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Организация  
Объединенных Наций по  
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منظمة الأمم المتحدة  
للتربية والعلم والثقافة

联合国教育、  
科学及文化组织

## Internal Oversight Service

IOS/AUD/EVS/2011/14 Rev.

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# Review of the Management Framework for UNESCO Category 2 Institutes/Centres

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**Prepared by:**  
IOS Audit and Evaluation Staff

## EXECUTIVE SUMMARY

### Key results of the review

Institutes and centres under the auspices of UNESCO (category 2 institutes/centres) form an important part of UNESCO's network and represent, in principle, an effective partnership model. These institutes and centres have significant potential to contribute to the achievement of UNESCO's strategic programme objectives, particularly given their rapidly growing number in recent years. However, nearly half of the institutes/centres approved by the General Conference<sup>1</sup> are still not operational and of those up and running the Secretariat has yet to harness their full potential. The present management framework for category 2 institutes/centres sets clear overall boundaries and principles for engagement, but improved operationalization is needed in a number of areas. While some sectors have made progress in developing sectoral strategies on their engagement with category 2 institutes/centres, hydrology providing a best practice example, other sectors are lagging behind. Programme sectors also need to ensure that their reporting and communication documents contain information on the contribution of category 2 institutes/centres to the sectors' programmatic objectives. Finally, a Review Committee could be established to strengthen the inception and review phases.

1. The Independent External Evaluation (IEE) of UNESCO highlighted the diversity of the assets that UNESCO has nurtured since its inception, ranging from the National Commissions through to its institutes and centres. These assets, united by shared values, form a network with significant potential for contributing to UNESCO's goals. The limited sample of institutes/centres visited as part of this review, showed that the institutes/centres are making contributions to UNESCO's strategic programme objectives at a regional level.
2. The institutes and centres under the auspices of UNESCO (category 2) have been increasingly seen by Member States as an important extension of UNESCO's delivery arms. The number of category 2 institutes/centres has risen rapidly: 80 per cent of all category 2 institutes/centres were approved by the General Conference within the past ten years, half in the past four years. In view of their potential and increase in number, the General Conference adopted a number of principles for engagement with category 2 institutes/centres in 2005, later refined in 2009 (35 C/Resolution 103). The principles and associated model agreements provide a framework to engage the institutes/centres in a more systematic and effective manner.
3. This review assessed the design and application of the management framework successively put in place by UNESCO's governing bodies. Overall, the guidelines and criteria provide a sound framework for engaging with category 2 institutes/centres. However, improved operationalization is needed. While many guidelines and criteria are being applied, a number require more attention to ensure their full implementation and to make the most of the partnering opportunities.
4. Firstly, sectors need to improve their engagement following good practices in hydrology, education and World Heritage Centre through, *inter alia*, developing sectoral strategies. Such strategies are designed to map out institutes' specific functions and contributions to sectoral programmatic objectives in a particular thematic area, such as cultural heritage or hydrology, or for an entire sector. The strategies should also set out how the institutes/centres will complement one another, network amongst themselves and coordinate with UNESCO

<sup>1</sup> This does not include those category 2 institutes/centres approved by the General Conference at its 36th session.

Headquarters and field offices. In addition, the strategies can serve to identify where an institute/centre is needed, either geographically or thematically, thus enabling the Secretariat to better screen proposals and to be proactive in establishing a network of category 2 institutes/centres.

5. Secondly, the Secretariat needs to improve its engagement with the institutes/centres by, *inter alia*, placing more emphasis on monitoring and reporting. The review found that category 2 institutes/centres appear to be contributing to the achievement of UNESCO's objectives, but sectors are often unaware of the added value the institutes/centres bring and are sometimes disinterested. The management framework for category 2 institutes/centres requires directors of all institutes/centres to submit biennial reports to UNESCO, but such reports are not always transmitted to the Secretariat. In addition, programme sectors are required to include in their periodic reports information on the contributions of category 2 institutes/centres. Sectors, however, typically do not request such information. Consequently the contribution of category 2 institutes/centres to UNESCO's programmatic objectives is not visible within the Secretariat and UNESCO's governing bodies.

6. Finally, nearly half of the institutes/centres approved by the General Conference are not operational. According to the model agreement approved by the General Conference, agreements are to contain a date by which the institute/centre becomes operational. Of the 30 non-operational institutes/centres approved by the General Conference, 19 are the subject of signed agreements between the Member State and the Director-General. Three of these 19 signed agreements do not specify a timeframe for creating the institutes/centres and 14 have agreed establishment dates that have already passed. In cases where the institute/centre is not operational after the agreed date, UNESCO needs to take action to either amend or terminate the agreement. A Review Committee could be established to deal with this issue as well as the screening of proposals and feasibility studies of category 2 institutes/centres.

