

FINAL REPORT

OF

THE INDEPENDENT COMMISSION

**To: Dr. F. MAYOR,
Director-General,
Unesco**

December 20, 1989

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I EXECUTIVE SUMMARY

An independent Commission, under the chairmanship of Mr. Knut Hammarskjöld, was appointed by the Director-General of Unesco, Mr. Federico Mayor, [to advise ^{DC}him on ways and means of improving staff efficiency and management in the Unesco Secretariat] thereby adapting it to the requirements of the Medium Term Plan 1990-1995. The six-person Commission was appointed on 5 December 1988 and completed its work one year later, on December 1989.

The Commission's report addresses three main areas:

- Management style and effectiveness
- Organizational structure and system
- Human resources, management and personnel policies

- Management Style and Effectiveness

In making its recommendations, the Commission was guided by its view of what a renewed and dynamic Secretariat would look like. This perspective is reflected in the following principles or guidelines:

- move authority and responsibility down through the organizational hierarchy to the most relevant level(s);
- link responsibility with accountability and reward throughout the Organization;
- ensure that each staff member clearly knows his/her area of authority and accountability;

- have management information systems in place that support accountability and reward policies;
- turn traditional management thinking inside-out; "top" management is not there to control but to provide support and coordination; decision-making should be vested at the level of programme and project staff;
- increase communication both vertically and horizontally within the Secretariat (while avoiding the mere increase in circulating information that clogs up the operations of the Secretariat);
- develop a sense of competitive urgency at all levels in the Secretariat and instill the awareness that Unesco lives in an increasingly competitive world for ideas, money and people;
- major investments in training for Unesco staff and especially for management to upgrade individual skills, and to create the human resources necessary to implement Unesco's Programme.

For many years, the staff at all levels in Unesco have worked under highly autocratic and centralized management philosophy. This has had negative effects on staff morale and staff development and has severely limited Unesco's capacity to be either a leader in ideas or an effective operational player.

The Commission therefore recommends that major changes be made in management style, including deformalization of working relationships, more communication and "openness", less pervasive bureaucracy, and more visibility for individuals for the work they perform. These changes will not be easy to

achieve, and will require a change in attitudes, especially on the part of managers.

A special effort will have to be devoted to accountability; both in terms of cost-consciousness and meaningful evaluation of programmes, projects, missions, and staff performance at all levels. In progressive organizations, the role of internal audit is crucial and extends beyond financial control to the evaluation of the Organization in meeting its objectives. This is a key role for the office of the Inspector General.

- Organizational Structure and System

In general terms there is an evident mismatch between the needs of the Medium Term Plan 1990-1995 and the existing organizational structure of the Secretariat. The Commission therefore recommends that:

- The proposed reorganization should be undertaken as soon as possible and together with the implementation of the Commission's other recommendations regarding personnel policy, communications and training. Reorganization is one component in a comprehensive package of good management practice.
- The process of reorganization is critical to the success of a renewed Unesco Secretariat. It should be participatory and provide evidence of a new management style in the house.
- The reorganization should be designed to strengthen Unesco's capacity to operate intersectorally; to perform more effectively as an implementing agency in the field;

and to present a coherent Unesco approach to matters within its area of competence.

- In general, the Commission favours the regrouping of Programme Divisions to form larger clusters and a reduction in the number of divisional directors posts.
- Transverse structures should be established at the intra-sectoral and inter-sectoral levels to implement the interdisciplinary and intersectoral elements of the Medium Term Plan. These structures should be time-limited and task-oriented and would require specific allocations of staff time and relative autonomy of action from Divisions.
- They should be headed by Coordinators at grade levels similar to Divisions and Units, depending on the requirements of the specific post. The transverse elements would serve as key organizational mechanisms for implementing Unesco's programme and should be provided with adequate resources and status within the Organization to meet this challenge.
- The Commission has made a number of specific recommendations regarding the reorganization of the Programme Sectors and the administrative side of the House, including the establishment of three main areas (sectors) reporting to the Director-General;

Programme Planning and Implementation (PP)

Relations and Information (RI)

Administration and Finance (AF).

Specifically the Bureau of Personnel should be reorganized in order to transform it into a dynamic, competent unit

capable of effectively advising the Director-General and supporting line management on personnel policies and practices. It should provide efficient professional support in manpower planning, job classification, recruitment, staff development and training and staff/management relations.

- Human Resource Management and Personnel Policies

The Commission recommends that the present post system be replaced with a modern job system based on a flexible response to changing programme needs, and accompanied by effective staff planning and career policy. Reference to "posts" should be abolished and replaced by the term "job", including in the Staff Regulations.

A complete job review is necessary throughout the Secretariat to determine the functional content of jobs and to review the classification level of present incumbents. Unesco's staff structure is top heavy with some 45% of the professional category at P5 level and above. A similar imbalance exists in the General Service, where a high percentage of staff have reached levels where further advancement is extremely difficult.

The Secretariat is an aging one with an average age for professional staff of 48 years. A significant number of staff are expected to retire within 5 years and this opportunity for major new recruitment must be carefully managed.

The Commission therefore recommends:

- a more consistent policy regarding fixed-term, indeterminate and temporary appointments and the use of consultants;

- that a clear distinction be made between "programme" (i.e. career) appointments and "project" (i.e. ad-hoc, task limited) appointments, and that both types of appointment should initially be made for fixed terms;
- conversion to indeterminate appointments should be made only after 5 years and in the context of programme needs;
- appointments to all management positions should be made for fixed terms even for promotions of staff members holding indeterminate contracts;
- Unesco should put greater investment and effort in recruitment so that objectives such as geographical distribution and equality of opportunity for women are compatible the important principle of competitive recruitment on the basis of merit;
- wherever possible, candidates should be interviewed and assessed by objective means, including tests for language proficiency;
- the Director-General should remind staff and representatives of member states that attempts to influence recruitment is counterproductive to the future health of Unesco;
- government representatives in Unesco bodies, such as the Executive Board, should not be able to apply for appointment as staff members until two years after their retirement from those bodies.

The Commission has made a number of recommendations regarding the improvement of the present system of staff performance evaluation, which is regarded as presently

ineffective and lacking integrity. These recommendations include that disciplinary action be taken against staff members who are found to be deficient either as the subject of a performance evaluation, or as the person making the evaluation.

The Commission believes that superior performance should be rewarded and is not in favour of a semi-automatic promotion system based primarily on seniority as proposed by the Executive Board Committee. It proposes a system of personal promotions for deserving staff members at the top of their grade who have not been promoted for a number of years despite clearly superior performances. The payment of bonuses for outstanding performance should also be considered.

The Commission strongly supports the need to further efforts in improving gender distribution within the professional and above categories, to give greater practical effect to the principle of opportunities for women.

Although the Commission was not able to examine the issue of decentralization in any detail, it urges the Director-General to undertake a study of Unesco field offices and field units and to develop a policy for decentralization as a matter of urgency.

With regard to the implementation process, the Commission recommends to the Director-General that once these proposals are accepted by him, he initiate a broad-based discussion throughout the Secretariat on their implementation. It is the view of the Commission that implementation of reforms in management style, organizational structure and personnel policies should proceed together and immediately, in a coordinated and participatory manner. Ultimately, the success of any reform towards a "new Unesco" rests on the resolve of management and the commitment of all staff members.

II INTRODUCTION

When I was asked by the Director-General of Unesco, Dr. Federico Mayor, some months into his first full year in office, to chair an Independent Commission to undertake a review of the working machinery of Unesco, i.e., the Secretariat, and to report to him the findings and recommendations of the Commission, I was surprised and pleased, but realised with some awe the implications of undertaking such an undertaking.

Dr. Mayor and I discussed in some detail the range of qualifications, expertise, disciplines and experience that would be required in the Commission. With these requirements in mind, we chose Mr. André Chakour and Mr. Carl-Heinz Harder, two very experienced and knowledgeable "old hands" with a solid background in Unesco and ILO respectively. Two independent management experts, Dr. Juan Rada and Jørgen Friisberg (Mr. Friisberg served as expert consultant on the Commission), also joined the Commission, together with Dr. Anne Whyte from the Canadian International Development Research Centre (IDRC), who has had inside experience in the Unesco Science Sector.

I am most grateful to my colleagues in the Commission for their important contributions to our common task, their hard work, and their unfailing patience with my unorthodox way of leading the Commission.

Mr. K.M. Angelides, Inspector General of Unesco, was designated as secretary to the Commission, and Mrs. Ulla Winter de Whipple as administrative assistant. We are most grateful to them for their assistance, in particular in helping us, as members of the Commission, to find our way around the labyrinths of Unesco bureaucracy and documentation. Mr. C.L. Sharma, the new Deputy Director-General for Management, has

been a pillar of strength in his assistance to me personally and to the Commission.

Several outside consultants played important roles in the work of the Independent Commission. Dr. Joan Kahn of Montreal, whose area of expertise is quality assurance and quality of working life, undertook a comprehensive "diagnostic study" of the problems at Unesco secretariat. Professor Pierre Casse of IMEDE (IMEDE and IMI are now merged into IMD), Lausanne, assisted by Mr. Alistair Lang of Hongkong and Mr. Gao Zhung of the Peoples Republic of China, both at the time studying at the IMI, Geneva, prepared a valuable report for the Commission on the human resources aspects of the Secretariat.

Mr. Eugene Youkel has generously provided valuable advice in the area of human resources management for which he is owed the Commission's recognition and gratitude.

When announcing the appointment of the Independent Commission, the Director-General anticipated that in due course he would nominate an International Advisory Panel, representing all parts of the World, to comment on the work of the Independent Commission. In September 1989, a panel of ten senior, experienced "wise persons" was appointed. They first met in Paris on October 11-13, with Dr. Peter Wilenski, Ambassador of Australia to the United Nations in New York, in the Chair. The panel reviewed and commented on the Independent Commission's "Advance Report on Human Resource Management" (20 Sept) and "Overview of Final Report" (25 Sept). For the sake of completeness, a list of panel members and the Panel Report to the Director-General is attached as Annex 3.1. A second and final meeting of the Advisory Panel is planned for 29 January - 2 February 1990.

The Commission and its individual members have been in con-

tact with 200-300 Unesco staff at all levels, members of national delegations and national commissions, both in Paris and on several continents, and in many cases, have had in-depth discussions with them. We are in debt to all of these people for providing us with insight into the thinking and experience of the past and present. Their input, freely given and frank, provided us with essential knowledge without which the task of the Commission could not have been carried through. The discussions we had with individuals or groups, with management and with members of the Unesco staff associations, were part of this process.

The Commission did most of its work within the walls of the main Unesco building in Paris. This provided us with a "hands on" experience of the physical, psychological, and spiritual environment where a majority of Unesco staff at all levels spend their working time.

In concluding this introduction, Unesco has a Unique and important mission carried out by many dedicated and talented persons who are associated with the Organization in different ways and in different places. But realization of the fruits of this mission and these individual persons' dedication requires a strong base, provided essentially by the Secretariat. The Organization and especially its Secretariat, prior to the election of the new Director-General, passed through difficult experiences, including the shock of losing substantial resources and a number of qualified staff. The Commission has concluded that there is a grave danger that the contributions which Unesco could make in our rapidly developing and changing world will be lost, unless critical reforms to the Secretariat are instituted as a matter of urgency. This Report addresses the issue of what form and substance these reforms should take.

Knut Hammarskjöld

III MANAGEMENT STYLE AND EFFECTIVENESS

A. Changing Management Style

For many years, the staff at all levels in Unesco had lived and worked under a highly autocratic and centralized management philosophy.

Staff at all levels had been selected for and trained to execute, rather than make decisions. The result was a very heavy bureaucracy, tedious and lengthy administrative procedures, and slow decision-making.

Almost over night, in the fall of 1987, the Unesco staff had to acknowledge that change and a new Management Philosophy were unavoidable.

The arrival of a new Director-General, with a strong will to decentralize decision-making to the appropriate level in the Organization was just the start of a comprehensive reorientation to participative democratic steering.

The outsider who came into the clan saw an Organization where the time factor received little importance, and any sense of competitive urgency had disappeared.

It should be added that the approved 24 c/5 for 1988 - 1989 was conceived under a centralized system but executed under a system moving towards decentralization. The plan was conceived and implemented by the same staff, however, creating enormous problems for Senior Management, who value the decentralization of decision-making but must function with a staff who does not always see things the same way.

The Commission finds it remarkable that, in spite of all these difficulties, the Organization has been able to achieve results over the last two years in moving towards the goals set out by the new DG.

