATIONAL, INTERGOVERNMENTAL AND DEVELOPMENTAL PARTNERS TO INTEGRATE THE WHO FCTC INTO THEIR WORK, AND/OR THEIR SDG RESPONSES, BY DEVELOPING PARTNERSHIPS AND JOINT STRATEGIES WITH UNITED NATIONS AND GLOBAL AGENCIES AND INITIATIVES THAT HAVE A CLEAR MANDATE FOR REDUCING WIDER TOBACCO-RELATED HARMS, OR WHO HAVE AN ABILITY: A) TO RAISE THE PROFILE AND VISIBILITY OF THE WHO FCTC; AND (B) TO INFLUENCE AND STIMULATE TOBACCO CONTROL ACTION AT THE REGIONAL AND NATIONAL LEVELS

4.1 Promoting international cooperation including with IGOs observers to the COP

124. The Convention Secretariat continues to closely cooperate with a number of WHO departments and programmes in order to promote synergistic work between both entities. The Convention Secretariat attended and spoke at the resumed session of the World Health Assembly in November 2021 and the sixty-seventh session of the WHO Regional Committee for the Eastern Mediterranean. Written statements were also submitted to the sessions of the regional committees in the European, South-East Asia and Western Pacific regions.

125. The Head of the Secretariat had a bilateral meeting with the Regional Director for the WHO Eastern Mediterranean Region to further strengthen cooperation and collaboration. Through that meeting, the Convention Secretariat was invited to participate in the next Gulf Health Council's Gulf Tobacco Control Committee Meeting scheduled to take place in March 2021.

126. The Convention Secretariat has continued to oversee a vigorous outreach programme with United Nations agencies and intergovernmental organizations to raise awareness about the WHO FCTC beyond the health sector, for example, to those organizations concerned with decent work in the tobacco sector and alternative livelihoods to tobacco growing, as well as organizations working on environmental and pollution issues.

127. The Convention Secretariat reached out and had bilateral virtual meetings with the Secretariat of the Basel, Rotterdam and Stockholm Conventions (July and August 2020), the Secretariat of the International Plant Protection Convention (August 2020), the Secretariat of the Ramsar Convention (August 2020), the Secretariat of the United Nations Convention to Combat Desertification (August 2020), the Joint SDG Fund (September 2020) and the Secretariat of the Joint United Nations Economic Commission for Europe–WHO/Europe Protocol on Water and Health (October 2020).

4.2 Coordination with UNIATF and promotion of NCDs global agenda

128. The Convention Secretariat attended the 14th Meeting of the UN Interagency Task Force on Prevention and Control of Non-communicable Diseases (UNIATF) on 4–5 March 2020 and the 15th Meeting of the UNIATF on 3–5 November 2020. Members from 17 United Nations agencies discussed the work of the Thematic Working Group on Tobacco Control, including the United Nations *Model Policy for Agencies of the United Nations System on Preventing Tobacco Industry Interference*, establishment of the United Nations smoke-free campuses and a joint programme on developing a toolkit for Parties on Articles 17 and 18 of the Convention.

129. The Convention Secretariat continues to engage actively with the WHO WIN/NCD network and the WHO NCDs Global Coordination Mechanism.

130. The Convention Secretariat supported the President of the COP to provide a written submission to the United Nations Economic and Social Council (ECOSOC) High-level Political Forum on the SDGs in April 2020.

131. The Convention Secretariat participated in a United Nations General Assembly virtual side event in September 2020 that reviewed the current work of the UNIATF and agreed on the ways to provide more effective United Nations system support to enable countries to scale up their responses to NCDs during and beyond the COVID-19 pandemic.

132. With decision FCTC/COP6(16), the COP requested the Convention Secretariat to develop a technical paper in collaboration with WHO on the contribution and impact of implementing the WHO FCTC on achieving the reduction in the prevalence of current tobacco use, taking into account the various situations of the Parties and to report to each regular session of the COP until the Twelfth Session of the COP on the contribution that the Parties are making in the area of the reduction in the prevalence of current tobacco use.

133. This technical paper is provided to COP9 as a supplementary document and provides an update of the WHO estimates and projections of global targets on reduction of tobacco use and tobacco-related mortality. Global progress in the implementation of the WHO FCTC, described in detail based on the reports submitted by the Parties in the 2020 reporting cycle, is presented in document FCTC/COP/9/5.