### Summary of Recommendations

**Recommendation 1** We recommend that programme sectors:

- develop sectoral strategies where they are not already in place
- improve engagement with category 2 institutes/centres by (1) requesting activity reports in line with UNESCO's reporting periodicity; (2) systematically reflecting institutes/centres' contributions to UNESCO's objectives in SISTER; (3) delegating responsibilities to field offices as appropriate; and (4) developing handover procedures within the sectors to ensure continuity in the event of staff turnover
- better plan, budget and report on costs and Regular Programme resources allocated to category 2 institutes/centres to support effective engagement with category 2 institutes/centres

**Recommendation 2** We recommend that BSP:

- establish a Review Committee with all sector ADGs to improve the screening of proposals and feasibility studies of category 2 institutes/centres, to facilitate the review process and to provide a platform for sectors to learn and share their experiences. In addition, the Review Committee should reassess the need for the thirty non-operational institutes/centres and recommend revision or denunciation of the agreement

- in coordination with sector focal points, review all agreements signed before 2005 to reassess the relationship in alignment with sectoral strategies and conclude whether the agreement should be renewed or terminated. This process could be facilitated by the Review Committee.
- in consultation with ERI and sector focal points, create a category 2 institutes/centres' database, to house all relevant agreements, reports, status updates and focal point details
- in coordination with sector focal points and consultation with ERI, develop a communication plan to improve the visibility of category 2 institutes/centres and promote networking between the centres
- in coordination with IOS and LA, define and communicate to programme sectors the specific steps of the review process before renewal of an agreement
- introduce guidance that feasibility studies and pre-renewal reviews of existing institutes/centres include assessments of the statutory audit requirements of the institutes and clearly identify the responsible audit and investigative authorities

## SCOPE, METHODOLOGY AND OBJECTIVE

7. The purpose of the review was to assess the design and implementation of UNESCO's management framework for category 2 institutes/centres<sup>2</sup> to identify good practices and areas warranting improvement. The review assessed the application of each guideline and criteria for engagement with category 2 institutes/centres as approved by the Governing Bodies of UNESCO.
8. The scope of the review included all existing and potential category 2 institutes/centres identified by the Bureau of Strategic Planning (BSP) and programme sectors or mentioned in Executive Board or General Conference documents.
9. The methodology comprised:
  - interviews with focal points for category 2 institutes/centres in programme sectors
  - interviews with relevant central services such as BSP and Legal Affairs
  - document review, in particular documents and decisions of UNESCO's Governing Bodies
  - data compilation and analysis
  - review of the websites of the institutes/centres
  - field visits to eight institutes/centres in education, natural sciences and culture (three in each of China and Iran, and one in each of Colombia and the Republic of Korea). See Annex A.
10. The review was performed in accordance with the *International Standards for the Professional Practice of Internal Auditing* and the United Nations Evaluation Group Norms and Standards.

## BACKGROUND

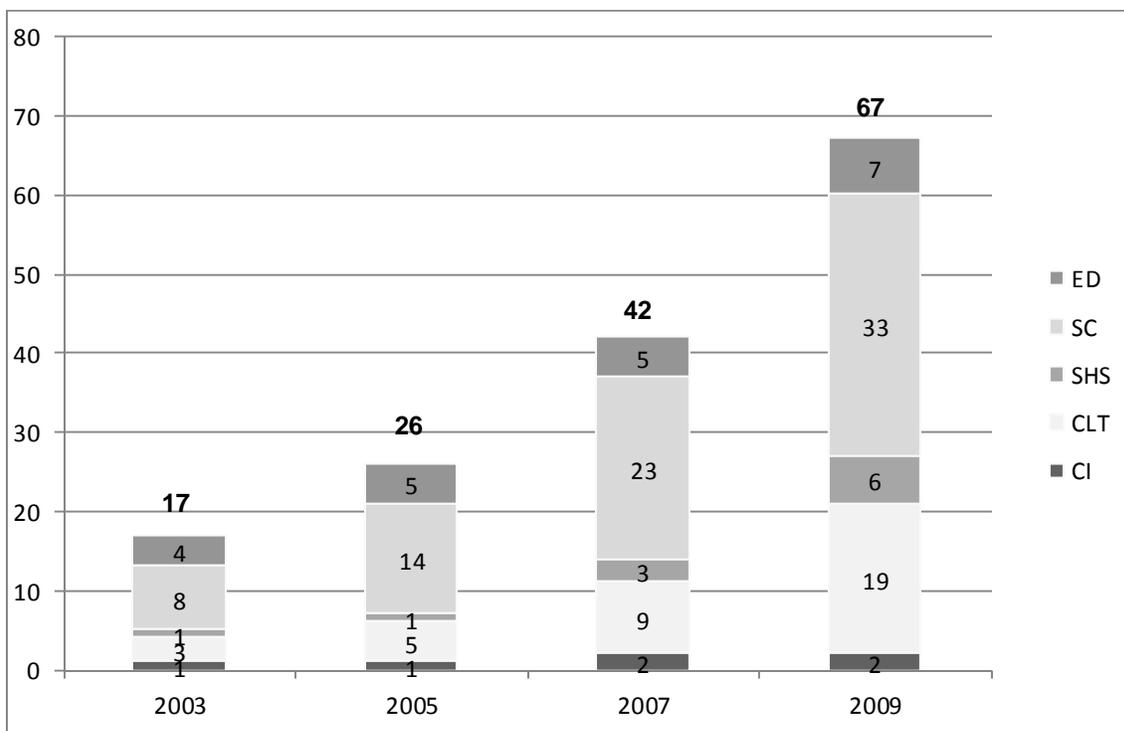
11. Institutes and centres under the auspices of UNESCO (referred to as category 2 institutes/centres) are a modality without precedence in the United Nations system. They are established and funded by Member States to contribute to the achievement of UNESCO's objectives by way of global, regional, subregional or interregional activities. They are not legally a part of the Organization, but are associated with it through formal agreements between UNESCO and the Member State hosting the institute/centre. Agreements are authorized by the General Conference, or in certain cases the General Conference may designate the Executive Board to a decision on its behalf, prior to their signing by the two parties.
12. The General Conference, at its 21<sup>st</sup> session, adopted principles and guidelines for the establishment and operation of international and regional centres under UNESCO's auspices. The first overall strategy for UNESCO's institutes/centres was adopted by the Executive Board at its 162nd session in October 2001. The strategy, set forth in document 162 EX/18, contained criteria to be applied on an experimental basis. Subsequently, in April 2005, the Executive Board adopted a permanent framework (document 171 EX/18) for designating and engaging with UNESCO's institutes and centres. Several revisions were made to the framework by the General Conference at its 35th session through adoption of document 35 C/22. This revised strategy, which supersedes all other documents, is applied to all new proposals as well as any renewals of existing agreements. The strategy sets forth actions to be taken by Member States and the Secretariat when proposing and engaging with category 2 institutes/centres.