B. Motivating the Organization

The leaders at all levels of an organization have a great responsibility to act as motivators for all other employees. Even more so in Unesco, where management's ability to inspire a good work morale and an interest in quality is crucial to success, particularly because of the scope and size of the organization. The top managers at Unesco will not only have to understand the new organizational concept and mandate but also their implications on the way management performs its daily tasks. There will be need for a good deal more interaction and planning with other managers at the same level, to promote the sharing of experience between programmes that can revitalize Unesco efforts. For cross-disciplinary and team work to function at the ground levels of the Organization, management must take the first steps in that direction.

Deformalization of working relationships is a way for managers at all levels to be able to judge what is going on in the Organization and inspire truly productive efforts.

Meaningful training, dissemination of information, and selection of key management staff are also essential to the functioning of the Organization and will be dealt with in part V, under Organizational Structure and Systems.

A first step in the training of Senior Management was an Organizational Development Workshop held in Paris on November 25 and 26, 1989.

A summary of the working papers of this Workshop are enclosed in Annex A. The Commission finds this summary of great importance and very relevant to its findings and general and specific recommendations.

The Workshop was attended by 21 Senior Managers headed by the DG. Unfortunately, there were four significant managers who did not attend.

C. Improving the Quality of Management

C.1 Need for a Clear Vision, Purpose, and Programme Objectives

It is fair to state that any revitalization of the Unesco Secretariat must be closely linked to the Organization's vision, purpose, and programme objectives. It is difficult to engage the staff and improve morale if they do not perceive their own work as meaningful, constructive, and future-oriented. Especially in the case of Unesco, the programmes and projects must be well-conceived, few in number, concerned with present and future priorities for humanity.

Unless the programmes are formulated precisely - and regularly reviewed, up-dated, re-focused, and honed to manageable proportions to assure quality and effectiveness - it is doubtful whether any organizational, attitudinal, or other changes will be of much use. Without effective programs, Unesco will be overshadowed as an international leader by other forms of international cooperation. Signs of this loss of prestige have already appeared, although the competing organizations still lack Unesco's global and trans-disciplinary capability and influence.

Unesco has always played a vital role in helping the world comprehend and absorb the social and cultural impacts of scientific research and technological invention. Such a role is difficult in a world of traditional thinking, and vested interests, with a proliferation of specialized organizations. Nevertheless, as the Director-General has stressed, Unesco has an important role as a catalyst for development projects world-wide and can become a vehicle for trans-disciplinary thinking and cooperation. In addition, Unesco is well-placed to facilitate and benefit from the increasing role of non-governmental organizations and private institutions in world affairs.

The Commission believes that, in addition to implementation of the specific recommendations, progress will especially be required in the following general areas:

- A higher level of flexibility and efficiency throughout the entire Organization, to optimize the cost/benefit relationship of its activities;
- A general improvement in management effectiveness and staff motivation and efficiency through increased participation, improved communications, training, and better use of existing resources;
- A dynamic and meaningful development of external relations with institutions of interest to Unesco.

A special effort will have to be devoted to accountability; both in terms of cost-consciousness and meaningful evaluation of programmes, projects, missions, meetings, and staff performance at all levels. In progressive, modern administrations and organizations, the role of the internal audit has proven to be essential for goal implementation, monitoring of management effectiveness, and

measurement of staff and cost efficiency. Included in an internal audit is evaluation of the performance of units and individuals in meeting programme objectives as well as financial control. A strong professional management control and a general audit function within Unesco could undoubtedly help in modernizing the functioning of the Organization.

C.2 The Need for Definitive Leadership

The studies and enquiries carried out in Unesco have revealed a serious problem of leadership at all levels. There are marked differences in the perception of the role of leadership and management among top, middle, and lower managers, who seem to have failed to communicate a sense of direction and common purpose down the line. This has led to a deterioration of morale and motivation, lack of confidence in top management, confusion about the distribution of authority and responsibility, low productivity, and an attitude of permissiveness among the staff.

The most important reasons for this state of affairs are:

- excessive centralization in the decision-making process and insufficient delegation of authority and responsibility;
- lack of administrative rigour and transparency;
- inadequate motivation and skills for enlightened personnel management; and,
- absence of a coherent personnel policy.

While the purpose of this report is not to find fault with present practices in Unesco, but rather to make proposals for an improvement, it may nevertheless be useful to comment briefly on these shortcomings that are largely responsible for the prevailing leadership problem.

C.3 The Need for Decentralization of Decision-Making

Like other similar organizations of its age and maturity, Unesco has provided a paternalistic type of management since its creation, and this was acceptable as long as it remained a relatively small and homogeneous body. Programmes were considered to be of unlimited duration and were conceived, developed, and implemented by an integrated team of long-serving international civil servants. Decision-making tended to be vested in the top of the hierarchy, which itself tended to be rigid and elaborate.

It was generally assumed that control was best exercised centrally, and the personnel function was essentially seen as a control function.

With Unesco's growth, expansion, and diversification during the 1970s and early 1980s, this organizational concept gradually became cumbersome and inadequate. Increasing numbers of staff and units, changing needs, and shorter-lived programmes and projects as well as growing pressure from the outside worked as centrifugal forces, tending to undermine this centralized system without replacing it by a clearly decentralized one. The evolution from a paternalistic, closely-knit structure to a large and disparate Organization was not a conscious or deliberate change of management style or policy, either regarding personnel or other aspects of management. Rather, personnel management developed in a piecemeal fashion, more in unconscious reaction to new needs and problems than as a result of an integrated policy.

Today, the Unesco culture is still heavily imbued with the centralizing philosophies of some national bureaucratic systems, and generally, there is stronger faith in the need for control and supervision than for responsibility and self-reliance at lower levels.

A step in the right direction has been the Director-General's decision to appoint a Deputy Director-General for Management. Also, the measures taken with a view to delegating authority for recruitment and staffing decisions (DG Note/88/2 of 4.2.88) to the level of DDG, ADG and Dir/PER mark a deliberate departure from centralized management and represent a good example of a new statement of policy.

Unfortunately, despite the general instruction, delegation of authority and responsibility further down the line has not yet taken place to a significant degree. It would have been necessary - and still is - to request every responsible officer to take active measures in this regard and to report on them within a given time frame.

Moreover, all significant changes in the distribution of authority and responsibility should be clearly announced in the units concerned and, so far as necessary, outside them as well; they should also be reflected in job descriptions and organizational charts.

Generally speaking, authority and responsibility for decision-making cannot be separated from each other. Delegating one without the other would be only a partial measure. Moreover, responsibility remains a largely theoretical concept if it is not tantamount to accountability. Being accountable means not only having to bear the consequences of an inadequate discharge of responsibilities, but also receiving credit for excellence.

While programme directors in Unesco may enjoy a certain degree of responsibility and authority for the technical modalities of programme implementation, they appear to have little authority over their budgets and staff. Sound management requires that those responsible for a programme should also be responsible for the resources in funds and staff allocated to that programme. Within established limits, they should enjoy greater autonomy in the utilization of these resources without having to obtain the approval of the Directors of Budget or Personnel on a case-by-case basis.

C.4 The Need for Administrative Rigour and Visible Consistency

The tendency to seek decisions at the top has been accompanied by declining administrative discipline. There is a feeling among Unesco staff that decisions are taken somehow and somewhere, at some time, and for some reason or another, and that there is an administrative maze that it is difficult to penetrate. Decisions are perceived as being made behind closed doors on the basis of a questionable rationale rather than in the open on the basis of clear-cut principles, and uncertainty prevails over predictability.

The Staff Regulations and Rules inspire little confidence, and consultative mechanisms and procedures do not seem to function satisfactorily. Some statutory bodies do not meet regularly, such as the Advisory Council for Personnel Policies, lack competence or credibility, such as Personnel Advisory Boards, or work under strained conditions, such as the Consultative Committee on Classification.

Admittedly, some of the procedures provided for in the Staff Regulations may not be conducive to speedy decisions nor to

results which satisfy all concerned, but a less-than-strict adherence to agreed procedures for reasons of urgency, outside pressure, or partisan preference involves the risk of undermining the credibility of due process and the integrity of leadership.

The same is true for the observance of lines of command and levels of authority. As long as authority is vested in a given level of the hierarchy - as reflected in organization charts and job descriptions - it should be respected by all, including higher chiefs, subordinates and lateral structures.

Once authority is clearly delegated to a given manager, it would be inappropriate and detrimental to leadership credibility if this authority were either by-passed from below by lower ranks seeking a decision, or from above by higher ranks trying to impose a decision on the manager normally responsible for it. Once delegated, authority and responsibility should never be taken back, unless it is done formally and definitively and for valid reasons.

C.5 The Need for Management Skills and Motivation

The majority of Directors and other senior managers of Unesco have no management qualifications, and many seem to lack essential management skills. An organization dealing with specialized knowledge has perhaps a natural tendency to attach greater importance to professional excellence than to management skills when filling key posts in programme implementation.

However, of equal importance to management task of providing experienced technical input is the effective management of staff resources. Managing programmes, people, and other

resources requires a series of skills which often tend to be underestimated. While leadership is a natural talent, management skills can be learned and further developed in various ways.

The Commission has concluded that the problem of management training is a key area in which decisive and sustained action is required and where tangible results can be achieved. It should be a firm rule that nobody is placed in a supervisory or leading position without appropriate supervisory or management training.

Apart from lacking necessary skills, Unesco management largely seems to have lost the will to manage effectively. Directors and other leaders are nervous about staff reaction and believe that any attempt to discipline staff and to act against unsatisfactory performance will be futile. Most managers feel that it is impossible to punish and that good performance goes unrewarded. Finally, management seems to believe, rightly or wrongly, that it has conceded too much power in personnel management to the Staff Associations.

In the opinion of the Commission, this lack of motivation among management is one of the main weaknesses of leadership in the Secretariat, and restoring confidence and effectiveness will not be an easy task. The problem will find a solution only if several other problems have been successfully addressed, notably the definition of policy and the basic relationship between management and staff.

**D. Clarifying Relations between Constituent Members,
Unesco Staff and Management**

Throughout the meetings, discussions, and informal talks with active members of the Unesco staff, it has continuously been underlined that constituent members directly or indirectly contact individual staff members or whole divisions about activities and request service of one kind or another. The problem is growing and consuming a significant amount of staff time. There are concrete examples of units spending up to 30% of their productive time in responding to requests.

IV ORGANIZATIONAL STRUCTURE AND SYSTEMS

A. General Comments

Two key principles for modern management are decentralization and accountability. These principles become more and more important because of

- the complexity and interdependence of issues to be dealt with
- the geographic spread of activities and relations with many external organizations
- the existing fast and comprehensive means of world-wide communications and processing of information.

Unesco, with its global and trans-disciplinary objectives and responsibilities, clearly is an outstanding example of an organization which could and should apply these principles to the benefit of its member-states. In an organization with such global tasks and type of responsibilities, it appears to be a bad strategic use of human resources to concentrate about 80% of the staff at Headquarters. A certain amount of restructuring of the present secretariat is necessary to respond to modern requirements.

This objective can be achieved by reorganizing the Secretariat into three areas of responsibility: namely,

- a Programme Planning and Implementation Sector
- a Relations and Information Sector
- an Administration and Finance Sector

The nature of the projects and programmes Unesco is called upon to deal with in the future will change with the evolution of science, education, and culture, and therefore it is wise and necessary to introduce and maintain optimal organizational flexibility throughout the Secretariat. Organizational structures should be adapted to the requirements and needs of the tasks given and not vice versa.

Every effort should be made to shift human resources away from self-administrating tasks to productive tasks in the programme sector through the introduction of modern management techniques and tools. A special effort should be devoted to identifying instances of duplication and even multiplication of administrative tasks.

Consequently, the Commission recommends that the DDG/M, in cooperation with the Inspectorate General, the Bureau of Budget, and external expertise if necessary, be instructed to identify instances of duplication and multiplication of effort within the overall Secretariat. In this connection, it may be especially appropriate to look into the Bureau for Coordination of Operational Activities, which seems to undertake several activities which could or should be covered elsewhere.

To restore Unesco's standing and reputation as the world's focal point for the discussion and processing of key human issues in education, culture, and science, the Organization should be able to involve in its work the most outstanding experts and thinkers available.

The expertise required will change from project to project and with the evolution in the areas dealt with. Therefore, staff involved in programmes and projects at Headquarters should be limited to a core of Professionals with the competent GS support necessary to initiate, coordinate, monitor,

and service the programmes and projects decided. Decentralization to the field of certain project and programme activities in direct contact with member-states will increasingly become necessary.