134. As part of their implementation of Article 20 (Research, surveillance and exchange of information) of the Convention, a large number of Parties collect their national data within global or regional surveillance systems focused on tobacco or NCDs. These data serve as basis for monitoring national, regional and global trends for tobacco use. Parties to the Convention report such data regularly, as part of their biennial implementation reports, and they also report such information to WHO. The Convention Secretariat and WHO share such data with each other to ensure that the most recent information is used for monitoring purposes.

135. WHO estimates show that 58 Parties, or 32% of Parties, are likely to achieve the global NCD tobacco target by 2025. An additional 83 Parties, or 46% of Parties, have decreasing rates and need only accelerate the work they are already doing. Of note, eight Parties are expected to experience no decrease in smoking prevalence, and another six Parties can expect tobacco use rates to increase unless effective policies are urgently put into place. Trends are unknown in 27 Parties where insufficient nationally representative surveys have been reported. In summary, most Parties need to accelerate tobacco control activities in order to achieve the NCD target.

4.3 Action in support of SDG 3, Target 3.a

136. On the occasion of the High-level Political Forum 2020, under the auspices of the ECOSOC, the Convention Secretariat together with the UNIATF held a successful virtual side event to highlight progress made in the integration of (SDG Target 3.a: “Strengthen the implementation of the WHO Framework Convention on Tobacco Control in all countries...” into national and global agendas. The side event was also an opportunity to launch the Guide for WHO FCTC Parties on including SDG Target 3.a in Voluntary National Reviews.

4.4 Communications plan on the Global Strategy

137. In line with Specific Objective 2.1.5 of the *Global Strategy to Accelerate Tobacco Control: Advancing Sustainable Development through the Implementation of the WHO FCTC 2019–2025*, the

Convention Secretariat engaged a communications agency to help develop a communications plan for the Global Strategy to also raise the profile and visibility of the Convention. A page dedicated to the Global Strategy was created on the Convention Secretariat website.¹ The Global Strategy has been prepared in six languages and available for download from the website (to date it has been downloaded 3818 times).² During what would have been the week of COP9 to the WHO FCTC in November 2020 at The Hague, Netherlands, and to mark what would have been key deliberations and discussions taking place at COP9, the Convention Secretariat launched a teaser campaign titled “It’s Time” to promote awareness around the Global Strategy and the importance of accelerating implementation of the Convention as a means of advancing sustainable development. The full set of teaser campaign materials in six languages is available for download on the website.³

138. The campaign set was shared among partners and colleagues and across social media channels. The teaser campaign brought 89 new followers to the Twitter account⁴ and earned 134 000 impressions on social media. On Facebook, the campaign reached 4321 people. On the Convention Secretariat’s website, the Global Strategy page was among the top 10 most visited pages. The visuals of the Global Strategy’s teaser campaign has been used by Parties for in-country activities, for example, during needs assessment missions.

4.5 Coordination platform

139. The Coordination Platform of the WHO FCTC that covers the many aspects of technical assistance mechanism provided to the Parties or tools that Parties could benefit from is currently being enhanced and its content migrated to a more secure platform. Further enhancements can be expected once all content is on the new server. These include new databases currently under development such as the COP8-mandated information hub for Article 13 of the WHO FCTC (cross-border tobacco advertising, promotion and sponsorship).

5. CATALYSE AND LEVERAGE THE CONTRIBUTIONS OF EXTERNAL STAKEHOLDERS, PARTICULARLY CIVIL SOCIETY, TO ACHIEVE THE AIMS OF THE CONVENTION

5.1 Promoting international cooperation including with NGOs observes to the COP

140. The Convention Secretariat organized two virtual meetings with NGO observers, on 17 June 2020 and 16 December 2020, with the objectives to facilitate stronger cooperation and increased collaboration in the implementation of the Convention. The frequency increased from once to twice a year at the request of NGOs. The rate of participation also increased substantially, taking advantage of remote participation, given the limitations to travel imposed by the COVID-19 pandemic.

¹ <https://fctc.who.int/who-fctc/overview/global-strategy-2025>.

² <https://apps.who.int/iris/handle/10665/325887>.

³ <https://fctc.who.int/who-fctc/overview/global-strategy-2025>.

⁴ <https://analytics.twitter.com/user/FCTCofficial/home>.