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<sup>2</sup> The management framework is set out in the following documents and resolutions of UNESCO's Governing Bodies: 21 C/36, 35 C/Resolution 103, 35 C/22, 34 C/Resolution 90, 180 EX/18, 177 EX/29, 33 C/Resolution 90 and 171 EX/18.

13. The number of category 2 institutes/centres has been rising rapidly over the last decade. Figure 1 shows that 80 per cent were approved by the General Conference within the past ten years with more than half in the past four years.

**Figure 1 General Conference authorizations cumulative to date**



14. As part of the review, IOS identified the lifecycle phases and the corresponding steps that category 2 institutes/centres progress through. Table 1 shows the number of institutes/centres at each step or phase.

**Table 1 Engagement between Category 2 institutes/centres and UNESCO**

	STEP	STEP DETAILS	Number of Institutes and Centres
<b>Strategic phase</b>	Strategy	Purpose of partnership at institutional and sectoral levels	<b>N/A</b>
<b>Inception phase</b>	Request	Request for action from Member State	<b>89</b>
	Feasibility	Sector performs feasibility study	<b>82*</b>
	Recommendation	Director-General recommendation to Executive Board	<b>81*</b>
	Recommendation	Executive Board recommendation to General Conference	<b>81*</b>

	Authorisation	General Conference authorises Director-General to conclude agreement	<b>67*</b>
	Agreement	Member State and Director-General sign the agreement	54
	Agreement	Agreement enters into force when all formalities required have been completed	35
<b>Operational phase</b>	Governing Board	Governing Board meets with UNESCO participation annually	<b>35</b>
	Monitoring	Activity reports submitted biennially	9***
	Review and Evaluation	UNESCO or external party may evaluate activities and UNESCO reviews program prior to expiration of the agreement	11
	Renewal	Agreement tacitly renewed	6**
<b>Exit Phase</b>	Dissociation	Termination of agreement	<b>2</b>

\*: including two that are considered category 2 institute/centre but were not submitted EXB and GC for approval

\*\* : including those institutes/centres whose agreements do not specify timeframes for renewal

\*\*\* 13 Institutes publicise their activities but have not submitted specific reports to UNESCO

## FINDINGS AND RECOMMENDATIONS

15. Category 2 institutes/centres form an important part of UNESCO's network and represent, in principle, an effective partnership model. The institutes/centres have significant potential to contribute to the achievement of UNESCO's strategic programme objectives, particularly given their rapidly growing number in recent years. The limited sample of institutes/centres visited as part of this review, showed that the institutes/centres are making contributions to UNESCO's strategic programme objectives at a regional level. See Annex A for an overview of the institutes/centres visited, including information on activities.

16. Overall, the guidelines and criteria adopted by UNESCO's governing bodies provide a sound framework for engaging with category 2 institutes/centres. While many guidelines and criteria are being applied, a number require more attention to ensure their implementation. Tools are needed to operationalize these guidelines and criteria. The findings and recommendations that follow focus on those areas where improvement is needed.

### 1.1. Sectoral strategies

17. The strategic purpose of category 2 institutes and centres is to support the achievement of UNESCO's objectives, thereby enhancing UNESCO's impact and visibility. According to the framework, the type, scope and nature of the contribution must be articulated in the original request for creation and assessed in the feasibility study.

18. Given this broad purpose, the strategy requires that UNESCO's Programme sectors develop sectoral strategies for engagement with the institutes/centres. The sector strategies are to identify areas for joint programme implementation and areas where greater synergies could be promoted. They should map out the institutes' specific functions and contributions to particular UNESCO objectives and set out how the institutes will network amongst themselves and coordinate with UNESCO Headquarters and field offices.

19. To date, the development and implementation of sectoral strategies has been inconsistent. As shown in Table 2, the Natural Sciences and Education sectors have developed strategies<sup>3</sup>. The World Heritage Centre is currently working on developing a strategy. The other programme sectors have yet to develop strategies. Some sectors explained that they had not developed strategies due to ongoing reorganization of their own programmatic priorities and structure.