Many key issues of the future in the areas of Unesco's mandate are of a trans-disciplinary nature - the necessary lateral communication, coordination, and cooperation between disciplines therefore has to be ensured.

Therefore, the Commission recommends that

- The efforts to "do less, to do it better" should continue. No "camouflage" should be accepted.
- Structures on the programme/project side should be flexible and adapted/adaptable to the requirements of the individual programmes/project.
- Core staff for monitoring/servicing of programmes/projects should be kept to a minimum.
- Outside highest level expertise should be attracted to cooperate within defined time limits on individual programmes/projects.

In the following, the Commission presents in detail its findings and recommendations with regard to:

- the Office of the Director-General
- the Programme Implementation Sectors
- the Relations and Information Sector
- the Administration and Finance Sector.

B. New Designation of Organizational Units

The commission proposes that the designation of the Organizational Units in the Secretariat be changed as follows:

- The main operational areas should hencefore be re-named sectors and should consist of:
 - Programme Planning and Implementation Sector (PP)
 - Relations and Information Sector (RI)
 - Administration and Finance Sector (AF)

In the present report existing nomenclatura has been retained. To avoid confusion, the Commission proposes at the same time that the former Sectors should be designated departments.

C. Restructuring the Reporting Relationships to the Director-General

The Commission believes that the Director-General should be relieved from direct involvement with too much detail and too many people.

With this purpose in mind the Commission has reviewed the organizational Units reporting directly to the Director-General, and suggests a restructuring as follows:

- the number of organizational units reporting to the Director-General will be limited to
 - three operational sectors
 - Programme Planning and Implementation Sector
 - Relation and Information Sector
 - Administration and Finance Sector

Permanent members of the Directorate would consist of the Director-General and the heads of these three Sectors. The members of the Directorate supported by members of the Secretariat as required, would be responsible for the overall management of the Organization.

Through an appointed secretary the Directorate would also carry responsibility for implementing the reforms and changes proposed.

In order to assure the quality of the programmes and projects, the efficiency of the Organization and also to permit staff members to be heard when necessary, the commission proposes:

- to transfer the Central Evaluation Unit (CEU) to a position where it reports directly to the Director-General, thus being separated from PBE.

- the Management Services presently performed within the Inspectorate General should be transferred to the proposed Administration and Finance Sector, where it rightly belongs.

Consequently the role of the Inspectorate General will be redefined in order to focus on the important tasks of financial and management audits and inspections at headquarters and in the field.

The reporting relationships of the Mediator and Office of International Standards and Legal Affairs will remain unchanged.

D. Organizational Structure of the Programme Implementation Sectors

D.1 Introduction

The Commission has considered the question of the organizational structure of the Programme Implementation Sectors after a careful examination of the Medium-Term Plan for 1990-1995 (25 C/4) and the Programme and Budget for 1990-1991 (25 C/5), as approved by the General Conference at its 25th Session, Paris, 1989.

In preparing its analysis and recommendations, members of the Commission have had the benefit of discussions with a number of professional staff and senior administrators in the Secretariat, and with the staff associations. It has therefore been able to base its analysis of the difficulties presented by the present organizational structure on experience from within the Secretariat. Most of the general observations and comments concerning the Organizational Structure are not limited to the Programme Implementation Sectors, but are relevant to the whole Secretariat.

The Commission's recommendations for restructuring the Programme Implementation Sectors have also been informed by the views of members of the Personnel, and by the draft proposals for reorganization prepared by the sectors for the consideration of the DG.

The Commission focused its attention on Programme implementation and the Programme Sectors, although there are also some observations made in relation to certain administrative divisions and units. With respect to organizational structure, the Commission sees its main role to provide the DG

with an overall view of the organizational needs of the new programme. This global perspective is perhaps more difficult to see from inside. On the other hand, the Commission respects the more detailed, "hands-on" knowledge of particular Divisions and Units within sectors held by members of the Secretariat and refrains from making detailed recommendations about structure. It therefore sees its own work as complementary to the studies of reorganization that are ongoing within Unesco.

The Commission recognises that, in any study of reorganisation, the implementation of decentralization policies will have a key role. However, it has not been able to study this question in sufficient depth to include detailed consideration of decentralization in its present proposals.

In this respect, the Commission's recommendations refer only to the organization of the Secretariat at Unesco headquarters.

- Why Restructure?

The case for restructuring the Programme Implementation Sectors rests on two general findings:

- The "spirit" and structure of the new Medium-Term Plan for 1990-1995 is interdisciplinary and intersectoral. This more integrated approach to fulfilling Unesco's mandate is evident in those parts of the plan dealing with both intellectual enterprises and operational implementation at the country level. This new paradigm for Unesco has been welcomed by the 25th General Conference.

- The existing organizational structure of the Programme Implementation Sectors presents a number of problems, among which figure prominently that of poor cooperation between divisions and sectors in the implementation of the last Medium-Term Plan for 1985-1989, and a lack of coordination in field operations at the country level.

In the Commission's view, there is now a mismatch between the structure of Unesco's programme and the organization of the Secretariat. The Commission examined existing mechanisms for intersectoral links, such as Coordinating Offices and Intersectoral Committees, that are in place for intersectoral activities, for example: those relating to women, youth and the environment. It has suggestions to make regarding these mechanisms as well as for the organizational structure per se.

D.2 Reorganization as Process: Some Principles and Caveats

The Unesco Secretariat, like other large organizations, has previously undergone structural change. Generally, the changes have been limited to particular units or the changing of reporting relationships between units. What is contemplated here is a more major transformation of the Secretariat, which may merit the title of the "new Unesco".

It is fair to ask what are the chances of success in reorganizing the Secretariat now, given that some changes in the past have been less than effective. This leads us to develop some principles to follow and some caveats about potential pitfalls.

- Reorganization by Itself is no Solution

Reorganization, however well conceived, can become part of the problem unless other changes are made at the same time. These changes should include improvements in procedures and personnel policy as well as in internal communications and human relationships within the Secretariat. Thus, it is the Commission's firm conviction, that the reorganization of the Secretariat should be accompanied by the implementation of our other recommendations with respect to communications, personnel policy, and training.

- There is no "Ideal" Organizational Model

Organizations, as the name implies, are organic entities which are responsive to their own needs and to their environments. In other words, like living organisms, they evolve. At the same time, there are different schools of thought about organizational structure and there are undoubtedly fashions in organizational models as new developments emerge in organizational theory and practice.

The Commission is of the view that there is no single, ideal organizational model that Unesco can take "off the shelf". Rather, Unesco should follow a strategy of blending elements from different models to create the most appropriate structures for its task and resources. These most appropriate structures and processes will vary depending on which part of the House and what Secretariat functions are being considered.

- Reorganization Should be a Participatory Process

Almost any organizational structure can be made to work well, if the personnel want it to work. Likewise, the success of any reorganization can be sabotaged from within, if the personnel are alienated or do not understand it. Thus, the commitment of the personnel, at all levels, to the new structure and to its function and purpose, is the key to its success. This may seem self-evident, but it has not been common practice in past reorganizations in Unesco.

For those inside an organization, a new structure may mean new colleagues, different reporting relationships and another office, as well as new job descriptions. For managers, it may mean gains or losses in their responsibility and resources, which are perceived as changes in "territory" or power. These are issues which can create conflict, and stress for some members of the personnel and new opportunities for others. In all cases, reorganization changes the day-to-day working environment for members of personnel.

The Commission urges the Director-General to consider carefully the human factor involved in reorganization and to encourage both full discussion by the personnel of his proposals for structural change, and the participation of all staff in implementing the changes that are finally decided upon by him.

In this respect, the Commission has a number of observations to make:

- Whether or not, as individuals, they agree with the final outcome, members of personnel are likely to have a greater sense of commitment, if their views have been heard and considered.

- Discussions of proposed new structures and procedures by the Secretariat before they are implemented will identify problems which can then be anticipated and allowed for, in the implementation phase.
- Managers should be genuinely open to new ideas about reorganization coming from the personnel during the proposal discussion phase.
- Managers should see it as part of their job to be involved in these discussions; and to allow adequate time for them to take place.
- The discussions should take place not only within the units of the "old structure", which will weigh the discussion in favour of resisting change, but also within groupings of staff representing the proposed new structure. This will facilitate a more forward looking response and will support the development of new teams or "esprit de corps" during the discussion phase. The implementation phase will thus be facilitated.

These observations are in accordance with the Commission's recommendations about changing the management style at Unesco (chapter III).

- Units Should not be Reorganized in Isolation

The Director-General has a rare opportunity to consider the reorganization of the Secretariat as a whole, given the changes indicated by the new Medium Term Plan. This is not to say that all of the Secretariat would be restructured, but that the reorganization of any single part of the Organization should be designed in the context of the overall structure and function of the Secretariat.

The Commission notes that a comprehensive approach to reorganization has not characterised Unesco's past efforts in this respect.

What does this mean in practice? It means that the starting point for developing a strategy for reorganization is not the unit itself but the task being performed. For example, as is elaborated in chapter V of this report, although the Bureau of Personnel is a key unit for personnel administration, the task of personnel management is shared among all managers in all sectors of the Secretariat. Reorganizing the Bureau of Personnel alone will not solve the problems of personnel management in Unesco.

Similarly, the task of external relations involves members of Personnel outside the Bureau of External Relations and the task of public information involves Secretariat staff beyond the Office of Public Information. In restructuring these units to improve their efficiency internally, consideration needs to be given to the ways in which these tasks or functions are disseminated throughout the Organization so that appropriate Unesco-wide structures and systems are in place. This will help to avoid the syndrome in which restructuring of individual units is practiced that may improve the unit internally but does not necessarily improve the overall efficiency or quality with which these tasks are carried out by the Secretariat as a whole.

- Reorganization is not a Substitute for
Good Management

The Commission noted some cynicism among a number of personnel interviewed regarding the question of reorganization. Part of this cynicism is related to the tradition at Unesco of an "ex-cathedra" management style in which new structures

were announced with little or no discussion with those most closely affected. However, the Commission also heard that, in the past, reorganization has been used by senior managers as a means to avoid solving management problems more directly. An example frequently cited was the creation of a Coordinator post or a Coordinating Committee to circumvent an intractable Director, rather than changing the Director's behaviour or replacing him.

The Commission is concerned that this time the reorganization of the Personnel is, and is perceived to be, a renewal of the Secretariat. To accomplish this goal, reorganization should be seen as one component in a comprehensive package of good management practice.

D.3 Building Blocks of the Unesco Programme Implementation Sectors

The Unesco Programme Implementation Sectors are presently structured along sectoral lines; with four Programme sectors, corresponding to Unesco's fields of competence; and two Programme-support sectors. The main components of the Programme Sector organizational chart are:

- Programme sectors, including Division and Secretariat of Intergovernmental Programmes
- Programme support sectors
- Central Units, Specialized Units, Coordination Units

Within the sectors are smaller organizational units, generally called Divisions in the Programme sectors and Offices or Bureaux in the Programme-support sectors. The hierarchial structure of authority in Unesco follows this division into Sectors and Divisions (Bureaux, Offices).

Whereas the sectoral structure is strongly developed, the cross-sectoral components are much weaker. This presented less of a problem when Unesco's Programme corresponded more or less to its sectors. The evolution of ideas in science and the humanities however, has eroded traditional disciplinary boundaries, placed greater emphasis on interdisciplinary fields, and influenced Unesco's Programme intellectually. Increased operational activities have also forced Unesco to recognize the need for a greater capacity to operate intersectorally in the field.

However, the continuing dominance of the Sectors, the admitted poor intersectoral cooperation, and the tendency to relegate operational projects to specialized operational units within Sectors and Divisions, all indicate that the present structure of the Secretariat does not meet the needs of Unesco's Programme.

The Commission has some specific proposals to make regarding the strengthening of the horizontal (intersectoral) components in the organization of the Secretariat. It is necessary first to make some general observations about some components in the present structure.

- Programme Sectors

The present four Programme Sectors: Education (ED), Natural Sciences (SC), Social and Human Sciences (SHS), and Culture and Communications (CC), are responsible for implementing the Programmes of the Medium-Term Plan. They share some features with administrative structures in national governments and universities and as such, have recognisable corresponding structures within member states. This similarity has been one of the strengths of the sectoral structure within member states. It has also been an impediment

to change, since the specialised "clients" of Divisions in the Programme Sectors have sometimes acted as external support groups to resist change in the structure of the Sectors.

