



# WORLD HEALTH ORGANIZATION

**OPEN-ENDED INTERGOVERNMENTAL  
WORKING GROUP ON THE  
WHO FRAMEWORK CONVENTION  
ON TOBACCO CONTROL  
Second Session  
Provisional agenda item 5.2**

**A/FCTC/IGWG/2/3  
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## **Draft budget for the first financial period**

### **Financial history of WHO's Tobacco Free Initiative**

#### **Note by the Secretariat**

#### **INTRODUCTION**

1. This document is based on the discussions that took place at the first session of the Intergovernmental Working Group on the Draft Budget for the first financial period, document A/FCTC/IGWG/1/6, and on identification of next steps. A summary of those discussions is recorded in the Draft report of the first session of the Inter-Governmental Working Group (documents A/FCTC/IGWG/1/8, paragraphs 55 to 64 and paragraph 80 (e)) In the course of the discussions requests were made for financial information that might give some indication of the likely costs of implementing the Framework Convention and the possible level and structure of the budget.
2. This document deals with two of the specific requests for financial information, namely, the request for a breakdown of the expenditure of WHO's Tobacco Free Initiative over the previous five years. and the request for the proposed budget allocations for the Initiative for the biennium 2006-2007.<sup>1</sup>
3. The Secretariat has therefore prepared four financial tables giving a budget and breakdown of expenditure on tobacco by expected results, office and region for each of the four bienniums 2000-2001, 2002-2003, 2004-2005 and 2006-2007; a fifth table summarizes the budget and expenditure for the entire eight-year period (see Annexes 1 to 5 respectively). The seven major areas of activity are discussed in detail below. As results-based budgeting and a financial tracking mechanism for the tobacco area of work were only introduced from the biennium 2000-2001, earlier figures could not be abstracted from larger projects and programmes without undue investment of time and effort. This document considers expenditure since that biennium. It should be noted that the figures include WHO's administrative budget and expenditure for tobacco, and that the figures for the regions include expenditure and budgets for WHO's 147 country offices.
4. In order to achieve consistency between the expected results for the bienniums 2000-2001 and 2002-2003 and those for the bienniums 2004-2005 and 2006-2007, which differed because of a change

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<sup>1</sup> See document A/FCTC/IGWG/1/8, paragraph 56.

in reporting methods, all tobacco-related activities had to be identified and assigned to each of the seven major areas of activity, using a “best fit” method for those that fitted into more than one category. The funding allocations were then matched by activity to each of the expected results. Where an allocation overlapped more than one major activity, it was broken down by percentage (e.g. 50%-50% or 40%-30%-30%) based on experience at headquarters in the regions.

5. The extra resources needed to implement Article 24 of the Framework Convention have not been included in the Proposed Programme Budget 2006-2007. Should the Conference of the Parties assign permanent Secretariat function to WHO, provision for additional financial resources will have to be made.

6. The past and proposed expenditure shown in the tables have not and will not meet all the Initiative’s needs and requirements. Limited funding and insufficient human resources already prevent it from reaching all its stated objectives, and the additional tasks imposed by the implementation of the Framework Convention will result in further constraints.

## **ORGANIZATION-WIDE EXPECTED RESULTS FOR THE TOBACCO FREE INITIATIVE**

7. The financial information presented in this document is based on the expenditure and estimated resource requirements that have been or are expected to be used to achieve results in the seven major expected results categories;. this section describes the work programmes and activities associated with each of those categories.

8. The expected results are divided into seven major areas of activity:

- Capacity building and training
- Tobacco Free Initiative global network
- Surveillance and monitoring programme
- Research and policy development
- Communications and media
- Secretariat functions for the WHO Framework Convention on Tobacco Control
- Planning and management

9. **Capacity building and training.** In this area, the Initiative works on the planning and implementation of tobacco-control projects aimed at strengthening national tobacco-control capacity. Its activities include technical support for the preparation of national plans of action, human resource development, establishment of basic infrastructure, establishment of multisectoral committees and adjustment of recommended activities to existing programmes and structures. The Initiative, organizes regional, subregional and national workshops to support countries in developing and implementing tobacco-control measures tailored to their local needs, allocating WHO seed grants for the establishment of country programmes. It provides support for the preparation of national legislation,

and for economic and product regulation, and prepares and disseminates tobacco-control guidelines and reports.