20. Those divisions subject to decisions by intergovernmental bodies, i.e. World Heritage Centre and the International Hydrological Programme (IHP) have an independent review process for screening proposals. The World Heritage Centre conducts consultative regional meetings for proposed institutes/centres to ensure regional scope and Member States' support. Without a sectoral strategy, sectors may not be in a position to assess proposals for institutes/centres against identified needs and priorities. In addition, the networking and collaboration between institutes/centres may be limited and efforts could be duplicated.

**Table 2 Sectoral strategies for Category 2 institutes/centres**

Sector	Sub-Sector	Number of approved institutes/centres	Subject to a sectoral strategy
Communication & Information (2)	CI	2	0
Culture (19)	CEI	2	0
	CIH/ITH	6	0
	CIH/MCO	2	0
	CPD	3	0
	WHC	6	0
Education (9)	ED	7*	7
Natural Sciences (31)	SC/BES**	5	4
	SC/EES	3	3
	SC/HYD**	23	22
	SC/PSD	2	2
SHS (6)	SHS	6	0
		<b>67</b>	<b>40</b>

\*: including two considered to be category 2 institute/centre but not submitted EXB and GC for approval

\*\* : one institute/centre terminated agreement during the review

<sup>3</sup> That for the Natural Sciences is still in draft form.

<b>Recommendation 1:</b> We recommend that all Programme Sectors develop sectoral strategies where they are not already in place.	High risk
<b>Programme Sector Action Plans:</b> Agreed. Sectors will develop or continue to improve existing strategies.	

### 1.2. Timeframe for establishment

21. Sectors undertake a feasibility study of the proposed institute/centre to assess its potential technical capacity and financial support. The Director-General then recommends establishment of the institute/centre to the Executive Board who in turn recommends establishment to the General Conference. Upon approval of the General Conference, the Director-General is authorised to sign an agreement with the concerned Member State to establish the centre. The agreement enters into force when specific requirements, including functional autonomy and legal capacity of the institute/centre, are recognised.

22. Currently, 30 of the 67 institutes/centres approved by the General Conference are still not established (see Annex B). The establishment process can be lengthy; reasons are varied but include:

- Feasibility studies conducted on hypothetical entities
- Delay in signing agreements
- Lengthy host country procedures to create the legal entity and validate budget support
- Change of government and shifting priorities

23. In addition, according to Article 2 of the model agreement, agreements are to contain a date by which the institute/centre is to be operational. Three agreements of the non-operational institutes/centres did not, however, contain a date. Fourteen institutes/centres are not operating even though the date specified in the agreement has passed.

24. Trade-offs are made when deciding to support the proposal of granting category 2 status to an institute/centre still to be established. Once the agreement has been signed, Member States may not propose similar institutes/centres for Category 2 status, resulting in missed opportunities when operationalization is delayed.

<b>Recommendation 2:</b> We recommend that BSP establish a Review Committee with all sector ADGs to improve the screening of proposals and feasibility studies of category 2 institutes/centres, to facilitate the review process and to provide a platform for sectors to learn and share their experiences. In addition, the Review Committee should reassess the need for the thirty non-operational institutes/centres and recommend revision or denunciation of the agreement.	Medium risk
<b>BSP Action Plan:</b> Following the DG note (DG/Note/11/26) on BSP's role in implementing the strategy, it will convene a Review Committee by June 2012.	

### 1.3. Engagement and interaction

25. IOS found that the category 2 institutes/centres visited were making valuable contributions to the achievement of UNESCO's objectives. A number of focal points in programme sectors

also acknowledged category 2 institutes/centres contributions. The specialisation of the institutes/centres and the support from Member States underpins their effectiveness.

26. The UNESCO Secretariat, however, is often unaware of the work of the institute/centre, with a tendency to view the centres as peripheral to the attainment of objectives. For a number of institutes/centres there is almost no interaction between them and UNESCO, which is unfortunate, especially given the potential contribution they can make to the implementation of UNESCO's decentralization strategy.

27. While governing boards meet with UNESCO participation on a regular basis, some divisions place little emphasis on monitoring. Regular activity reports are often not submitted and when submitted these vary in quality and substantive content. Of the 35 operational institutes/centres, only nine submitted reports in the past three years. Additionally, information on contribution of activities by institutes/centres is not consistently entered in SISTER. At the same time, the UNESCO Secretariat does not always provide feedback on the reports that it does receive, something the institutes/centres visited expect.

28. Reasons for the lack of engagement vary between sectors. Several sectors stated that interaction with institutes/centres had ceased due to restructuring within the sector and inadequate handover procedures. Clarification of roles between Headquarters, regional, cluster and national offices is essential. In certain cases, delegation to field offices of responsibilities, such as monitoring or UNESCO representation on governing boards, would be more effective and efficient.

29. Enhanced collaboration would improve the impact and visibility of UNESCO as a whole. Increased engagement with the programme sector may take the form of mutual consultation, through a dedicated focal point, over workplan and discussion of results.