The Commission has also noted that, although the four Programme Sectors differ significantly in number of their personnel, they have approximately the same number of Divisions within each Sector. The Education Sector, with approximately 150 professional posts is currently divided into six Divisions, as is the Social and Human Sciences with only about 50 professional posts. The Natural Sciences Sector has nine Divisions for less than 100 professional posts.

Divisions vary therefore considerably in size; both in terms of established posts, and in the numbers of posts currently occupied. The Commission heard frequently that the staff complement of some Divisions was below a "critical mass" either to effectively carry out their part of the Programme, or to be a credible international player in their area. This is particularly relevant for certain Divisions within the Sectors for the Natural Sciences and for the Social and Human Sciences.

The Unesco organizational chart is characterized by a relatively large number of small Divisions, each of which is normally headed by a Director at D1 or more rarely at D2 level. This creates a number of difficulties for the Organization, including: a high ratio of managers to professional and support staff, Divisions that are too small to operate efficiently and effectively, and Directors that are "territorial" and sometimes uncooperative with other Divisions, at least partly because their resources are too limited to engender a more open attitude. Divisions are described by their staff as being "fiefdoms".

However, the Commission also found that the personnel generally identify themselves with their Division; the Division represents the organizational unit that comes closest to functioning as a "team". Within a Division, personnel feel that they can generally cooperate with colleagues; beyond the Division, cooperation and "esprit de corps" are much more difficult to achieve. Interdivisional cooperation is reported to be as difficult within, as between Sectors. The problem lies more at the Divisional level, and with Directors, rather than at the Sectoral level.

- Secretariats of Intergovernmental Programmes

Within Unesco there are a number of intergovernmental programmes which have their own governing bodies or Committees of member states and their own Secretariats. Although their constitutions differ in detail, they include the Secretariats of the Intergovernmental Oceanographic Commission (IOC), the Man and the Biosphere Programme (MAB), the International Hydrological Programme (IHP), the World Decade for Cultural Development, and the World Heritage Commission. These tend to further fragment the organizational structure of the Programme Sectors, because there is a desire on the part of their Directors and some member states to keep these smaller Secretariats more visible, separate units. The Programme Sector must also serve these intergovernmental bodies, in addition to member states more generally, thus increasing the central workload.

The Commission believes that in the reorganization of the Programme Sectors, the Secretariats of the Intergovernmental Programmes merit special attention and that the optimal solution will not be the same in all cases. In the case of marine sciences, for example, separate identities might need

to be preserved for the Secretariat of the IOC and the present Marine Sciences Division within one overall Division of Marine Sciences, because the IOC has a more autonomous relationship within Unesco than have some of the other Intergovernmental Programmes.

However, in other cases, where a Division has no part of the Programme to implement that is distinct from the work of the Intergovernmental Programme, it might be preferable to rename the Division as the Secretariat. Two possible cases are the Division of Water Sciences (IHP) and the Division of Ecological Sciences (MAB).

The situation of the MAB Programme deserves further consideration. MAB was initially one part of the activities of the Division of Ecological Sciences. Over the past 20 years, the MAB Programme has expanded and the ecological sciences activities outside of MAB have been reduced in each succeeding Medium Term Plan, until in the new Plan for 1990-1995, they cease to exist. The MAB Programme is interdisciplinary and intersectoral in its design, and its location within one natural science division has long created difficulties for its implementation, particularly (but not only) with respect to the input of social sciences. The Commission believes that within the context of a more general reorganization, the MAB Programme would be strengthened by becoming an intersectoral activity. This would leave the Division of Ecological Sciences an empty shell, and the name would presumably disappear.

- Coordination

The Commission has paid particular attention to the role of Coordination within the Implementation Sectors, and to intersectoral links more generally. There is clearly a need

for coordinating mechanisms within sectoral organization. The principal means adopted within Unesco are Coordinating Units, Intersectoral Committees (Task Forces, Working Groups) and Intersectoral projects.

/ Coordination Units

Within Unesco, Coordination Units have several functions. These include:

- acting as focal point within Unesco for information exchange, and source of specialized information;
- acting as primary contact point for outside bodies, members states, and individual inquiries;
- organizing informal coordinating or intersectoral committees;
- coordinating preparation of documents;
- promotion of activities within their mandate;
- participation in implementation of specific activities.

One problem is that the expectations of the Coordination Unit are usually greater than the resources allocated to it. In the case of the coordination of activities relating to the Status of Women, the task of coordinating the preparation of documents, Unesco contributions to UN, and other reports was reported to consume much of the Coordinator's time, leaving little time for promotion or implementation of activities.

The Programme Divisions also tend to see Coordination Units as sources of additional paperwork and meetings rather than serving a useful function for the Divisions themselves.

Since Coordination Units are, by design, added on to the sectoral structure, they can only be effective if they are supported by data bases and information systems that enable them to provide a service within the Secretariat as well as outside, rather than constituting an administrative burden. This service orientation within the Secretariat will also encourage a more positive attitude on the part of the Sectors, and thus facilitate the task of information exchange and coordination.

Another difficulty facing Coordination Units is that they lack the authority to require Divisions to cooperate with each other in the implementation of a Programme. The only coordination that they have achieved is on paper, and not in substance. The Commission noted that, although the Coordinator for activities relating to the Status of Women is responsible for such activities within the Medium-Term Plan, the functions listed do not include the coordination of the implementation of those activities.

/ Intersectoral Structures

The Commission's attention was drawn to a number of intersectoral mechanisms, including committees, Task Forces, Working Groups, and projects. It has the following observations to make:

- The intersectoral or interdivisional committees work best where they have a well-defined task to perform, particularly a project to implement or a problem to solve;

- They work least well where their mandate is general, with no specific tasks in view, and their chief function is information exchange;
- These committees work best where their members have relevant expertise and interest and become ineffective where their members are primarily there to defend Divisional interests;
- Membership of such committees should not be vested in ADG's or Directors, who then tend to send different representatives to meetings; members should be there in their personal capacities as experts and there should be continuity of membership;
- Intersectoral activities work best when they are not imposed from above on a largely unwilling Secretariat.
- The intersectoral committees need to be led by an animateur or facilitator rather than by a passive coordinator, and preferably not by a Director or ADG chairing the committee in an ex officio capacity.

Non-Programme Intersectoral Mechanisms

The Commission was informed of the recent establishment in Unesco of less structured mechanisms for the exchange of views and ideas, especially the "Cercles des idées". It has been observed in many complex organizations that information networks that are built up and used effectively by staff members are often based on relationships initiated in settings that are not strictly Programme or function related. Common examples are staff training sessions, including orientation, language and skills training, and social activities, such as sports and cultural events.

The Commission especially commends the development of discussion fora and brainstorming sessions, which can play an important role in intellectual renewal and innovation within the Unesco Secretariat.

D.4 An Approach to Reorganization

In discussing the overall organizational structure of the Secretariat, the Commission has taken into consideration:

- the mission of Unesco;
- the approved Medium Term Plan 1990-95;
- the budget and human resources available;
- the need to serve its governing bodies;
- the implementation of policies such as informatics and decentralization.

Its proposals are also guided by the present organization structure and the fact that one is not beginning with a tabula rasa but with a functioning Secretariat.

The Commission has considered a number of alternative models, including a sectoral (status quo) organization; a range of matrix models varying in the relative allocation of authority and resources between the vertical (sectoral) axes and the horizontal (project) axes; and a more purely project organizational structure.

In general, the Commission proposes a "mixed" model for Unesco in which the sectoral structure is maintained but is

simplified and is complemented by a limited number of intersectoral projects endowed with sufficient resources and autonomy to implement parts of the Medium Term Plan.

In the absence of additional resources, these proposals involve the transfer of posts, budget and authority from the sectors and existing Divisions to the new intersectoral structures. The limited resources available to Unesco restrict the number of transverse projects that can be established in the first bienium 1990-91. They also argue for a rationalization of the number of small Divisions within the sectors, whether or not new intersectoral projects are established with posts allocated to them.

It also proposes the transfer of the Bureau of Programme Planning (BP) to the Programme side of the House from its present location on the organizational chart.

The overall approach to reorganization of the Programme Sectors proposed by the Commission includes the following elements:

- Regrouping of Present Divisions

As a general strategy, the Commission believes that present Programme Divisions could be regrouped

- to realign Divisional expertise with the needs of the new Medium Term Plan;
- to facilitate more integrated implementation of the Programme; and

- to create larger administrative units that have a higher ratio of staff to managers and a reduced duplication of functions.

In a number of cases, the separate identities of present Divisions can be preserved as Units within the proposed larger Divisions. These Units would normally be led by a Unit Head at P4-P5 level.

The new Divisions would consist of Clusters of Units corresponding to major parts of the Programme and would normally be under the administration of a Director at D1 or D2 level.

One outcome of these proposals would be a reduction in the number of Directors and a change in their job descriptions to include facilitating interdisciplinary approaches and coordination between Units. Directors should be good administrators , "animateurs", and catalysts.

Unit Heads would report to Division (Cluster) Directors but would not be "mini-Directors". Their role should be seen more as "team leaders" of small groups of professional colleagues. Bureaucratic and management control systems will need to be reexamined so that Unit Heads do not duplicate all the administrative and management functions of present Divisional Directors: for example, the need for visas approving routine letters and memoranda. This would enable the post of Unit Head to provide greater opportunity for younger members of the Secretariat to gain leadership experience.

Given the present number of posts in the Programme sectors and the main areas of the Programme itself, the number of new larger Divisions within each sector would not be expected to exceed four; that is, the Divisions should be

combinations of the existing Divisions, and not a continuation of the present situation.

- Transverse Elements

The Commission proposes that transverse structures be established that cut across the Divisional structures. These transverse elements are characterised by being time-limited and task-oriented in addition to requiring inputs from more than one Division.

Examination of Unesco's new Programme suggests that transverse elements are required at two levels: intra-sectoral and intersectoral. Also, some activities involve significant allocation of staff time and relative autonomy of action, whereas others can be accommodated by better coordination between Divisions and allocation of staff time on a part-time rather than full-time basis.

The Director-General may therefore wish to consider two types of transverse structures, which might be called Transverse Projects and Intersectoral (or Interdivisional) Task Forces.

- Transverse Projects would normally be allocated a number of established posts, at least some of which would be on a full time basis. They would be led by a Coordinator at D1 level and have their own budget and part of the Programme to implement. Their staff complement would be drawn from a range of existing Divisions and disciplines or expertise, plus new staff resources where necessary and available.

Where the Transverse Project is within one Sector, the Coordinator would normally report to the ADG. For intersectoral Transverse Projects, the Coordinator could report to either the most appropriate ADG or the DDG/P. Project team members should be physically located together in terms of office space.

- Task Forces can be inter-Divisional within one Sector or across several Sectors. They are likely to range from a form of "Coordinating Committee", which may or may not have one full-time person-year (the Task Force Chairperson), to a group of people with specified allocation of time between their "home" Divisions and the work of the Task Force.

The Task Force would have a defined time frame, budget, and tasks to accomplish. The allocation of personnel to the Task Force can be flexible to respond to the needs of the "life cycle" of the Programme. This is facilitated by having most members of the Task Force administratively located in a Division from which they can be drawn upon as needed.

The leader or Chairperson of the Task Force would normally be expected to be a Programme Specialist at P4 or P5 grade level, but situations can be envisaged which might argue for a higher (or lower?) grade level.

The Chairperson of a Task Force could report to a Director, where there is clearly a 'home' Division with a major stake in the activity, or to the most appropriate ADG.

D.5 Proposals for Changes in the Programme Sectors

As noted above, the Commission has had the benefit of discussions with the staff and the proposals for restructuring made by the Sectors. In general, the Commission finds that its own approach to reorganization is similar to that being developed within the Programme Sectors.

The Commission has a number of suggestions to make in relation to specific Sectors. In some cases, these match closely the Sectors' own proposals and are not dealt with in detail. In other cases, they provide the Director-General with some alternative options to consider.

- Education Sector

The sector's own proposals include the regrouping of the present six Divisions to four Divisional "Clusters", which would correspond to the major parts of the new Programme; and the establishment of two Task Forces (for the International Literacy Year Secretariat and for the World Conference on Education for All).

These internal proposals are very much in line with the Commission's approach. The only alternative option that might be put forward is that the Special Project on Environmental Education and Information should be a transverse activity (Intersectoral Project) linking the Education, Natural Sciences, and Social and Human Sciences Divisions.