6. IMPROVE THE GOVERNANCE AND ADMINISTRATIVE MECHANISMS OF THE WHO FCTC TO ENSURE THAT ALL WHO FCTC-RELATED ACTIVITIES UNDERTAKEN ARE PRIORITIZED, EFFECTIVE AND SUSTAINABLE, AND INSULATED FROM ANY INFLUENCE BY THE TOBACCO INDUSTRY

6.1 Implementation Review Mechanism pilot project

141. The Convention Secretariat conducted 12 independent reviews of Parties' implementation of the WHO FCTC – two from each WHO Region that have initially volunteered to take part in the exercise. Each Party will receive in the first quarter of 2021 tailored reports, with observations on their achievements and recommendations on future actions. A report to COP9 is being developed.

142. Country reports for the 12 Parties that voluntarily participated in the Implementation Review Mechanism (IRM) pilot project exercise were drafted and finalized by experts. In most cases, as part of the process, experts also conducted interviews with key informants (WHO FCTC/IRM Focal Points) of the participating Parties. After finalization, the Convention Secretariat has sent or is in the process of sending out the individual Party review reports to health ministries and Party Focal Points.

143. The Convention Secretariat is also finalizing the “review of reviews”, which will highlight the main observations across the 12 Party reports and will attempt to draw conclusions on the best ways of assisting further the volunteer Parties in addressing their needs. This summary report will hopefully facilitate mutual assistance and cooperation among Parties within the group of volunteers and beyond, and its conclusions will be utilized in the report that the Convention Secretariat is preparing for COP9.

144. Further, the Convention Secretariat is finishing the report to COP9, which will include draft terms of reference and a costed strategy for the proposed model for an IRM, as envisaged in the Global Strategy Objective 3.1.2.

6.2 Article 5.3 of the WHO FCTC

145. The Convention Secretariat has continued efforts to counter industry interference in tobacco control programmes. Awareness-raising work has contributed to key advances, including by continuing the promotion and advocacy for the uptake of the Model Policy for United Nations agencies through work at UNIATF. The Convention Secretariat has also developed, under the guidance of the Bureaus, the documents and processes to operationalize the relevant COP8 decisions in this matter, such as FCTC/COP8(12) on “Maximizing transparency of delegations from Parties and observers to the Conference of the Parties, its subsidiary bodies and other WHO FCTC meetings”, and FCTC/COP8(4) on the “Code of Conduct and Declaration of Interests for the Members of the Bureau and the Regional Coordinators of the Conference of the Parties to the WHO Framework Convention on Tobacco Control and on proposed measures preventing and addressing possible conflicts of interest at the Convention Secretariat”.

146. The Convention Secretariat has overseen the increasing support to Parties provided by its global network of Knowledge Hubs. As part of the global efforts, the Convention Secretariat, together with the Knowledge Hub for Article 5.3 of the WHO FCTC, have promoted tobacco industry monitoring efforts, in line with the Guidelines for Implementation of Article 5.3 of the Convention. In addition, the three observatories on tobacco industry interference and other monitoring projects promoted and supported by the Knowledge Hubs help in monitoring and alerting policy-makers to tobacco industry tactics and

situations of non-alignment with Article 5.3 of the WHO FCTC. These institutions and projects are valuable treaty multipliers, which increase the Convention's effectiveness at relatively low cost. The Convention Secretariat has also worked together with WHO in identifying and avoiding potential conflict of interests in events where its staff is invited.

147. As per decision FCTC/COP8(18), the Convention Secretariat is also working with the Knowledge Hub for Article 5.3 of the WHO FCTC to set up a resource database comprising evidence-based information, such as tobacco industry policy submissions and funded groups, derived from the Parties and observatories and other evidence-based information from WHO and observers to the COP.

148. The Convention Secretariat has also contributed to a two-day consultative meeting organized on 12–13 February by the WHO Regional Office for the Eastern Mediterranean and partners, including the participation of the WHO FCTC Knowledge Hub on Waterpipes and the WHO FCTC Knowledge Hub on Article 5.3 of the WHO FCTC, to address the evolving activities of the tobacco industry in the Region and devise response strategies under the theme “Article 5.3: What's Next?”, including by using the means of liability as provided for by Article 19 of the WHO FCTC.