**Recommendation 3:** We recommend that programme sectors improve engagement with category 2 institutes/centres by (1) requesting activity reports in line with UNESCO's reporting periodicity; (2) systematically reflecting institutes/centres' contributions to UNESCO's objectives in SISTER; (3) delegating responsibilities to field offices as appropriate; and (4) developing handover procedures within the sectors to ensure continuity in the event of staff turnover.

High risk

**Sectors' Action Plans:** Agreed.

#### 1.4. Costs

30. According to the strategy, UNESCO will cover the following costs related to a Member State-proposal to establish a category 2 institute/centre: (i) expenses for the feasibility study; and (ii) participation of one UNESCO staff member in annual governing-body meetings within the limits of the approved budget. UNESCO is not to pay administrative costs of the institutes/centres but may engage in programme and projects by providing assistance of experts and secondment of staff. These costs should be reported biennially to the Executive Board.

31. Although Member States bear the majority of the costs associated with category 2 institutes/centres, UNESCO nevertheless incurs direct and indirect costs. Yet the budget does not always reflect these costs and, when reflected, it often lacks transparency. For example, in the current biennium, IOS estimates direct costs of least USD 200,000 that can be attributed to

feasibility studies, staff member participation in the annual governing-board meetings, and periodic evaluations. In addition, other direct costs are not systematically recorded including the provision of technical assistance, staff secondment and other staff time expended engaging with the institutes and centres. The review identified several instances where assistance was provided to the institute/centre but not reported. These include 30 per cent of two national programme officers' staff time between 2006 and 2010 to support the Regional Water Centre for Arid and Semi-Arid Zones of Latin America and the Caribbean; and the hiring of a six-month contract consultant to support the SHS institute in Kinshasa before its launch. In addition, four institutes/centres established before 2005 still receive financial contributions, from UNESCO's Regular Programme totalling USD 189,000, as illustrated in table 3. The current strategy does not allow direct financial support to institutes/centres.

**Table 3 Examples of Regular Programme contributions to institutes/centres in 2010-2011**

Category 2 institute/centre	Host Country	Sector	RP contribution in 2010-2011 (USD)
Regional Centre for Book Development in Latin America and the Caribbean (CERLALC)	Colombia	CLT	80,000.00
ISSN International Centre for the Registration of Serial Publications (ISSN)	France	CI	15,000.00
International Centre for Pure and Applied Mathematics (ICPAM)	France	SC	20,000.00
West Africa Institute for International Research on Regional Integration and Social Transformations	Cape Verde	SHS	74,000.00

32. The rapid increase in category 2 institutes/centres clearly comes at a cost. At the time of severe budgetary constraints, such costs should be clearly identified and reflected in budgets and Executive Board reporting.

**Recommendation 5:** We recommend that programme sectors better plan, budget and report on costs and Regular Programme resources allocated to category 2 institutes/centres to support effective engagement with category 2 institutes/centres

Medium risk

**Sectors' Action Plans:** Agreed.

### 1.5. Global coordination focal point

33. The requirement to create a global coordination focal point was a new element in the new comprehensive strategy adopted in 2009. According to the framework, the global focal point shall be responsible for inter alia: a biennial mapping of all category 2 institutes/centres; monitoring the preparation of the sectoral strategies and providing backstopping to sectors as needed; maintaining a central database for all category 2 institutes/centres; providing information to Member States and implementing the global comprehensive communication plan for category 2 institutes/centres. However, no one is specifically charged with monitoring sectors' implementation of the integrated comprehensive strategy or recommending refinements to the strategy based on experience.

34. The Director-General has designated the Bureau of Strategic Planning (BSP) as the global coordination focal point for the implementation of the UNESCO policy for category 2 institutes/centres. BSP provides a biennial mapping of the institutes/centres, monitors sectoral strategies and has created a central database. But to make it more complete and up-to-date, sectors need to post more detailed information on their web pages. Information in the database needs to be expanded to include agreements, status of category 2 institutes/centres that have been approved by the General Conference e.g., inception, operational or renewal phase and names of sector focal points.

<b>Recommendation 5:</b> We recommend that BSP in consultation with ERI and sector focal points, create a category 2 institutes/centres' database, to house all relevant agreements, reports, status updates and focal point details.	Low risk
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<b>BSP Action Plan:</b> BSP will convene a meeting with sector focal points and ERI to elaborate the database.	
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## 1.6. Renewal process

35. According to the management framework, at least six months prior to the expiration of the agreement, the Director-General will carry out a review of the activities of the institute/centre, outlining its contribution to the objectives of the Organization. The results of this review are to be included in the report to the Executive Board on the execution of the Programme. The strategy also states that agreements may be renewed by the Director-General in light of the review and relevant evaluations. In addition, the Ad hoc Working Group of the IEE recommended improved accountability arrangements with respect to partners. A formalised review process for category 2 institutes/centres would be a good example of improved accountability.

36. Seven agreements are to expire in 2011, but a formalized review process has yet to be established. The integrated comprehensive strategy does not specify terms of reference for the reviews, or who will fund and conduct them. While a number of reviews have been carried out, some sectors are awaiting guidance before initiating the review process. The absence of guidance may result in poor quality reviews and incorrect decisions being taken.