- Science Sector

The Science Sector presently comprises seven Divisions, two of which are Secretariats of Intergovernmental Programmes (SC/ECO and SC/HYD), and two other Secretariats (IOC and IIP). A number of the Divisions are small in terms of established posts, and particularly in terms of the number of posts that are currently filled.

The Commission has two general recommendations with respect to the Science Sector. The first is that bringing the Divisions back to strength by filling vacant professional positions is a priority if the "S" in Unesco is to maintain credibility in international scientific exchange. The second is that, notwithstanding the filling of empty posts, the present Divisions in the Science Sector should be regrouped.

The Commission sees two natural clusters of the present Divisions:

- a) science and technological research and training (SER, IIP and TER);
- b) environmental sciences (GEO, HYD, CCE, IOC);

and two transverse activities (Intersectoral Projects);

- a) Man and the Biosphere (SC/ECO);
- b) Science, Technology and Society (SC/STS).

The Commission proposes two alternative structures for the Sector. The first is the simplest but involves the greatest amount of change:

Two divisions:

1. Natural and Technological Sciences (SER, IIP and TER);
2. Environmental Sciences (GEO, HYD, OCE, IOC)

Two intersectoral Projects:

1. Man and the Biosphere (ECO)
2. Science, Technology and Society (STP)

An alternative, representing a less drastic change from the present situation, is:

Four divisions:

Natural Sciences (SER)
Technological Sciences (TER)
Earth Sciences (GEO, HYD)
Marine Sciences (OCE, IOC)

Two intersectoral Projects:

MAB
Science, Technology, and Society

Clearly, there are also intermediate structures with these Divisions based on either combining Natural and Technological Sciences into one Division or combining Earth and Marine Sciences into one single Environmental Sciences Division.

The Commission believes that the merits of these alternatives need to be discussed further within the Secretariat. It is aware of the difficulties of regrouping the Science sectors and the tensions that existed over recent internal proposals, and has two comments to make in this regard. First, Unesco is not reorganising in an ideal world, in which each Division would maintain its independent

status. Some regrouping of the Science Divisions is a necessary response to the stringent resource situation in which Unesco presently finds itself.

Secondly, there has already been grouping of the basic science disciplines, particularly within the present Division of Scientific Research and Higher Education (SER) which includes Sections on Physics, Chemistry, Mathematics etc. When we consider the scope that modern physics or chemistry represents, an argument can be made for maintaining SER as a separate but strengthened Division. This comparison is relevant when the environmental sciences, such as GEO, HYD and OCE-IOC are considered for regrouping in one or two Divisions. Collectively, they may represent no greater a scientific diversity than that already existing in SER and TER.

There are clearly human resource problems in reducing the number of Divisions, not least of which, is the loss of a number of Director level positions. In the Commission's view, the enlarged Divisions would be strengthened in terms of their professional capacity and expertise and their ability to implement integrated activities would be enhanced.

The Commission proposes that the Division of Ecological Sciences be named the Secretariat of the Man and the Biosphere Programme and that the Programme become a transverse, intersectoral activity. The MAB Programme, in its conception and mandate, goes far beyond Ecological Sciences or the Natural Sciences Sector. Although it is a highly regarded "flagship" activity of Unesco, the MAB Programme has been criticised since its early development for not being sufficiently well grounded in other environmental sciences, social sciences, and culture and communication.

The Commission therefore proposes that the establishment of the MAB Programme as an Intersectoral Project, together with the infusion of new staff from the other sectors would create within Unesco, a programme uniquely well structured to meet the challenge to find environmental strategies and sustain development.

The Commission believes that a similar, intersectoral structure is needed to implement the new Programme on Science, Technology, and Society. This Programme has components focused on policy, culture, and ethics in relation to science and technology, all of which cut across the areas of competence in the Social and Human Sciences and Culture and Communication Sectors.

The Commission understands that the Director-General has recently established the position of focal point for the Environment within Unesco and believes that its own recommendations are complementary to this decision. It has focused here on areas where the Commission would like to make alternative proposals to those currently under consideration within the Sector, which the Commission feels are too conservative to meet the needs of the third Medium Term Plan.

- Social and Human Sciences Sectors

The situation of the Social and Human Sciences Sector (SHS) is a grave one and presents the Director-General with some major choices. The Sector has been reduced in staff numbers, with many post left empty. It is plagued by low morale within the sector and a negative perception from other sectors. The two are not unrelated.

The Commission wishes to make a distinction between the importance it places on the key contributions of the social and human sciences to the intellectual and operational roles of Unesco, and the present weakness of SHS. This is not something that can be isolated and ignored; for it represents a weakness in Unesco as a whole, and in Unesco's capacity to carry out its work in education, science, and culture and communication through the other Sectors.

The Commission is therefore of the opinion that the renewal of social sciences and humanities within the Secretariat is a priority for the "new Unesco". The Commission heard that when social science input was needed, for example, in Science Sector activities, the SC Divisions go outside Unesco to seek advice. The problem is not so much a negative attitude within the Secretariat towards interdisciplinarity, or towards social sciences, but a low expectation of the SHS Sector. This is a demoralising situation for the staff in SHS, which needs to be solved structurally.

Given that the Sector needs major renewal, the Commission proposes that the Director-General first consider what types of social and human sciences expertise are needed within the Secretariat to carry out the Third Medium Term Plan. It believes that there is a major imbalance in the present staff capacity and several lacunae with respect to social scientific expertise and field experience within SHS. 'There are not enough of the "right kind" of social scientists in SHS', was a comment made to us several times. This analysis of what human resources are needed is necessary before coming to any conclusion about the detailed structure of the Sector.

There are at least two major options for the future of the SHS Sector. The first is to build it up again to meet the needs of the whole Organization and to commit adequate reso-

urces to it, including recruiting some new "outstanding" professionals.

The second strategy would be to integrate social and human sciences throughout the Secretariat and to end SHS as an independent sector. Either of these options would be preferable to a continuation of the present situation.

The Commission believes that the first option: a renewed Social and Human Sciences Sector, is the best solution. It does, however, require a significant commitment of resources. If these are not available, the Commission can envisage a number of solutions based on the principle of integration rather than a stand-alone SHS.

One fairly radical proposal is to transfer the Division of Economic and Social Sciences (SES), and Division of Philosophy and Human Sciences (PHS) to the Natural Sciences Sector, which would then be renamed as the Natural and Social Sciences Sector. This would group together the "basic sciences" in the natural, technological and social science fields.

In this model, the environmental sciences divisions of the Natural Science Sector (GEO, HYD, OLE, IOC) could either remain within the SC Sector or be housed with Population and Human Settlements (POP) and possibly new "applied social science divisions" to form a new Sector of "Environment and Population" or something similar.

The Commission here wishes to emphasise not one solution versus another, but that the time is opportune for a major rethinking of the Social and Human Sciences and how they link to other sectors, especially the Natural Science Sector. The Commission believes that the restructuring of the Sectors should not only be considered within sectors as

separate entities, but across the Sectors. This is particularly important for SHS.

- Culture and Communication Sector

The Commission did not have time to study this Sector and it unable to make specific suggestions about reorganization. It notes that the Sector was restructured in 1986 with the bringing together of the two Sectors (Culture, Communication) into one. The Commission has reviewed the draft proposals for restructuring from the Sector and believes that they are in general agreement with the approach proposed here. It is also pleased to note that the proposals from CC resulted from a series of consultative meetings with the Sector's staff.

E. Relations and Information Sector

Development of strong and lasting internal and external Relations and the communication of information is increasingly the lifeblood and nervous system of any multifaceted national or international organization.

Developing prime contacts to the written and visual media becomes an essential cornerstone in the strategy of getting the Unesco message to the public. The Commission considers that it is important for Unesco to establish such contacts in order to enhance the image and credibility in member-states.

The same need to increase the image and credibility inside the Organization is very strongly felt at all levels.

Obtaining, processing, disseminating and storing information is an increasingly essential and sophisticated core function, requiring professionalism and expertise in several specialized areas, in addition to intimate knowledge of the aims and objectives of the organization as well as of the needs of its management, its organizational components, its beneficiaries, the media, and the public at large.

In addition to vertical internal flows of communication, the increased complexity and trans-disciplinary nature of subjects and problems to be dealt with requires a systematic development of horizontal flows of communication between interdependent units of organizations like Unesco.

On this basis the Commission recommends the creation of a third organizational Sector dealing with the elements of Relations and Information.

This new Sector would be under the management of a Senior official of highest professional and managerial skills and have the ability to operate a heavy organizational unit and to be a member of the Directorate.

This new Sector would be composed of the following existing departments:

- Office of Conferences, Languages and Documents - COL
- Office of Publications and Periodicals of Unesco - UPP
- Office of Public Information, Public Relations and Unesco Courier - OPI
- Office of Information, Programmes and Services - IPS
- Clearing House

Further the Commission appreciates the need for a special office for Co-operation with Africa but suggests that this office is transferred to the new RI.

SCG/SCX and BRX should also be transferred to this new sector.

The efficient management of an international organization is dependent on the availability to its leaders of timely, up-to-date, and correct information on relevant developments in its professional environments, such as national governments, other international organizations and institutions in the world of science, culture and education.

The task of obtaining and processing such information and to present it in a usable form requires considerable professional expertise. This all the more if this activity is recognized as a two way channel. This highly professional area of Public and Media relations should be distinguished from the functions of protocol services and formal external relations with member-states, which may also be important but require other qualifications.

The Commission recommends that the Bureau of External Relations - BRX - the task of which to obtain, process, and channel for the management of Unesco, information from the world outside - be organized in a functionally optimal way and be manned by highly skilled and carefully selected professionals. Quality is more important than quantity. The Commission understands that some preparatory steps in this area have been taken but not yet implemented.

F. Administration and Finance Sector (AF)

The Commission considers that all Support functions for the Organization should be under the responsibility of the DDG/M in the future DDG/AF.

Therefore, the Commission proposes that the Administration and Finance Sector would be composed of the following key departments/bureau:

- The Financial department (Comptroller) which in line with other UN agencies overlooks all financial movements and transactions in the Organization and consolidates Budgets, Expenditure Control and Accounts of Unesco.
The Comptroller would cover:
 - The Budget department - presently BB.
 - The Treasury department
 - Expenditure Control department
 - Accounts department
- The Personnel department, The organizational structure, the Human Resources Management and the Personnel Policies of the Organization are being further developed in Chapter V of this report.
- Management Services which will include several of the activities related to the Administration of the Organization, but now handled by the Inspectorate-General.
- The Administrative Support department for Field Units - BFG, which the Commission suggests it should be renamed.

- The Bureau of General and Common Services - CES, which has the important task of assuring that the Headquarters are attractive, offers a motivating environment and functions effectively.

G. Decentralization and the Field structure

The degree and modalities of decentralization of Unesco activities to its field structure are important to the efficiency of staff and management. The Commission is aware of the efforts made in both the Secretariat and the Executive Board to shape a future policy in this regard. Against this background the Commission has reviewed this major question in a general way within the limited time and means at its disposal.

The chairman and one of the consultants visited two offices in the Asian Region and interviewed the director of another office during his stay in Paris. In addition, the Commission examined inside Headquarters, the relations with the field, as well as the answer to the internal questionnaire on "progress on management reforms" within the Secretariat.

Five main issues were identified:

- Different field offices or field units "belong" for historical reasons to different sectors and are in the majority of cases managed by members of these respective sectors, therefore they are not representative for Unesco as a whole.
- It is very difficult for a sector to make effective use of a field unit "belonging" to another sector.
- In spite of successful measures of delegation from Headquarters to units around the world, the main impression remains that the efforts to delegate are not progressing very rapidly.
- Financial responsibility and accountability appear

to be firmly centralized at Headquarters, leaving little initiative and motivation for achieving a higher performance at lower costs in the field. There are cases where allocated funds are withdrawn from previously approved activities at field office.

- Too many contacts are established directly between Headquarters and beneficiaries without informing the field units concerned.

The Commission has also noticed:

- The growing necessity for being closer to beneficiaries throughout the world, resulting in the need to create new action centers, thus entailing additional costs.
- The mounting pressures from governments to have a Unesco representation in their country.
- The difficulties of motivating Headquarter Staff to move to the field.

The desirability of delegating substantive activities of the Organization from Headquarters to the field seems to be primarily based on the concern of Member-states to be more directly involved in these activities and to maintain closer contacts with the Programme implementation of the Secretariat.