7. MANAGE THE FINANCES OF THE CONVENTION TO MAXIMIZE ITS EFFICIENCY AND EFFECTIVENESS AND FIND NEW REVENUE STREAMS TO SUPPORT WHO FCTC IMPLEMENTATION ACTIVITIES

149. The Convention Secretariat continues to make efforts to collect Assessed Contributions (AC) and is working with Parties to settle the AC arrears.

150. The Convention Secretariat continued its fundraising efforts and is undertaking discussions with donors and partners for Extra-budgetary Contributions (EB) for implementation of the workplan.

151. COP8 mandated the Convention Secretariat in decision FCTC/COP8(5) to make recommendations at COP9 for establishment and operation of a WHO FCTC Investment Fund. A consultant engaged by the Convention Secretariat continues to facilitate the preparation of the report and supporting documentation on the proposed WHO FCTC Investment Fund. A series of regional virtual consultations with Parties was organized in November and December 2020 to further discuss the proposed Investment Fund.

152. Furthermore, the Convention Secretariat continues to make a sustained effort in realizing greater savings through increased efficiency and careful budget management. These include making the most efficient use of existing staff who are fully involved in various functions, outsourcing certain services to make them more cost-effective, reducing as much as possible the amount of travel, limiting the number of staff participating in meetings abroad, engaging in direct negotiations with suppliers to ensure better prices, making the best use of information technology and digital platforms to conduct virtual meetings and activities when appropriate, and adhering to a green policy, thus saving paper and photocopy costs. The Convention Secretariat has also gained useful lessons and experiences from implementing mandates and activities in the midst of the global COVID-19 pandemic, thus ensuring better and more efficient utilization of virtual means and resources in the future.

8. PROMOTE OPTIMAL OPERATION OF THE COP AND THE CAPACITY AND ABILITY OF THE CONVENTION SECRETARIAT TO PROVIDE SUPPORT TO THE COP AND TO THE PARTIES IN THEIR IMPLEMENTATION, MONITORING AND REPORTING WORK

153. The Convention Secretariat has established over the years and continues to maintain some senior technical positions, secondments and a number of short-term contracts. The Head of the Secretariat has continued in 2020 to promote personnel development and emphasized the need for transparency, while fostering accountability and a positive working environment. Staff recruitment has conformed to WHO recruitment policy and has been managed with an increased focus on transparency. An open-door policy has been implemented to facilitate the contacts of the staff with the Head of the Secretariat. The Convention Secretariat has ensured that proper budget planning is aligned with human resources planning and that positions are filled and/or extended in a timely manner to provide stability to the personnel and a seamless implementation of work. The Convention Secretariat has completed a number of recruitments in 2020 and is finalizing the remaining final recruitments in early 2021.

154. The Convention Secretariat is working closely with the Office of the Director-General (DGO) to inform staff in WHO about the WHO Hosting Terms for the Convention Secretariat, which were promulgated by the WHO Director-General in October 2019.

155. The Convention Secretariat is complying with the recommendations made by the External Audit in 2019. The Head of the Secretariat has worked in compliance with the Delegation of Authority received from the WHO Director-General during the year, and has followed WHO staff policies and financial regulations, as well as WHO Accountability Framework.

156. To mark the 15th anniversary of the entry into force of the WHO FCTC, on 5 March 2020, the Convention Secretariat and WHO co-organized an event with high-level participation. Furthermore, this event was also the first public appearance of Dr Adriana Blanco Marquizo as the newly appointed Head of the Secretariat, who took office on 1 March 2020. This celebration was co-hosted by H.E. Mr Esmail Baghaei Hamaneh, President of the Conference of the Parties, and Dr Tedros Adhanom Ghebreyesus, WHO Director-General. The event was well attended with over 100 participants representing Parties, IGOs and NGOs, and other actors that have played and continue to play a key role in the implementation of the WHO FCTC. The event was also livestreamed in three United Nations languages (English, French and Spanish). The event provided an opportune occasion to review the achievements in tobacco control over the past 15 years, and to look at the future opportunities and priorities in strengthening implementation of the Convention in line with the Global Strategy adopted at the Eighth Session of the COP.

157. The Secretariat also launched an online and an off-line anniversary campaign. The campaign included a news release, a campaign page,¹ and a set of visual elements such as a brochure, videos, infographics, posters and campaign banners with the slogans of the campaign. Prior to that date, the Convention Secretariat reached out to its partners and stakeholders to join the celebration by encouraging them to send a personal testimonial and to encourage them to raise awareness about the Convention during and after the celebration. All of them were invited to share their celebration with the Secretariat and received a 15-year anniversary communications toolkit.²

¹ <https://fctc.who.int/who-fctc/15th-anniversary-of-the-entry-into-force>.