<b>Recommendation 6:</b> We recommend that BSP, in coordination with IOS and LA, define and communicate to programme sectors, guidelines for the review process before renewal of an agreement.	Medium risk
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<b>BSP Action Plan:</b> BSP will consult with IOS and LA to implement this recommendation by June 2012.	
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## 1.7. Revision of agreements

37. According to the strategy, Member States should be provided with a reasonable transitional period to revise agreements signed prior to 2009 when the strategy was adopted. The Secretariat has yet to define a reasonable period, with the risk that some agreements may never be revised.

38. As of 31 March 2011, 19 category 2 institutes/centres established between 1971 and 2005 needed revision to conform to the strategy, some requiring insertion of review and renewal

clauses. Agreements signed after 2005 already largely conform to the revised strategy. Revision of agreements can lead to improved partnerships with UNESCO, better alignment to UNESCO's priorities and allow programme sectors to refocus their partnerships.

<p><b>Recommendation 7:</b> We recommend that BSP in coordination with sector focal points, review all agreements signed before 2005 to reassess the relationship in alignment with sectoral strategies and conclude whether the agreement should be renewed or terminated.</p>	<p>Medium risk</p>
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<p><b>Action Plan:</b> BSP will launch the review process with the Sectors and report findings to Review Committee during the 36 C/5 biennium.</p>
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### 1.8. Communications and visibility

39. The management framework calls for a global communications plan with measures to ensure a recognizable visual identity and a common branding for category 2 institutes/centres. However, such a plan has yet to be developed and consequently category 2 institutes and centres have varying degrees of visibility. Some sectors list Institutes/Centres as part of their worldwide presence e.g. Education or as part of their communities e.g. Culture while other sectors do not offer any visibility or linkages.

40. The institutes/centres visited all expressed a desire to network and collaborate with other category institutes/centres. Opportunities existed to share information and learn from the experience of the other institutes. The education sector has developed a cooperation mechanism for its category 2 institutes/centres whereby the centres come together every two years. Other sectors, however, do not have a mechanism for cooperation and the centres visited expressed much interest in establishing one. They would like to see UNESCO take a leading role in bringing them together, at least on a regional level, so they can further develop cooperation mechanisms between themselves. This however has a cost implication and given UNESCO's budgetary constraints, it would be appropriate to have category 2 institutes/centres bear the cost or consider alternative networking arrangements using communication technology to facilitate virtual meetings.

<p><b>Recommendation 8:</b> We recommend that BSP in coordination with the sector focal points and in consultation with ERI develop a communication plan to improve the visibility of category 2 institutes/centres and promote networking between the centres.</p>	<p>Medium risk</p>
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<p><b>Action Plan:</b> BSP will implement this recommendation as part of the redesign of the website by June 2012.</p>
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### 1.9. Oversight and accountability

41. UNESCO's partnerships with Category 2 institutes / centres bring a high potential for contributing to the objectives and increasing the visibility of UNESCO. These partnerships also bring certain reputational risks as the institutes/centres carry the UNESCO logo and operate under the auspices of UNESCO but remain external bodies not integrated into UNESCO's operational controls and oversight. To address this, basic oversight and accountability measures should include clear audit and investigative cognizance.

42. The current strategy and associated procedures for category 2 institutes/centres do not include reference to audit or investigative cognizance, nor is there indication that these elements of oversight are considered in establishing or renewing the partnership agreements.

43. Given the diverse range of category 2 institutes/centres, formalizing a detailed and prescriptive requirement in this regard can be challenging. Nevertheless, in order to mitigate reputational implications of these partnerships, the basic elements of audit authority, periodicity and reporting as well as authority to investigate misconduct can be introduced to the framework.

<b>Recommendation 9:</b> We recommend that BSP introduce guidance that feasibility studies for proposed category 2 institutes/centres and pre-renewal reviews of existing institutes/centres include assessments of the statutory audit requirements of the institutes and clearly identify the responsible audit and investigative authorities.	Medium risk
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<b>Action Plan:</b> The strategy does not make provision for including statutory audit requirements as part of the feasibility study. This action will need to be endorsed by UNESCO's governing bodies, which may prove challenging.
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## **ANNEX A: CATEGORY 2 CENTRES/INSTITUTES VISITED BY IOS**

### **The *Centro Regional para el Fomento del Libro en América Latina y el Caribe* (CERLALC) in Bogotá, Colombia**

1. The *Centro Regional para el Fomento del Libro en América Latina y el Caribe* (CERLALC) was founded in 1971 under the auspices of UNESCO. CERLALC is an intergovernmental organization, operating in and governed by its 21 Member States in the Latin American and Caribbean region (including Spain and Portugal) with either Spanish or Portuguese as a main national language. CERLALC is mainly funded through contributions from Member States and extrabudgetary projects financed by the Colombian government. In 2011 its annual budget was around US\$2.7 million. CERLALC has about 45 full-time staff members. The objectives of CERLALC are to: support the production and circulation of books; promote a culture of reading and writing; and support the protection of intellectual property.