Purely practical and efficiency-related aspects also appear to receive consideration, but on a secondary level only. It should be realized that decentralization is not necessarily always a measure making for greater effectiveness and efficiency since it is bound to increase certain overhead costs

and entail duplication of work to some unavoidable extent.

From a strictly cost-saving point of view, establishing large offices in the field may not always be the best course of action since modern data-processing, telecommunication and travel facilities increasingly put into question earlier considerations regarding the most appropriate way to organize world-wide activities.

The Commission does not underestimate the importance of a world network of contacts for improved relations with member-states and national institutions; rather it wishes to draw Unesco's attention to the fact that further sustained decentralization efforts tend to become relatively expensive in comparison with more modern techniques of covering and servicing the beneficiaries of the Organization's activities.

Taking the view, nevertheless, that decentralizing Unesco's structures to the field is an inescapable necessity for the reasons mentioned, the Commission recommends to the management of Unesco to benefit from the experience gained by a number of sister agencies in the UN system which have already implemented similar decentralization policies in earlier years. Of particular interest would appear to organizations such as WHO, UNDP, UNIDO and ILO whose decentralization patterns differ from each other considerably. The Commission would find it extremely useful for Unesco to avoid errors and pitfalls which others have encountered and had to make up for with additional efforts and costs.

The Commission also feels that the decentralization of Unesco activities to the major regions of the world should not be based on a uniform model but follow different patterns as required by the needs, capacities and infrastructures of the individual region, sub-region or country concerned. A Unesco

office in South East Asia, for example, might be entrusted with a greater measure of self-sufficiency than, an office in another region.

Lastly, the process of decentralization will require additional resources for providing premises, equipment and staff to offices newly created or reorganized. It will also require disrupting changes in procedures and work flows whose consequences should not be underestimated. For these reasons decentralization will have to proceed step by step, probably region by region.

It will undoubtedly take several years of implementation, during which unexpected problems will have to be faced.

Against this background and aware that studies on the subject are under way for some time already, the Commission proposes that in finalizing these studies a detailed action plan be elaborated, including clearly fixed time frames for the implementation of the successive phases. This action plan should be entrusted to a task force composed of experienced members of the major units whose activities will be affected by the decentralization. The action plan should be carefully costed by the Bureau of the Budget and accompanied by a staffing plan prepared by the Bureau of Personnel.

Considering that future decentralization measures will have to be based on specific regional, country and programme aspects, the Commission feels unable to make any detailed recommendations of its own at this stage. However, it wishes to underline a number of basic principles which it considers applicable to decentralization in general.

- 1) Activities and functions decentralized to the field should not be duplicated or supervised in Headquarters.

- 2) No activity or function should be decentralized until the field unit(s) concerned are really able to assume responsibility.
- 3) Activities and functions should be decentralized to a given region or country only if they are sufficiently substantial in volume and/or frequency in the region or country concerned to justify the posting of a specialist and an understudy there.
- 4) Regions should be self-sufficient in administration and management and have full authority over their budgets and staff, while formally reporting to a deputy director-general, regional directors should enjoy the widest autonomy possible.
- 5) Likewise, sub-regions and country representatives should be given a high degree of responsibility and authority as for geographical reasons alone, a bureaucratic control system would be counterproductive.
- 6) In establishing a new field structure Unesco should make use, wherever possible, of infrastructures and facilities of the UN system already in existence.
- 7) The administration should in assigning staff to field offices bear in mind that decentralized activities in the field requires at least as competent, experienced and dedicated a staff as at Headquarters and in addition this, field staff should be very highly motivated.

Annex 12.1 shows the proposed New Structure of Unesco.

V HUMAN RESOURCES MANAGEMENT AND
PERSONNEL POLICY

A. Staff structure

During the many interviews conducted within Unesco by members of the Commission, two points which directly contribute to an unhealthy human relations climate in the Organization and to staff dissatisfaction have been brought up time and again, namely

- the aging population, and
- the inverted grade pyramid.

The Commission has found it essential to analyze these two closely related problems further. Any proposal to change the present structure and working and management habits or increase staff satisfaction and productivity will depend upon the ability of the Unesco top management to solve these two problems.

A.1 The Aging Population

The average age of the professional staff at Unesco was, in May 1989, 48.5 years, with a male average of 49.5 years and a female average of 45.3. Annex 6 gives further details on this critical issue.

The age pyramid underlines the seriousness of the situation.

20.9%, or 142 professional staff members, are between 55 and 60 years old

25%, or 177 professional staff members, are between 50 and 55 years old

Annex 7 shows the pyramid for the entire staff as of June 5, 1989.

The Commission, having analyzed this problem down to the individual posts in the Organization, must bring to the Director-General's attention the necessity of taking urgent action to avoid losing many positive elements of organization tradition and culture with the imminent retirement of over 45% of the staff. The personnel policy of the early 1990's must ensure that the most important values are carried forward into the next generation of Unesco staff.

An option to be considered is to make more frequent use of delayed retirement - up to age 65 - for staff members whose contribution to Unesco cannot be replaced in the time available before usual retirement at age 60. A small survey indicates that many staff members would like to continue their employment beyond the age of 60.

A.2 The Inverted Grade Pyramid

Unesco's staff structure is undoubtedly top heavy, with some 45% of all jobs (excluding GS grades) classified at P.5 and above. The grade pyramid in the Professional Category is inverted, with 224 staff at level P.5 and only one at level P.1. At the end of 1988, there were 85 Directors and higher ranks.

Moreover, the absolute number of directorate incumbents has increased since 1979 despite a contraction of the staff as a whole. Due to the proliferation of director appointments, several of them have too narrow a span of control.

A similar imbalance exists in the General Service, where a high percentage of staff have reached levels where further advancement is extremely difficult.

This situation has gradually developed for the following reasons:

- Budgetary stringencies have inhibited a normal rate of recruitment at entry level;
- Outside pressure has favoured appointments at senior grades;
- The extended salary freeze in the UN Common System has made Unesco salaries less competitive, so that qualified candidates had to be attracted by more favourable conditions, i.e., appointments at higher grades than normal;
- Strong staff pressure and inadequate job classification machinery have allowed an excessive grade creep;
- The aging of the staff also worked in the same direction.

The inverted grade pyramid is a growing problem for the professional male staff. In December 1988, 517 staff members, or almost 75% of the entire professional male staff, were classified P4 and above.

For the professional female staff, the corresponding figures are 88 persons, or 40%.

This preponderance of higher level posts may be related to dissatisfaction on the part of certain professionals, who

may reasonably suppose that promotions should be given relatively easily in an inverted pyramid, and who nevertheless are not promoted in accordance with their expectations.

Annex 8 gives the details of the situation as of December 1988 and also shows the distribution in the General Service staff at Headquarters, which shows a normal pyramid distribution.

The Bureau of Statistics has taken the analysis further:

- Annex 9 shows the Professional Staff by age group and grade.
- Annex 10 contains the same staff by years of service and grade.

Annex 9 clearly shows that

- staff under 35 years of age are at the P1/P2 levels,
- for the age group 35-44, the average level is P2,
- for the age group 45-54, the average level is P4,
- for age group 55, the average level is P5.

The tendency to higher grades at upper age groups is normal, but it must be noted that those in age group 45 and above who have not progressed over the P3 grade at a time when the majority of their age mates are P4, P5 or D1 show strong signs of dissatisfaction.

The problem is particularly serious for the age group 55 and above, since these are persons who are within 5 years of retirement. Those who are below the P5 level may fall victim to a "devil-may-care" attitude, feeling that their promotion will never come and that the risk of being fired at their age is almost nil. .

A.3 Opportunities and Solutions

Both the age problem and the grade problem are very serious and should be urgently addressed. If well managed, they may offer a unique opportunity for the Organization to reevaluate the organization and make necessary corrections both in strategy and structure.

The departure, through retirement alone, of nearly 50% of its professional staff within the coming decade provides Unesco with its greatest opportunity - and challenge - in the planning, allocation, and management of its human resources. The opportunity is there to recruit significant numbers of young professionals, and at the same time to create new structures and mechanisms to respond to the urgent need for Sectors and Divisions to work more together. The challenge is not to lose the knowledge of staff as they retire, for this is a key resource of the Organization, but to plan for orderly transfer of that knowledge to others and to internal information and management systems. The challenge is also to use this opportunity for major renewal within the Secretariat, by filling individual vacancies as they occur with continual reference to a human resource and organizational masterplan.

The grade dissatisfaction problem is another kind of challenge. The obvious need to redress the present imbalance has been widely recognized. To achieve this, it would be necessary to carry out a complete job review in the Secretariat, with the double objective • to (a) review the classification level of the present incumbents and (b) to determine the functional content of jobs actually required, with a view to reducing grade levels as far as possible.

This would undoubtedly be a major and costly undertaking, and to be fully effective, it should be preceded by a review of Unesco's overall organization and structure in the light of future programme requirements. The aim should be to eliminate unnecessary hierarchical levels, abolish redundant units and jobs, streamline work flows and shorten channels of communication.

The exercise should be completed by a systematic ad-hoc action to identify mismatched and seriously underemployed staff members with a view to resolutely solving this problem. The details of this problem are covered in part IX of the report.

If the classification review results in the downgrading of existing jobs, their incumbents should keep their contractual conditions, but efforts should be made to redeploy them in the longer term. Vacant jobs should be filled at the revised grade level. Lastly, and this need has already been recognized, recruitment of new staff members should be made at entry levels (P.1 to P.3 and G.1 to G.3) to the extent possible.

It would be important to review the contributions of each employee, starting with the older age group, to make sure that all staff deserving reward have been promoted. At the same time, each professional employee should be given a clear description of what is expected of him and be made aware of the new system of regular evaluation and of the need to transfer the best of the present to the future. Employees nearing retirement are likely to appreciate the opportunity to perpetuate the store of experience and knowledge they have accumulated. For those who in fact have reached a "burn-out stage", a possibility is to form close team-work projects with younger middle-level staffers, who would act as quickeners for the older employees and at the

same time be able to obtain important information and sources for use in the future.

The primus modus in encouraging the older professional staff, redefining positions, recruiting the right people for vacancies, and training staff for maximum leverage is a capable, well-managed Bureau of Personnel, which would also be an important contributor to the formulation of a "personnel masterplan".

B. The Role of the Bureau of Personnel

In modern organizations, personnel management is primarily the task of direct supervisors throughout the Organization. At the same time, a group of professional advisors and skilled administrators are needed to assist in personnel policy formulation and the implementation of those policies. This is the role of the Bureau of Personnel, which more specifically has the following main tasks:

- (a) to contribute professional knowledge to personnel policy formulation and to participate on behalf of Unesco in inter-agency personnel policy-making bodies;
- (b) to monitor the exercise of delegated functions in personnel management and administration on the basis of accepted policies, rules and regulations;
- (c) to organize and undertake recruitment actions in member States, under full observance of Unesco's objectives, standards, and procedures, and to service the recognized appointment authorities of the Secretariat;
- (d) to coordinate, operate and/or supervise activities related to job classification, manpower and career planning, staff development and training;
- (e) to provide and/or monitor all social services to the staff;
- (f) to ensure efficient administrative processing of personnel decisions and actions as well as of incoming and outgoing communications concerning personnel, and to maintain all relevant electronic and manual records.

On the basis of the recent surveys, the Commission arrived at the conclusion that, in its present form, the Bureau of Personnel is not in a position to discharge its functions effectively and to implement the Director General's goals for Unesco. The situation may be ascribed to several factors:

- (a) PER has 27 Professional Category staff members, but almost none has been specifically trained in personnel administration;
- (b) Some of the units have been depleted by the premature departure of experienced members;
- (c) Continuity has been lost because outgoing experienced PER-GS staff have not been able to hand over their knowledge to their successors;
- (d) PER is frequently by-passed in personnel matters because many important negotiations on staff matters take place between sectors and the Bureau of Budget, without reference to PER;
- (e) In comparison with the Director of Budget, the Director of Personnel is too far removed from the Director General; in comparison with his counterpart in other UN organizations of similar size, his grade level is too low;
- (f) The internal organization of PER seems inadequate, with recruitment and administration merged in the same unit and several small units floating around;
- (g) PER has little capacity for Organization-wide planning (manpower, recruitment, careers, training) and insufficient capacity for job classification;
- (h) Some personnel decisions are taken at the Cabinet level without consulting the Director of Personnel, thus leading to confusion and demotivation.