² <https://fctc.who.int/publications/m/item/15-years---communications-toolkit>.

158. The Convention Secretariat also showcased those campaigns at WHO headquarters and across WHO regions by sending email communications, placing posters in the WHO headquarters building, and co-drafting and publishing the promotion of the event on the WHO intranet.

159. All the visuals and editorial promotion (press releases) were published on the official social media channels of the Convention Secretariat. The digital materials increased traffic on the website and on Twitter and Facebook. On Twitter the Secretariat earned 564 new followers and had 340 700 social media impressions during the month of the campaign. Engagement also grew on the YouTube channel with 1854 views of the videos.

160. The WHO FCTC website has been continuously updated in the six United Nation official languages, while social media accounts on Twitter, Facebook and YouTube have been promoted, attracting a growing number of followers. A total of 24 news releases were published on the website. In 2020, there were 2056 new followers on the Twitter account and 402 new followers on Facebook. YouTube subscriptions increased by 20%.

161. The Head of the Secretariat has given media interviews to explain the Convention Secretariat's role and policies, and she has written seven articles/editorials to promote the WHO FCTC, its Guidelines for Implementation and the Protocol, and spoke as panellist and delivered presentations at various webinars. A number of changes are being introduced in the WHO FCTC website, including migration to the new WHO content management system (Sitefinity). This migration includes creating and editing around 400 pages and uploading and processing around 2000 documents.

162. The Convention Secretariat is developing an overarching communications strategy including branding and visual guidelines to harmonize the look and feel of the information products of the Convention Secretariat. As part of this overarching strategy, a communications campaign is being implemented to raise awareness about the Global Strategy to Accelerate Tobacco Control: Advancing Sustainable Development through the Implementation of the WHO FCTC 2019–2025. Two other communication campaigns in the pipeline are related to awareness raising of Article 5.3 of the WHO FCTC and tobacco industry interference, and of the Protocol. These will be rolled out in 2021.

**STATEMENT OF INCOME AND EXPENDITURE FOR THE PERIOD
1 JANUARY 2020 TO 31 DECEMBER 2020 (EXPRESSED IN US\$)**

		Total
Opening balance, 1 January 2020		11 979 813
Revenue		
Assessed Contributions (AC) COP8 approved	8 800 522	
Extra-budgetary Contributions (EB)	7 546 019	16 346 541
Total Revenue		28 326 354
Expenses as at 31 December 2020 (details below)*	7 345 501	
PSC January 2020–December 2020	158 181	
Total expenses		7 503 682
Fund balance at 31 December 2020		20 822 672
Less		
Receivable from AC prior biennia (2006–2019)	-606 381	
Reserve for non-payment AC 2020–2021 (2%)	-176 010	-782 391
Funds available, 31 December 2020		20 040 281

*This includes US\$ 210 283 of expenditures incurred under the MOP workplan.

Status of Assessed Contributions (AC) 2020–2021

Approved Assessed Contributions		8 800 522
Collected as at 31 December 2020	4 026 968	
Outstanding	4 773 554	

DESCRIPTION OF EXPENDITURES

Activity	Assessed Contributions (AC) approved	Extra-budgetary Contributions (EB) Approved	Total approved	Available AC	Available EB	% mobilized	Total available funds	Total spent	Total balance
1. Governance									
1.1 Pre-COP arrangements									
1.1.1 Six Preparatory COP regional meetings									
(a) Two Convention Secretariat staff member's travel and per diem to each region and travel support and per diem for eligible Parties	0	176 150	176 150	0	97 373	55	97 373	3 102	94 271
1.1.2 Online tool (Training for delegations' preparations)									
(a) Development, creation	0	68 200	68 200	0	0	0	0	0	0
(b) Distribution, training and online support to users	0	0	0	0	0	0	0	0	0
1.2 Conference of the Parties									
1.2.1 Logistics – overall organization									
(a) Rentals, services, salaries of short-term conference staff and overtime of staff	367 960	0	367 960	367 960	0	100	367 960	0	367 960
(b) Interpreters salaries	340 026	0	340 026	340 026	0	100	340 026	0	340 026
(c) Security	51 000	0	51 000	51 000	0	100	51 000	0	51 000
(d) Travel support for eligible Parties	304 550	0	304 550	304 550	0	100	304 550	0	304 550
(e) Per diem for low- and middle-income (LMIC) countries	0	101 052	101 052	0	0	0	0	0	0