2. The centre is well-resourced, has functional governing bodies, appears to be effectively managed, and is delivering programmes of relevance to UNESCO's objectives and in accordance with respective agreements. In support of the above-mentioned objectives, CERLALC's mission is concentrated on three pillars of activities: reading, writing and libraries; books; intellectual property rights. Within these three domains CERLALC provides technical assistance within the framework of public policy formulation, promotes collaboration between member states, provides support in developing appropriate normative frameworks (e.g. on intellectual property rights), implements and commissions specialized studies, develops and implements training programs (including online training) for multiple target audiences, and develops information products and services to publishing companies, libraries and other related institutions.

3. CERLALC benefits from the association with UNESCO in several ways. First of all, there is a clear alignment between CERLALC's mission and UNESCO's mandate. Some of UNESCO's policies, conventions and guidelines are of direct use to the centre. Second, CERLALC expressed the importance of the name and branding of UNESCO, which is particularly important in the light of its international mandate in the Latin American and Caribbean Region. On the other hand, there are clear benefits for UNESCO as well. Aside from the programmatic benefit CERLALC brings to UNESCO, it provides a great deal of visibility to UNESCO.

### **International Research and Training Centre on Erosion and Sedimentation (IRTCES) in Beijing, China**

4. The International Research and Training Centre on Erosion and Sedimentation (IRTCES) is a category II centre set up by the Government of China and UNESCO in 1984 in Beijing, China. The Centre reports to the Ministry of Water Resources (MWR) and has 17 staff members. The MWR provides IRTCES's facilities and staff salaries. The latest Agreement between the two dates from 30 November 2005 and an evaluation is planned by the Science Sector for later this year to determine whether the Agreement will be renewed.

5. IRTCES was the first institute specializing in water issues to be set up under UNESCO. Its mission is to:

- promote scientific research on erosion and sedimentation;
- provide technical advisory services and create a mechanism for the exchange of research among experts in various countries;

- coordinate international cooperative research activities and provide laboratory facilities for experts from other countries; and,
- organize international training courses, symposia and workshops.

6. The Centre has cooperated with UNESCO Headquarters and the Beijing Office on joint activities such as international conferences, training, and research projects.

7. The technical secretariat for the International Sediment Initiative (ISI) of the International Hydrological Programme (IHP) is also based in IRTCES since 2006. Over the past five years, the Institute has participated in ISI research projects, contributed to the UN World Water Development Report (WWDR), organized international and domestic training courses, held international conferences and workshops, and signed five MoUs with other international institutions. These initiatives have succeeded in raising awareness of sediment issues and placing them on government agendas, especially in China.

8. Furthermore, IRTCES acts as the Secretariat for the World Association for Sedimentation and Erosion Research (WASER), which is an important partner of ISI. IRTCES also serves as the permanent Secretariat of the International Symposium on River Sedimentation. IRTCES publishes the *International Journal of Sediment Research* in English, as well as the ISI Newsletter and maintains the ISI webpage.

9. UNESCO has raised the capacity of IRTCES and enabled the Institute to benefit from its network. Becoming a UNESCO Institute for IRTCES was a window to the world. IRTCES staff has attended training sessions in other countries, which enabled them to learn from others institutions' experiences and helped the Centre establish links with some others. Joint UNESCO-IRTCES projects also drew more attention from the Chinese Government and resulted in closer cooperation.

### **International Research and Training Centre for Rural Education (INRULED)**

10. The International Research and Training Centre for Rural Education (INRULED) is a category II centre set up by the Government of China and UNESCO in 1994 in Beijing, China. The Centre is located in Beijing Normal University and has three Associated Centres in Baoding, Lanzhou and Nanjing. INRULED has 26 staff members of which ten are professors and associated professors. Beijing Normal University provides the Centre's facility and pays staff salaries. The Chinese Ministries of Education and Commerce as well as the Chinese National Commission for UNESCO provide some of the programme funding.

11. INRULED's mission is to "achieve social-economic development in rural areas through education by bringing about positive changes in the thinking and behavior of rural people, who make up the majority of the world's population and the population of developing countries, and to contribute to achieving the Education for All (EFA) goals". INRULED's medium-term strategic plan which is aligned with UNESCO's has the following objectives:

- Promote international research and development of methods and techniques in rural education;
- Promote consultation and cooperation among Member States by devising policies and strategies in the areas of human resource development for rural areas;
- Create a wide network for exchange of academic and technical information;
- Coordinate cooperative research activities and provide facilities for laboratory research and field work for international experts;
- Organize international training workshops and seminars on rural education;
- Sponsor international research projects on rural education; and

- Produce and disseminate publications and materials on the results of the various research projects.

12. INRULED's workplan is aligned with UNESCO's C5 Main Lines of Action that focus on EFA. The Centre dedicates one third of its projects for women and children and another third to the priority Africa.

13. INRULED cooperates closely with the Chinese National Commission for UNESCO, which is located in the Ministry of Education. INRULED staff has been seconded to the National Commission so that they can learn about UNESCO. INRULED also cooperates with the UNESCO Beijing Office; however, it would like to see more initiatives for cooperation to be taken by the Office.

14. INRULED hosted the first meetings of Category II Institutes in Education in 2009 and was the focal point for Education Institutes during 2009-2011. It also participated in a second such gathering in Seoul 2011. The Centre believes that these meetings are very useful for enhancing communication between the Institutes, for drawing up programmes for mutual benefit, and for bringing the Category II Institutes closer to UNESCO Headquarters.