The Commission recommends that as a first priority in renewing the Secretariat, Unesco reorganize the Bureau of Personnel. This reorganization should not lead to an increase in the size of PER, but hopefully to a reduction. The Commission warns that reorganizing the Bureau of Personnel by itself will not achieve the necessary transformation in the motivation and management of Unesco's human resources. This will require the involvement of all staff, and especially supervisors, from senior management on down. The strengthening of the Bureau of Personnel is, however, the vital first step.

The overall objective in proposing changes in the Bureau of Personnel is to arrive at a specialist unit that

- responds well to the needs of the "new Unesco" and achieves a more effective use of human resources,
- encourages through its decisions, a delegation of functional responsibility and accountability to lower levels,
- establishes a dynamic process of long-term strategic manpower planning, and at the same time,
- guarantees a sound and flexible short-term administration of the existing human resources.

As will be elaborated in a following section, a major challenge for the Bureau of Personnel is the management of human resources in the situation of rapid change necessitated by the age and grade structure of the present Secretariat.

C. The Organizational Structure of the Bureau of Personnel

The paramount importance of the personnel function as defined in the draft outline of the Director-General's statement on Personnel Policies and Practices makes it mandatory that the structural and staffing pattern of this Bureau be developed accordingly. Thus, the Bureau of Personnel shall be composed of:

C.1 Office of the Director

The Bureau must be led by a highly competent Director with personal integrity, proven experience in managing personnel, and an educational and cultural background ensuring the fullest understanding of staff in a multi-cultural international environment. He/she shall lead and manage all the activities of the Bureau.

C.2 Policy Division

The Policy Division attached to the Director's Office shall be responsible for the interpretation of the Staff Rules and Regulations, Unesco personnel policies, procedures and evaluations, the preparation of personnel policy directives and instructions, relations with staff, liaison with the United Nations system organizations, representation of Unesco in various inter-agency and United Nations bodies on personnel policies and related administrative matters and preparation of appropriate background material. The representation of Unesco at Appeals machinery deliberations, and in other elements of the appeals process and providing general legal advice on all personnel matters will also be a responsibility of this Division. This Division should be

serviced by staff who possess the relevant professional expertise.

C.3 Staff Development Division

To adequately reflect the importance attached to staff planning, staff development, placement, classification, recruitment and training, those responsible for these functions should be persons of commensurate expertise, competence, integrity, seniority, and experience and should be specialized in staff planning, job classification, counselling, training, as well as recruitment and evaluation techniques.

C.4 Staff Planning, Placement, and Classification Section

The basic functions of this Section shall be:

- the preparation of an indicative master plan for staff utilization;
- the forecasting of short-term, and long-term requirements, based on a synthesis of all relevant inputs, and the maintenance and further development of the automated personnel records system to facilitate such forecasts;
- ensuring suitable arrangements for the evaluation of staff members' performance, potential and personal attributes and continuous development of evaluation tools, such as the Performance Review Report;

- the development of "indicative" career patterns for individual staff members;
- the reassignment of Unesco staff and the placement of newly-recruited candidates, initiated and arranged in close consultation with the staff members involved, the Bureaux and Divisions, and the Field Offices; this within the overall context of the draft outline provision of the Director General's statement on Personnel Policies and Practices and on the basis of long-term and medium-term staff development plans,
- implementation of job classification standards and participation in the review of job descriptions, in consultation with Recruitment and the other organisational units involved;
- participation in decision-making regarding the utilization of staff resources and reassignments with appropriate Bureaux and Offices, to ensure conformity with agreed staff utilization plans;
- participation in Appointment and Promotion Board meetings;
- the counselling of individual staff members in relation to career possibilities and advancement;
- the preparation of staff lists, circulars and statistical information on Unesco staff.

C.5 Recruitment Section

To meet the Organization's external recruitment needs, as identified by the staff plans, and to ensure a consistently high quality, Recruitment should be headed by a highly competent and experienced person with expertise and a good knowledge of the UN system and its official languages. He/she will be supported by a team of recruitment officers with similar qualifications.

The basic functions in this area are the elaboration of procedures for recruitment and selection, based on established policies of the Organization; the recruitment of staff for the filling of vacant posts at headquarters and in the field on the basis of the requirements, as defined by the Staff Development Division; and the identification of sources of qualified candidates. Applicants are to be interviewed and evaluated; rosters of qualified candidates are to be maintained.

Other functions include the processing of the recruiting and selection of experts, associate experts, field advisers and consultants, and the preparation of background material on appointments of regular staff for the Appointment and Promotion Board.

C.6 Training Section

In order to operate an all-round training programme within the context of the integrated personnel system, the head of Training Section should be a training specialist, with proven competence, preferably with a good knowledge of the UN system. He/she will be supported by officers with similar qualifications and appropriate language skills. The functions of Training will include:

- (i) annual training reviews, of which take into consideration the training requirements and views of the appropriate units at headquarters and in the field, as well as individual staff members, and on the basis of which the overall training programme and budget will be prepared.
- (ii) preparation and administration of in-service training programmes in the areas of management, development, and specialized technical fields on the basis of specifically identified needs, and provision of standard briefing and introduction courses for newly-recruited staff;
- (iii) compilation of a list of courses of potential value to Unesco staff, and placement of staff members in appropriate courses offered by intergovernmental organizations, bilateral programmes, specialized institutes and universities, to provide staff with in-depth exposure to issues and trends of relevance to Unesco's activities;
- (iv) provision of assistance in furthering individual self-development efforts of staff through Study Leave Programme, and liaison with language schools to place Unesco staff in special institutions for total immersion language courses in preparation for reassignment, or as appropriate.

C.7 Administration Division

To provide efficient administrative services to all Unesco staff and maintain an effective mechanism regarding the review of salaries and allowances, the Administration Division, headed by a senior officer with ample experience in personnel and field administration, and a sound knowledge of staff rules and procedures in the United Nations system, will be reinforced. The division supervisor will ensure constructive and sympathetic application of Rules and Regulations, so that the right environment for the functioning of the Organization and the welfare of the staff is created. He/she will be assisted by Personnel Officers with sound qualifications in personnel administration and demonstrated ability to handle complex questions related to conditions of service. The basic functions of the Administration Branch shall be as follows:

- (i) the administration of entitlements, salaries, allowances and grants as they affect individual Unesco staff members, experts, and consultants, at headquarters and in the field;
- (ii) the maintenance of individual files on all staff and the provision of basic data for the automated personnel records system; counselling of staff members by letter and in person and advising them of their entitlements within the scope of the applicable Staff Rules;

- (iii) the coordination, administration and review of cost-of-living data and other surveys for Paris in connection with revisions of post adjustments, salaries of local staff, daily subsistence allowance, stipend rates, and housing subsidies. These reviews and surveys in relation to the International Civil Service Commission and other agencies, as appropriate;
- (iv) the provision of complete and current information to field offices concerning policies and procedures affecting salaries and allowances;
- (v) in addition, the preparation of special surveys and papers, as required, for inter-agency and intergovernmental meetings.

C.8 Medical and Social Divisions

- a. Medical Section
- b. Social Section

These two units will remain unchanged and look after the medical and social welfare of headquarters staff.

Annex 13.1 shows the Proposed New Structure of the Bureau of Personnel.

D. Personnel Policy

D.1 Absence of Personnel Policy

Unesco has not until the present attempted to develop an integrated set of personnel policies for its Secretariat, although it has communicated declarations of various kinds through notes and circulars issued by management on an ad-hoc basis. Consequently, the staff seems to lack a sense of the philosophy of personnel management in the Organization other than that which may be inferred with difficulty from the Staff Regulations and Rules.

The purpose of a coherent statement of personnel policy is not to supersede the Regulations and Rules but to indicate the underlying philosophical base which governs the management of human resources and the processes by means of which the most important decisions are to be made. In fairness, it should be said, however, that during the recent past there have been encouraging signs to the effect that the situation is about to change.

Firstly, mention has already been made of the Director-General's Note on Recruitment and Personnel Management of 4 February 1988, which may be regarded as a step toward the formulation of a wider personnel policy.

Secondly, the Special Committee of the Executive Board, in its In-Depth Study on a Comprehensive Personnel Policy, has gone a long way in defining new objectives and proposing interesting measures for their attainment.

Thirdly, upon the recommendation of the Executive Board, the Director-General has set up a joint ad-hoc working group to study the existing system of joint consultative committees on staff questions, with a view to simplifying their functioning and reducing their number.

This is therefore a propitious moment for Unesco to make a resolute effort in the direction of defining and promulgating its personnel policy along the lines proposed later in this part of the Report.

D.2 Some Basic Principles of Modern Personnel Management

Although the Commission feels strongly that management style, personnel policies and staff/management relations should be developed in a common effort by Unesco itself in order to ensure effective leadership, a healthy social climate, and a high rate of productivity, it wishes to draw attention to some important concepts of successful human resource management that are widely recognized, both in management science and in modern industrial practice.

Firstly, personnel management is a line function and an integral part of programme management (the term "programme" is to be understood in a wider sense than in the Unesco context; it means any work programme, whether technical, administrative, or of another type). It therefore is a primary responsibility of every head of an organizational unit, from Sector Head to group supervisor.

It follows that staffing decisions, but also career aspirations, discipline and group behaviour, motivation, and even personal problems must be regarded as major concerns of programme managers, who carry responsibility and accountability for the delivery of their unit's work programme.

To all the extent possible, Directors and other heads of units must ensure that their staff are assigned to tasks corresponding to their qualifications, abilities, and interests, that they are given opportunities for training

and development, and that they are treated fairly and equitably. It is their responsibility to reward good performance and to take corrective action in a constructive spirit where performance falls short of the general standards of Unesco and the specific objectives of the work programme.

Managers should realize and indeed accept that, despite a usual perception of the personnel function as an administrative burden, personnel management tasks are part and parcel of their own function as responsible chiefs, often taxing their own availability for more professional and often more pressing requirements of their own work programmes.

In contrast to earlier concepts, the central personnel unit nowadays should play predominantly a professional advisory and administrative support role and monitor the decentralized application of policies and regulations. The role of the Bureau of Personnel will be explained further below.

Secondly, the importance, needs, and expectations of the individual staff member have to be recognized. Judging by numerous comments received, the human aspects of management tend to be neglected in Unesco. Many staff members feel that they are regarded as administrative entities (a "post") and not as human beings. The relations between chiefs and subordinates seem to lack confidence, and a real team spirit is hard to come by. Managers should be aware that concentrating on work objectives alone is not enough, for it is of equal importance to assist the members of the team in their quest for satisfaction at work, individual achievement, and self-expression.

Thirdly, but in the same line of reasoning, there is a need to not only admit but actively seek the involvement and participation of the staff in the establishment of objectives and goals at their respective levels of operation and in the appraisal of their individual performance. Leadership expressed by authoritarian methods will ultimately be counterproductive, in that it leads to conflict and resistance to change. Unesco will need to make a sustained effort to improve an attitude to team work and participation that is widely perceived as far from satisfactory.

D.3 The Formulation of a Consistent Policy

An integrated set of personnel policies should cover at least the following subjects:

- the authority and responsibility of line management, including Sector Heads, Division Directors and other supervisors, in personnel management, as distinct from those of the Director of Personnel and his Bureau;
- the relations and methods of cooperation between the administration and authorized staff representatives, including the identification of matters that should be subject to consultation or negotiation;
- the staffing methods, including staff recruitment, transfer, and promotion;
- personnel development, including performance evaluation, career planning, and staff training;
- the termination of service;

- general conditions of service.

Generally, personnel policies can be either decided at the top of an organization or developed in a consultation and negotiation process. The Commission believes that an Organization like Unesco cannot but opt for the second alternative. This would not only be in conformity with today's concepts of work and organization, but also be indispensable for achieving acceptance of, and commitment to personnel policies by all parties concerned.

Ideally, the consultation process should follow a double track: both line management and the staff in general should participate in the shaping of personnel policies.

Unesco Staff Rule 108.2 provides for an Advisory Council on Personnel Policies (ACPP) as a major consultative body, but there is reason to believe that it has not been frequently resorted to in the past. In any case, the ACPP should be reactivated and brought to full life again as the most important joint consultative body representing both management and staff.

However, there appears to be a lack of balance, inasmuch as the Staff Associations have at their disposal an elaborate internal machinery for discussion and agreement on matters concerning the interests of the staff, whereas line managers, i.e., Directors and other chiefs, have no forum on their side allowing them to express views on important issues and work out a consensus. It would be useful, therefore, to set up an informal Management Committee on Personnel Policy composed of senior managers to advise the Director-General and DDG/M, as well as their representatives in the ACPP.