Activity	Assessed Contributions (AC) approved	Extra-budgetary Contributions (EB) Approved	Total approved	Available AC	Available EB	% mobilized	Total available funds	Total spent	Total balance
(f) Reception	0	90 000	90 000	0	0	0	0	0	0
(g) Screening of Declaration of Interests form for delegates as appropriate	25 000	0	25 000	25 000	0	100	25 000	20 000	5 000
1.2.2 Evening session (4 evening sessions)	65 000	0	65 000	65 000	0	100	65 000	0	65 000
1.2.3 Documentation (pre-, in- and post-session)									
(a) Editing and translation of COP official documentation (pre-session)	200 000	0	200 000	200 000	0	100	200 000	12 142	187 858
(b) Editing, translation and printing of COP official documentation (in-session)	185 000	0	185 000	185 000	0	100	185 000	0	185 000
(c) Salary of précis writers	27 300	0	27 300	27 300	0	100	27 300	0	27 300
(d) Editing and translation of COP report and verbatim (post session)	25 000	0	25 000	25 000	0	100	25 000	0	25 000
1.2.4 Invited speakers	0	5 500	5 500	0	0	0	0	0	0
1.2.5 High-level Segment									
(a) Travel and per diem for one VIP and one entourage per region	0	27 500	27 500	0	0	0	0	0	0
(b) Security	0	10 000	10 000	0	0	0	0	0	0
1.2.6 COP9 campaign and media									
(a) Creative idea, campaign strategy, visuals, booth, promotion materials, website, two photographers, videographer and exhibition	0	45 000	45 000	0	0	0	0	0	0

Activity	Assessed Contributions (AC) approved	Extra-budgetary Contributions (EB) Approved	Total approved	Available AC	Available EB	% mobilized	Total available funds	Total spent	Total balance
(b) Six months of Communications/media relations services (either by secondment or direct contract)	0	137 000	137 000	0	0	0	0	0	0
(c) COP9 software application (APP)	1 000	0	1 000	1 000	0	100	1 000	0	1 000
1.2.7 Bureau of the COP/Meetings									
(a) Prepare and support the work of the Bureau and convene meetings	26 500	0	26 500	26 500	0	100	26 500	0	26 500
(b) Travel support and per diem for the Bureau Members	124 665	0	124 665	124 665	0	100	124 665	0	124 665
(c) Interpretation (3 languages)	11 000	0	11 000	11 000	0	100	11 000	47 528	-36 528
(d) Set-up and maintenance of the secured online platform	3 000	0	3 000	3 000	0	100	3 000	0	3 000
Subtotal Area of Work 1	1 757 001	660 402	2 417 403	1 757 001	97 373	77	1 854 374	82 772	1 771 602
2. Protocols, guidelines and other possible instruments for implementation of the Convention									
2.1 Intergovernmental working/expert groups									
(a) Expert Group (EG) on Articles 9 and 10 as decided by COP8, one meeting of the group and intersessional work of the key facilitators and the Convention Secretariat	0	100 000	100 000	0	119 250	119	119 250	72 757	46 493
(b) Working Group (WG) on Article 13 as decided by COP8, one meeting of the group and intersessional work of the key facilitators and the Convention Secretariat	50 000	35 000	85 000	50 000	18 397	80	68 397	15 000	53 397

Activity	Assessed Contributions (AC) approved	Extra-budgetary Contributions (EB) Approved	Total approved	Available AC	Available EB	% mobilized	Total available funds	Total spent	Total balance
(c) WG on a topic on implementation assistance or the implementation review mechanism, if established by the COP. There needs to be a body that monitors the implementation of the Medium-term Strategic Framework (MTSF)	150 000	130 000	280 000	150 000	15 000	59	165 000	51 164	113 836
Subtotal for Area of Work 2	200 000	265 000	465 000	200 000	152 647	76	352 647	138 921	213 726
3. Reporting under the WHO FCTC									
3.1 Support for Parties in fulfilling their reporting obligations and global progress reports on implementation of the Convention									
(a) Conduct the biennial reporting cycle in 2020	50 000	0	50 000	50 000	0	100	50 000	13 897	36 103
(b) Analyse Parties' reports and develop the 2020 Global Progress Report (identify trends, areas of progress, challenges in implementation and areas/articles of the Convention proposed for further exploration).	100 000	0	100 000	100 000	0	100	100 000	23 053	76 947
(c) Strengthen capacity of Parties to report	0	250 000	250 000	0	40 000	16	40 000	0	40 000
Subtotal for Area of Work 3	150 000	250 000	400 000	150 000	40 000	47.5	190 000	36 950	153 050