10. **Tobacco Free Initiative global network** - The Initiative participates with collaborating centres and other international agencies to promote regional and country tobacco-control work. Within WHO, it participates in and contributes to internal coordination and Organization wide development programmes including the preparation of reports for and attendance at meetings of WHO's governing bodies. It also attends and participates in fund-raising exercises. The Initiative provides the secretariat of the WHO Study Group on Tobacco Product Regulation, which advises WHO about recommendations and scientific advice to Member States on evidence-based means to achieve a coordinated regulatory framework for tobacco products. The Initiative also provides secretariat functions for the United Nations Ad Hoc Interagency Task Force on Tobacco Control, which is chaired by WHO, working with the Task Force to develop cross-sectoral tobacco-control projects. It collaborates with nongovernmental organizations to support global, regional and country tobacco control through educational campaigns, training sessions, awareness workshops and the production of tobacco-control materials and participates in world conferences and other global and regional meetings relevant to tobacco control. It disseminates information on current practices and lessons learned from country experiences.

11. **Surveillance and monitoring programme.** The Initiative monitors and evaluates international tobacco-related issues by reviewing structural elements (task forces, commissions, nongovernmental organizations), process developments (laws and regulations, economics, behaviour, exposure, advocacy) and epidemiological data (prevalence, morbidity, mortality). It has established a global tobacco surveillance system including the Global Youth Tobacco Survey, the Global School Personnel Survey and the Global Health Professionals Survey. A global tobacco-control information system has been implemented and tobacco industry monitoring reporting, research and analysis are being carried out.

12. **Research and policy development.** In this area of activity, the Initiative collaborates with an international network of scientists and health experts to promote research into various aspects of tobacco production and consumption and their impact on health and economics. It develops and disseminates policy recommendations on second-hand tobacco smoke; tobacco and youth; gender-specific tobacco issues; smoking cessation; health professionals' role in tobacco control; and tobacco and tuberculosis. It also conducts economic research into tobacco control at the global, regional and country levels.

13. **Communications and Media.** The Initiative works to ensure that tobacco remains in the public consciousness by supporting anti-tobacco media campaigns and workshops undertaken by local, national and international civil society organizations. It sponsors and coordinates World No Tobacco Day with global and regional events, campaigns and awards, participates in media collaboration (interviews, writings, press activities) and has established and maintains its own web site. A progress report on its activities and work programme is continuously updated.

14. **WHO Framework Convention on Tobacco Control Secretariat Functions** - The Initiative provides support to WHO Member States, nongovernmental organizations and other partners in the tobacco-control, public health and legal aspects of the Framework Convention. It provides technical support to countries in their efforts to strengthen their infrastructure and take the necessary steps towards the signature, ratification and implementation of the Framework Convention. It prepares and disseminates background material on the treaty and responds to requests and technical questions about the treaty from permanent missions in Geneva and other government representatives. It also conducts and supports awareness-raising workshops and meetings with politicians, policy-makers, health

professionals and society at large. Prior to the adoption of the Framework Convention it has provided support for the Intergovernmental Negotiating Body and continues to support the Open-ended Intergovernmental Working Group, in particular preparing and disseminating documentation. It has also provided secretariat support for a global public hearing on the Framework Convention.

15. **Planning and Management.** This area of work consists of those management or planning functions which can be attributed to all the expected results in general and to no expected result in particular. It should be noted that this area of work is not specified as an expected result for the WHO budgetary process, but is normally included in each of the other expected results. Therefore, this line does not appear on the 2004-2005 or 2006-2007 reports on estimated budget resource requirements. However, when the actual expenditures are accounted for, certain expenditures such as management salaries, which can not be associated with a particular expected result, will be included under the planning and management line item. Currently, the reports on actual expenditure are available only for the biennium 2000-2001 and 2002-2003. When the 2004-2005 actual expenditures are available, the planning and management expenditures will be identified and listed.