### **World Heritage Institute of Training and Research for the Asia and Pacific Region (WHITRAP)**

15. The World Heritage Institute of Training and Research for the Asia and Pacific Region (WHITRAP) is a category II centre set up by the Government of China and UNESCO in 2008. It comprises three founding institutions, each of which is legally and financially independent: Peking University in Beijing, Tongji University in Shanghai and Suzhou Gardening and Landscape Bureau in Suzhou. The Institute thus has three operational branches:

- Beijing Centre – focuses on natural heritage conservation, archaeological excavation, site management, cultural landscape management and conservation policy;
- Shanghai Centre – focuses on the conservation of architectural monuments and complexes, the management of historic settlements and cultural landscapes; and,
- Suzhou Centre – focuses on traditional architectural craftsmanship and restoration, conservation materials analysis and historical garden restoration and maintenance.

16. The Secretariat of WHITRAP is housed in the Peking University in Beijing. It is responsible for coordinating the three entities and producing the Institute's annual report. In practice however, the three Centres function as separate entities with very little cooperation and coordination between them.

17. WHITRAP's mission is to strengthen the implementation of the 1972 World Heritage Convention in the Asia and Pacific region by building capacity of all those involved in world heritage site inscription, protection, conservation and management. It hopes to achieve this through training (for site managers, local government officials, educators and technicians), research (on world heritage issues such as conservation techniques), dissemination of information (through conferences, seminars and publications) and network building (for example of site managers in the region).

18. WHITRAP cooperates with the Chinese National Commission for UNESCO on a regular basis and participates in the nomination process for new world heritage sites. The Institute does not have a lot of interaction with the UNESCO Office in Beijing or with UNESCO Headquarters. Reporting lines between the Institute and UNESCO Headquarters and the Beijing Field Office are not clear. It does not have a focal point at Headquarters and all contact occurs on a purely ad hoc basis. An annual report is sent every year to the WHC. WHITRAP expressed interest in being aware of the

WHC's regional priorities on a regular basis, so that it could better work towards supporting UNESCO's mandate.

### **Asia-Pacific Centre of Education for International Understanding (APCEIU)**

19. The Asia-Pacific Centre of Education for International Understanding (APCEIU) is a category II centre set up by the Government of the Republic of Korea and UNESCO in 2000. The latest agreement between UNESCO and the Centre dates from 2005 and will soon be up for renewal this year. The Centre is located in Seoul, Republic of Korea and has 18 full-time staff members. It is funded by the Ministry of Education and the Ministry of Culture and Tourism, as well as KOICA and the private sector. Extrabudgetary funding accounts for more than half of its resources and the proportion of private sector funding is increasing.

20. APCEIU's mission is to promote Education for International Understanding (EIU) for Learning to Live Together in the Asia-Pacific region. It aims to achieve this through capacity-building of educators in EIU, EIU research and policy development, dissemination of information on EIU; and strengthening institutional capacities and enhancing the EIU network. APCEIU's work involves implementing research and development of the philosophy, teaching methods and curriculum of EIU; organize training workshops and seminars; and, producing and disseminating teaching materials and other publications. The Institute publishes an English language magazine *SangSaeng* three times a year, which is distributed to UNESCO Field Offices, National Commissions and other partners in the region.

21. APCEIU staff indicated that their Centre benefits directly from UNESCO's network around the world and especially in the Asia-Pacific region, from the Organization's expertise and from occasional funding for its projects. APCEIU has worked directly with UNESCO's Delhi, Tashkent, Tehran and Bangkok offices as well as Category I Education institutes and other UN agencies. Its research on EIU in national education policies in the region is transmitted also to National Commissions in the Asia-Pacific region. APCEIU works as much as possible with National Commissions for UNESCO and is able to reach out to other national partners through these bodies.

22. Following the meeting of Category II Institutes in Education in Seoul in 2011, APCEIU became the focal point for these institutes for 2011-2013 in preparation for the next meeting in 2013 which will take place in the United Arab Emirates. APCEIU aligns its work programme with UNESCO's C4 and C5 documents.

### **Iran category 2 institutes/centres**

23. UNESCO has three operational Category II centres in Iran all of which are in the natural sciences field and one that will be up and running soon (the Regional Research Centre for Safeguarding Intangible Cultural Heritage in west and Central Asia). The Iranian National Institute for Oceanography stated that a fifth Category II centre for Iran in the field of oceanography was in the offing.

24. All three operational centres are heavily supported by the Iranian Government and have a strong regional focus. Their objectives are in support of UNESCO's mission and the Organization is represented on their governing bodies. All centres expressed the importance of the name and branding of UNESCO which was particularly important in the context of Iran given the international setting. The UNESCO label was also especially significant in the regional endeavours of the centres, affording them pulling power in bringing in other countries.

25. Aside from the programmatic benefit the centres bring to UNESCO, they provide a great deal of visibility to UNESCO. This carries with it a certain risk, but in the case of the centres operating in Iran, IOS is satisfied that there are no reputational risks. The centres are well-resourced, have functional governing bodies, appear to be effectively managed, and are delivering programmes of relevance to UNESCO's objectives and in accordance with respective agreements. The two water-related centres cooperate with a number of the other Category II water centres around the world.