Activity	Assessed Contributions (AC) approved	Extra-budgetary Contributions (EB) Approved	Total approved	Available AC	Available EB	% mobilized	Total available funds	Total spent	Total balance
4. Facilitate enhanced implementation of the WHO FCTC through the provision of technical assistance to Parties in implementing provisions of the Convention with particular focus on developing country Parties and Parties with economies in transition (including but not limited to activities of the FCTC 2030)									
4.1. Direct Assistance to Parties									
(a) Needs assessments missions, post-needs assessment assistance and follow-up support to Parties	0	800 000	800 000	0	248 277	31	248 277	100 000	148 277
(b) Development of investment/business cases and follow-up support to Parties	0	800 000	800 000	0	495 000	62	495 000	0	495 000
(c) Provide technical assistance to Parties for a specific issue upon request giving priority to the time-bound measures	0	900 000	900 000	0	7 459 815	829	7 459 815	2 763 891	4 695 924
(d) Direct assistance to Parties for the implementation of Articles 17 and 18	0	240 000	240 000	0	50 000	21	50 000	0	50 000
4.2 Assistance to Parties by sharing lessons and evidence through South–South and Triangular cooperation									
(a) Assist and facilitate interested partners in South–South and Triangular cooperation	0	500 000	500 000	0	5 250	1	5 250	0	5 250
(b) Encourage the use of the South–South networking platform on the WHO FCTC Coordination Platform	0	50 000	50 000	0	0	0	0	0	0
(c) Evaluate efficacy and sustainability of South–South projects	0	40 000	40 000	0	40 000	100	40 000	0	40 000

Activity	Assessed Contributions (AC) approved	Extra-budgetary Contributions (EB) Approved	Total approved	Available AC	Available EB	% mobilized	Total available funds	Total spent	Total balance
4.3 Assistance to Parties through training, knowledge sharing and sharing of good practices and networking									
(a) Global, regional or subregional workshops on specific challenges in the implementation of the WHO FCTC	0	600 000	600 000	0	755 000	126	755 000	0	755 000
(b) KHs: Coordinate the work of the existing KHs and their provision of assistance to Parties in line with COP decisions	0	300 000	300 000	0	71 000	0	0	0	0
(c) Establishment of a Hub for Article 13	0	50 000	50 000	0	50 000	100	50 000	0	50 000
(d) Observatories on Article 5.3: coordinate and assist the Knowledge Hub for Article 5.3 to oversee and assist the work of existing observatories and advise those Parties that would like to engage in tobacco industry monitoring	0	250 000	250 000	0	50 000	20	50 000	0	50 000
(e) Sustain appropriate communication channels to enhance communication with the Parties	0	50 000	50 000	0	0	0	0	0	0
(f) Development of e-learning tools	0	300 000	300 000	0	36 000	12	36 000	0	36 000
4.4 Assistance to Parties through the development of toolkits, manuals and publications									
(a) Preparation of toolkits and manuals to assist in the implementation	0	300 000	300 000	0	190 000	63	190 000	25 164	164 836
(b) Publication of global, regional and national studies	0	120 000	120 000	0	340 731	284	340 731	150 731	190 000