## ANNEX 1

**EXPENDITURE BY EXPECTED RESULTS FOR TOBACCO FOR THE BIENNIUM 2000-2001 AT HEADQUARTERS  
AND BY REGION<sup>1</sup>  
(US\$ thousand)**

|   | Headquarters      | Africa         | The Americas  | South East Asia  | Europe           | Eastern Mediterranean | Western Pacific | Total             | %            |
|---|-------------------|----------------|---------------|------------------|------------------|-----------------------|-----------------|-------------------|--------------|
| Capacity-building and training              | 1 744 266         | 0              | 0             | 937 739          | 285 774          | 55 392                | 0               | 3 023 171         | 15.5         |
| WHO TFI global network                      | 1 465 311         | 0              | 0             | 0                | 300 000          | 0                     | 0               | 1 765 311         | 9.1          |
| Surveillance and monitoring                 | 1 311 755         | 0              | 0             | 338 993          | 0                | 0                     | 0               | 1 650 747         | 8.5          |
| Research and policy development             | 1 707 590         | 244 242        | 0             | 416 900          | 1 908 614        | 511 432               | 832 212         | 5 620 990         | 28.9         |
| Communications and media                    | 1 228 579         | 0              | 0             | 231 155          | 84 095           | 0                     | 17 625          | 1 561 454         | 8.0          |
| WHO Framework Convention on Tobacco Control | 3 176 197         | 377 293        | 58 206        | 100 000          | 33 900           | 0                     | 0               | 3 745 596         | 19.3         |
| Planning and management                     | 1 729 625         | 0              | 0             | 0                | 209 305          | 0                     | 145 366         | 2 084 296         | 10.7         |
| <b>Total</b>                                | <b>12 363 321</b> | <b>621 535</b> | <b>58 206</b> | <b>2 024 788</b> | <b>2 821 689</b> | <b>566 824</b>        | <b>995 203</b>  | <b>19 451 566</b> | <b>100.0</b> |
| <b>Percentage</b>                           | <b>63.6</b>       | <b>3.2</b>     | <b>0.3</b>    | <b>10.4</b>      | <b>14.5</b>      | <b>2.9</b>            | <b>5.1</b>      | <b>100.0</b>      |              |
| <b>Regional percentage</b>                  |                   |                |               |                  |                  |                       |                 |                   | <b>36.4</b>  |

<sup>1</sup> Data extracted from WHO's accounting database.

## ANNEX 2

**EXPENDITURE BY EXPECTED RESULTS FOR TOBACCO FOR THE BIENNIUM 2002-2003 AT HEADQUARTERS  
AND BY REGION<sup>1</sup>  
(US\$ thousand)**

|   | <b>Headquarters</b> | <b>Africa</b> | <b>The Americas</b> | <b>South East Asia</b> | <b>Europe</b> | <b>Eastern Mediterranean</b> | <b>Western Pacific</b> | <b>Total</b> | <b>%</b> |
|---|---------------------|---------------|---------------------|------------------------|---------------|------------------------------|------------------------|--------------|----------|
| Capacity-building and training              | 1 141 235           | 450 019       | 344 407             | 819 772                | 950 073       | 287 681                      | 1 527 756              | 5 520 943    | 21.8     |
| WHO TFI global network                      | 1 719 082           | 44 262        | 152 250             | 310 947                | 84 905        | 96 766                       | 86 826                 | 2 495 039    | 9.8      |
| Surveillance and monitoring                 | 62 163              | 341 634       | 261 043             | 203 848                | 412 278       | 122 716                      | 199 406                | 1 603 087    | 6.3      |
| Research and policy development             | 799 103             | 125 695       | 82 739              | 81 271                 | 476 242       | 175 451                      | 166 296                | 1 906 798    | 7.5      |
| Communications and media                    | 1 657 211           | 23 596        | 20 915              | 361 774                | 0             | 42 221                       | 9 788                  | 2 115 506    | 8.3      |
| WHO Framework Convention on Tobacco Control | 5 737 611           | 865 994       | 114 777             | 592 830                | 265 333       | 202 038                      | 176 437                | 7 955 020    | 31.3     |
| Planning and management                     | 2 179 761           | 290 819       | 297 349             | 209 267                | 298 482       | 175 586                      | 331 791                | 3 783 054    | 14.9     |
| <b>Total</b>                                | 13 296 166          | 2 142 019     | 1 273 480           | 2 579 709              | 2 487 312     | 1 102 460                    | 2 498 300              | 25 379 446   | 100.0    |
| <b>Percentage</b>                           | 52.4                | 8.4           | 5.0                 | 10.2                   | 9.8           | 4.3                          | 9.8                    | 100.0        |          |
| <b>Regional percentage</b>                  |                     |               |                     |                        |               |                              |                        |              | 47.6     |

<sup>1</sup> Data taken from WHO's Financial Report and Audited Financial Statements for the period 1 January 2002-31 December 2003 (document A57/20)

## ANNEX 3

**ESTIMATED BUDGET RESOURCE REQUIREMENTS BY EXPECTED RESULTS FOR TOBACCO FOR BIENNIUM 2004-2005  
AT HEADQUARTERS AND BY REGION<sup>1</sup>  
(US\$ thousand)**

|   | Headquarters | Africa    | The Americas | South East Asia | Europe    | Eastern Mediterranean | Western Pacific | Total      | %     |
|---|--------------|-----------|--------------|-----------------|-----------|-----------------------|-----------------|------------|-------|
| Capacity-building and training              | 1 760 512    | 843 144   | 229 632      | 984 320         | 441 344   | 563 456               | 636 928         | 5 459 336  | 26.7  |
| WHO TFI global network                      | 585 920      | 0         | 76 424       | 327 594         | 146 885   | 187 525               | 211 978         | 1 536 326  | 7.5   |
| Surveillance and monitoring                 | 1 526 694    | 700 986   | 199 134      | 853 590         | 382 728   | 488 622               | 552 336         | 4 704 090  | 23.0  |
| Research and policy development             | 442 879      | 0         | 57 767       | 247 618         | 111 026   | 141 744               | 160 227         | 1 161 261  | 5.7   |
| Communications and media                    | 463 510      | 0         | 60 458       | 259 153         | 116 198   | 148 347               | 167 691         | 1 215 357  | 5.9   |
| WHO Framework Convention on Tobacco Control | 2 097 485    | 906 870   | 273 585      | 1 172 725       | 525 820   | 671 305               | 758 840         | 6 406 630  | 31.3  |
| <b>Total</b>                                | 6 877 000    | 2 451 000 | 897 000      | 3 845 000       | 1 724 000 | 2 201 000             | 2 488 000       | 20 483 000 | 100.0 |
| <b>Percentage</b>                           | 33.6         | 12.0      | 4.4          | 18.8            | 8.4       | 10.7                  | 12.1            | 100.0      |       |
| <b>Regional percentage</b>                  |              |           |              |                 |           |                       |                 |            | 66.4  |

<sup>1</sup> Data taken from WHO's Proposed programme budget 2004-2005. No official expenditure figure available at the time this document was prepared.

## ANNEX 4

**ESTIMATED BUDGET RESOURCE REQUIREMENTS BY EXPECTED RESULTS FOR TOBACCO FOR BIENNIUM 2006-2007  
AT HEADQUARTERS AND BY REGION<sup>1</sup>  
(US\$ thousand)**