Activity	Assessed Contributions (AC) approved	Extra-budgetary Contributions (EB) Approved	Total approved	Available AC	Available EB	% mobilized	Total available funds	Total spent	Total balance
(c) Preparation of policy recommendation report on novel tobacco products	0	50 000	50 000	0	50 000	100	50 000	0	50 000
(d) Preparation of policy recommendation options report on Article 17 and 18	0	50 000	50 000	0	0	0	0	0	0
4.5 Monitoring and evaluation									
(a) Monitoring and evaluation of projects and activities to assist Parties on the implementation of the WHO FCTC	0	100 000	100 000	0	420 000	420	420 000	0	420 000
Subtotal for Area of Work 4	0	5 550 000	5 500 000	0	10 261 073	187	10 261 073	3 039 786	7 221 287
5. Coordination with international and regional intergovernmental organizations and other bodies									
5.1. Promoting international cooperation including with IGOs and NGO observers to COP									
(a) Develop an operational plan on international cooperation by the Convention Secretariat	0	0	0	0	0	0	0	0	0
(b) Apply for observer status for all relevant international intergovernmental organizations (IGOs) for the COP; with a specific focus for the UN General Assembly (UNGA) and the United Nations Economic and Social Council (ECOSOC)	0	0	0	0	0	0	0	0	0
(c) Invite relevant IGOs to become observers to the COP	0	0	0	0	0	0	0	0	0
(d) Increase visibility of the Convention Secretariat	0	15 000	15 000	0	0	0	0	0	0

Activity	Assessed Contributions (AC) approved	Extra-budgetary Contributions (EB) Approved	Total approved	Available AC	Available EB	% mobilized	Total available funds	Total spent	Total balance
(e) Increase visibility of the Convention in meetings organized by civil society	0	15 000	15 000	0	0	0	0	0	0
(f) Increase visibility and activities in the United Nations Economic and Social Council (ECOSOC) and United Nations General Assembly to increase action on SDG agenda	0	10 000	10 000	0	0	0	0	0	0
(g) Promote international multisectoral approach to tobacco control	0	0	0	0	0	0	0	0	0
(h) Increase cooperation with other secretariats of UN treaty bodies including human rights treaties	0	10 000	10 000	0	70 000	700	70 000	0	70 000
5.2 Coordination with UNIATF and promote NCDs global agenda									
(a) Continue to implement multisectoral assistance activities to Parties in cooperation with members of the UN Interagency Task Force on the Prevention and Control of Noncommunicable Diseases (UNIATF) and the Global Coordinating Mechanism on NCDs (NCD Global Coordination Mechanism)	0	10 000	10 000	0	40 000	400	40 000	0	40 000

Activity	Assessed Contributions (AC) approved	Extra-budgetary Contributions (EB) Approved	Total approved	Available AC	Available EB	% mobilized	Total available funds	Total spent	Total balance
6.2. Awareness raising, publications, website and web applications and implementation of communications plan									
(a) Disseminate information to the WHO FCTC technical and official focal points and to Observers to COP focal points	0	152 000	152 000	0	0	0	0	0	0
(b) Updating of the WHO FCTC website in the six WHO official languages	0	100 000	100 000	0	0	0	0	0	0
(c) Feeding WHO FCTC social media channels on Facebook, Twitter and YouTube	0	50 000	50 000	0	0	0	0	0	0
(d) Printing and disseminating technical WHO FCTC basic and technical publications	0	40 000	40 000	0	0	0	0	0	0
(e) Increase profile and visibility of the Convention internationally at conferences and other events	0	50 000	50 000	0	50 000	100	50 000	0	50 000
(f) World No Tobacco Day (WNTD)	0	40 000	40 000	0	0	0	0	0	0
(g) Celebrating WHO FCTC anniversaries	0	84 000	84 000	0	28 986	35	28 986	28 986	0
(h) Printing and disseminating rules of procedure if amended by COPP	0	10 000	10 000	0	0	0	0	0	0
(i) UN tobacco control newsroom	0	10 000	10 000	0	0	0	0	0	0

Activity	Assessed Contributions (AC) approved	Extra-budgetary Contributions (EB) Approved	Total approved	Available AC	Available EB	% mobilized	Total available funds	Total spent	Total balance
(j) Office equipment for the Secretariat including information technology devices	15 872	20 000	35 872	15 872	30 000	128	45 872	9 465	36 407
Subtotal for Area of Work 6	75 872	533 200	609 072	75 872	214 646	48	290 518	113 306	177 212
Grand Total Activities	2 182 873	7 128 882	9 591 475	2 182 873	10 875 739	120	13 058 612	3 411 735	9 646 877
	AC approved	EB approved	Total approved	Available AC	Available EB	% mobilized	Total available funds	Total spent	Total balance
Staff	5 605 200	4 257 000	9 862 400	5 605 200	2 855 690	86	8 460 890	3 982 868	4 478 022

TOTAL expenditures January 2020–December 2020

7 345 501

Programme Support Costs (PSC) January 2020–December 2020

158 181

GRAND TOTAL

7 503 682