|   | Headquarters | Africa    | The Americas | South East Asia | Europe    | Eastern Mediterranean | Western Pacific | Total      | %     |
|---|--------------|-----------|--------------|-----------------|-----------|-----------------------|-----------------|------------|-------|
| Capacity-building and training              | 1 921 732    | 1 332 500 | 263 302      | 914 095         | 799 500   | 1 163 006             | 1 385 800       | 7 779 935  | 26.7  |
| WHO TFI global network                      | 540 825      | 375 000   | 74 100       | 257 250         | 225 000   | 327 300               | 390 000         | 2 189 475  | 7.5   |
| Surveillance and monitoring                 | 1 658 530    | 1 150 000 | 227 240      | 788 900         | 690 000   | 1 003 720             | 1 196 000       | 6 714 390  | 23.0  |
| Research and policy development             | 411 027      | 285 000   | 56 316       | 195 510         | 171 000   | 248 748               | 296 400         | 1 664 001  | 5.7   |
| Communications and media                    | 425 449      | 295 000   | 58 292       | 202 370         | 177 000   | 257 476               | 306 800         | 1 722 387  | 5.9   |
| WHO Framework Convention on Tobacco Control | 2 253 438    | 1 562 500 | 308 750      | 1 071 875       | 937 500   | 1 363 750             | 1 625 000       | 9 122 813  | 31.3  |
| <b>Total</b>                                | 7 211 000    | 5 000 000 | 988 000      | 3 430 000       | 3 000 000 | 4 364 000             | 5 200 000       | 29 193 000 | 100.0 |
| <b>Percentage</b>                           | 24.7         | 17.1      | 3.4          | 11.7            | 10.3      | 14.9                  | 17.8            | 100.0      |       |
| <b>Regional percentage</b>                  |              |           |              |                 |           |                       |                 |            | 75.3  |

Data taken from WHO's Proposed programme budget 2006-2007.

## ANNEX 5

**SUMMARY OF EXPENDITURE AND ESTIMATED RESOURCE REQUIREMENTS FOR TOBACCO  
FOR THE YEARS 2000-2008 AT HEADQUARTERS AND BY REGION  
(US\$ thousand)**

|   | Headquarters      | Africa            | The Americas     | South East Asia   | Europe            | Eastern Mediterranean | Western Pacific   | Total              | %                  |
|---|-------------------|-------------------|------------------|-------------------|-------------------|-----------------------|-------------------|--------------------|--------------------|
| Capacity-building and training              | 6 567 744         | 2 625 663         | 837 341          | 2 241 488         | 2 476 691         | 3 483 974             | 3 550 484         | 21 783 384         | 21.7               |
| WHO TFI global network                      | 3 386 652         | 794 262           | 376 874          | 938 860           | 681 790           | 1 153 072             | 1 078 804         | 8 410 315          | 8.4                |
| Surveillance and monitoring                 | 4 905 917         | 3 342 620         | 914 657          | 2 554 106         | 2 175 006         | 2 699 910             | 3 143 742         | 19 735 957         | 19.7               |
| Research and policy development             | 2 420 260         | 821 390           | 278 110          | 741 923           | 1 294 484         | 660 038               | 925 392           | 7 141 597          | 7.1                |
| Communications and media                    | 2 971 619         | 613 596           | 197 957          | 706 114           | 470 198           | 1 025 074             | 791 080           | 6 775 637          | 6.8                |
| WHO Framework Convention on Tobacco Control | 12 341 971        | 4 897 864         | 1 005 862        | 3 518 513         | 2 666 153         | 3 991 635             | 4 185 277         | 32 607 275         | 32.5               |
| Planning and management                     | 2 179 761         | 290 819           | 297 349          | 175 586           | 298 482           | 209 267               | 331 791           | 3 783 054          | 3.8                |
| <b>Total</b>                                | <b>34 773 924</b> | <b>13 386 214</b> | <b>3 908 150</b> | <b>10 876 590</b> | <b>10 062 803</b> | <b>13 222 968</b>     | <b>14 006 569</b> | <b>100 237 219</b> | <b>100.0</b>       |
| <b>Percentage</b>                           | <b>34.7</b>       | <b>13.4</b>       | <b>3.9</b>       | <b>10.9</b>       | <b>10.0</b>       | <b>13.2</b>           | <b>14.0</b>       | <b>100.0</b>       |                    |
| <b>Regional percentage</b>                  |                   |                   |                  |                   |                   |                       |                   |                    | <b>65.3</b>        |
| <b>Total</b>                                |                   |                   |                  |                   |                   |                       |                   |                    | <b>100 237 219</b> |