The Commission cannot place enough emphasis on the importance and urgency of developing a comprehensive Unesco personnel policy on the basis of as wide a consensus as possible and of publishing and explaining this policy once it has been endorsed by the Executive Board. This is all the more necessary, as the Board is itself in the process of prescribing a personnel policy in the elaboration of which neither the management nor the staff of Unesco have systematically participated.

A coherent statement on personnel policy may, at least initially, be restricted to broad and general issues covering the respective responsibilities and authorities of management and staff, thus placing the Staff Regulations and Rules and other detailed internal arrangements in a wider perspective. The elaboration of details would be largely a task of the Bureau of Personnel, but subject again to consultation where appropriate.

While for the reasons stated, the Commission prefers to abstain from recommending to the Director-General the detailed contents of a personnel policy statement, it wishes to annex to this report a draft outline which has been kindly proposed by Mr. Eugene Youkel, whose long and high-level experience in human resources management in the United Nations system is of particular relevance to the subject matter of this report.

The document is contained in Annex 11.

D.4 The Post System

The original notion of a post was a budgetary authorization to appoint a staff member for an infinite period to carry out a more or less stable or permanent activity of the Organization.

The number of such posts, their grades and the units to which they were assigned was a matter to be decided by the General Conference on the recommendation of the Executive Board. The Unesco Draft Programme and Budget for 1990-1991 mentions a total of 2,073 budgeted posts and a margin of 83 posts which the Director-General may create in order to meet programme requirements. However, as regards the distribution of these posts within the Secretariat, neither Document 25 C/5 nor the staff tables specify their location, title, content, category, or grade level.

Most of these "established posts", especially in the Professional Category, are filled by staff members holding fixed-term appointments while others are vacant, frozen or filled temporarily. Established posts originally had both a work and budgetary content and mainly served the purpose of allowing the legislative organs of Unesco a detailed control over staff and staff costs. Today, this function is largely lost, since Unesco has adopted a programme budgeting system, and posts are managed internally by the Secretariat.

The Commission, which generally advocates greater flexibility, wonders what purpose is being achieved by the post system under these circumstances.

The only apparent advantage of the system resides in the fact that it allows a kind of control over the number of indeterminate appointments, which are not to exceed the number of established posts. However, this function seems to have little practical significance, considering the low proportion of indeterminate contracts, i.e., less than 20% for Professionals and just above 50% for GS grades.

On the other hand, the post system has the distinct disadvantage of being an element of rigidity in the overall staffing pattern. Since the underlying assumption of an

established post is precisely its longevity in terms of location, job content, and grade level, it cannot easily be made to respond to changing programme requirements. This is proved by the growing tendency to abolish, freeze, downgrade or otherwise manipulate vacant posts and resort to temporary help and consultants who offer greater flexibility in their employment.

At the same time, heads of units where posts fall vacant are still inclined to open recruitment in the traditional way without always reappraising the long-term usefulness of this approach. Nor is the central control over budgets and posts, as exercised by the Bureau of Budget, very helpful in this respect; rather, it must be seen as an anachronism with a detrimental effect on the accountability of line managers.

Even when viewed from the angle of the staff's interests, the post system has lost much of its significance. What provides security of employment to a staff member is not so much being assigned to a budgetary post as the type of employment contract held. In this respect, the difference between an indeterminate appointment and a durable fixed-term contract has diminished over the years, although indeterminate appointments are still highly valued.

The post concept has also been weakened by the practices of financing certain determinate appointments from extra-budgetary funds and maintaining a large number of staff assigned to budgetary posts on fixed-term contracts.

Since the system of resource control and that of staff employment have developed in different directions, a former close correlation between them is now almost nonexistent. It would be advisable to treat the question of employment tenure and contractual policy in a new perspective.

From the point of view of flexible resource management, the post notion may often be undesirable for its inherent rigidity over longer time spans; in the eyes of the incumbent, a post may be falsely perceived as a guarantee for continued employment. On the contrary, what actually determines the budgetary staff resources are the financial resources available, and what actually determines - and should determine - job security are factors such as performance in assignments held, development potential, commitment to the objectives of the Organization, and a continuing need for the contribution a staff member can offer.

As a consequence, it is recommended that the old "post" system be replaced by an integrated staff development system based on the concept of job as distinct from post (a job can be of any duration and grade) in order to allow a flexible response to changing programme needs and accompanied by effective manpower planning and a suitable staffing and career policy. Reference to "posts" should be avoided, including in the Staff Regulations, and be replaced by the term "job", particularly with regard to job classification and organizational structure.

D.5 Employment Contracts

Staff Rules 104.6 to 104.8 provide for three types of appointment: fixed-term, indeterminate, and temporary. However, there does not appear to be a clear policy on their use, e.g., the type of assignment for which the appointment is made, the desirable proportion of indeterminate contracts, and the conditions under which they are awarded. A further question arises with regard to the appointment procedure applicable to the various types.

A major problem in Unesco is the fact that many staff members were appointed under fixed-term conditions in response to a certain programme need of longer or shorter duration, and that they remained on the payroll thanks to successive contract extensions, thereby gradually building up career expectations, despite the recognized principle that fixed-term contracts carry no expectation of renewal.

Jurisdiction of the ILO Administrative Tribunal has recently undermined this principle in cases where contracts were extended over several years as a result of apparently satisfactory services and where a clearly temporary nature of job could not be proved.

Because of the widespread employment of fixed-term staff in budgeted "posts" based on continuing activities and the ineffective performance evaluation system, it is now almost as difficult to terminate (i.e., not renew) a fixed-term contract as to terminate an indeterminate one.

In this context, mention needs to be made of the use of consultants in Unesco, on which much criticism is being voiced. While a sophisticated Organization like Unesco probably cannot renounce the collaboration of consultants for specific purposes - a modality formally foreseen in the system - it seems wrong from the point of view of sound employment practice and even contrary to the Staff Regulations to employ consultants in line functions in the Secretariat, where they may either receive instructions from staff members or even give instructions to staff members.

Consultants are not staff members themselves and therefore not bound by the Staff Rules and Regulations or the oath of office. The use of consultants in regular and/or ongoing activities anywhere in Unesco cannot but be interpreted as an attempt to by-pass normal employment procedures and is

bound to be resented by the staff. This is particularly true with respect to consultants employed for longer periods of time in the higher layers of the hierarchy.

A problem also exists with regard to supernumerary staff, whose appointment is for strictly temporary assistance and should not lead to expectations exceeding this concept.

In the opinion of the Commission, Unesco needs a more systematic approach to all these questions. The Commission also believes that the policy should be sufficiently flexible to satisfy several potentially conflicting needs, - on the one hand, the stability and independence of the international civil service and the maintenance of an institutional memory and experience, and on - the other, the need to ensure a constant influx of "new blood" in order to keep abreast with the technological and scientific progress.

Although it will be for Unesco's management, staff, and constituents to reach a consensus on the most suitable employment policy, the Commission wishes to propose a number of elements for their consideration:

- (a) A clear distinction should be made, wherever possible, between "programme" (i.e., career) appointments and "project" (i.e., ad-hoc) appointments. While the former are based on jobs of a continuing nature, the latter should be of a clearly specified duration or for a specific task (e.g., research or consultancy-type jobs);
- (b) Both types of appointment should initially be made for fixed terms. Programme appointments should be made for two years and be renewable (without carrying an expectation to that effect). Project appointments should be made for two years or less,

depending on the job to be performed, and may take the form of a fixed-term, temporary, or consultant contract. These contracts should not be renewable, so as to avoid continued employment with its undesirable consequences. Where necessary, they may be followed by a similar contract after an interruption, subject to firm limits. The various types of appointment would also be subject to different recruitment procedures (see below);

- (c) The jobs in Unesco classified as programme appointments should be subject to decisions taken in the framework of continuous manpower planning. Account must be taken of budgetary constraints as well as of staff redeployment and rotation requirements, so as to improve staff mobility and career prospects; such decisions may be taken at the beginning of a new programming period;
- (d) Fixed-term programme appointments should be converted into indeterminate appointments after a minimum of five years, subject to fully satisfactory performance and within the limits of the established budgetary ceiling; such conversion should not be unduly delayed;
- (e) Appointments to management jobs should be made exclusively for fixed terms. If they are made by promotion of staff members holding indeterminate contracts, these contracts should be suspended and superseded by fixed-term contracts at the directorate level.

This employment policy would doubtlessly go a long way in meeting changing programme requirements and at the same time offer a fair response to the legitimate aspirations of the

staff with respect to job security. However, the success of the policy depends entirely on the strictness of its implementation. It should be published and explained to the staff, especially to newly appointed members, who should be made aware of their own position in relation to it. Exceptions should not be made under any circumstances, to preserve the staff's confidence in the impartiality of the system.

D.6 Job Classification

Job classification in Unesco, at least certain aspects of implementation, has been criticized as being a problem area. Because promotion opportunities are few, enormous pressure has built up to create them through job reclassification.

In 1988, some 800 requests were received, of which 54 in the Professional Category and 74 in the General Service resulted in upgradings and the promotion of incumbents.

The Consultative Committee on Classification was overloaded and lacked expertise, so that much of its work was done superficially. Many requests for reclassification were forwarded without the support from Sector Heads. In addition, the Bureau of Personnel is at present without trained and experienced classification specialists.

The Commission has some difficulty in drawing the right conclusions from this situation, from which it may be inferred either that jobs in Unesco evolve dynamically - which would be indicative of programme flexibility and job enrichment practices and thus be a positive factor - or, on the contrary, that many jobs were either improperly classified previously or too generously reclassified subsequently - which would be a negative factor.

Job classification is always a critical area because of the human element involved. It can be successful only if it is carried out by neutral specialists of the Bureau of Personnel, whose work is protected against outside pressure or influence, and if the appeals body enjoys identical conditions.

Classification standards are now largely under the control of the International Civil Service Commission, and Unesco is under an obligation to apply them.

The Commission recommends strengthening the Bureau of Personnel by setting up a job classification unit with, at least initially, one or two experienced classification officers and a sufficient budget allocation for the hiring of two additional classifiers on a temporary basis.

As recommended above, the team's first task should be to undertake a complete classification review at Headquarters and in the field, so as to wind up all outstanding reclassification requests, to prevent new requests from being made for some time and to start again with a clean slate thereafter. Future policy should exclude excessive reclassification requests by making the relevant conditions more stringent.

To be effective, a classification unit in Unesco would require at least two classification officers on a permanent basis: this would allow the review of the Secretariat's 2,500 jobs once in every 5-6 years and the initial classification of all newly created jobs.

The principle whereby every job needs to be adequately described in a job description and duly classified by a specialist before it is filled should be strictly applied in the interest of sound and equitable personnel management.

D.7 Staff Planning

To ensure that the organization and structure of the staff responds to changing programme needs, staff requirements must be systematically planned in advance.

Unesco has apparently not made efforts to develop staff planning alongside with programme planning. The latter is now based on the double-track approach of the biennial budget exercise and the six-year medium-term plan; each time these planning efforts are made, they should also cover the prospective implications in terms of the human resources and skills needed for the planned activities.

Staff planning is a prerequisite for the planning of recruitment, training, and career development. The Bureau of Personnel (PER) has a central role to play in the overall Organization-wide coordination, while all unit chiefs have to provide the main data.

PER should take the lead by specifying its requirements for forecasting data and by maintaining planning tables for Unesco as a whole. At this point in time, after the Programme and Budget proposals for 1990-1991 and the Medium-Term Plan 1990-1995 have already been finalized, there is no other way but to request all units of the Secretariat and field offices to analyse their staff needs for these periods on an ad-hoc basis.

In future planning cycles, the identification of precise needs should be a normal part of programme proposals.

Staff planning will be greatly facilitated by the use of a computerized personnel information system, which should include a skills inventory subsystem allowing easy on-line

access to data on skills available and needed in the shorter and longer term.

As will be explained further below, the terms of reference of the Bureau of Personnel should undergo a fundamental change by a reduction of its work in central staff management and manual administration and by the development of planning and advisory functions and greater use of data processing facilities.

D.8 Recruitment

Staffing is a term designed to cover the processes of recruitment, selection, and assignment of qualified persons, whether from within or outside the Organization. In Unesco, the main staffing principles and criteria are specified in Chapter IV of the Staff Regulations, namely:

- highest standards of efficiency, competence, and integrity;
- non-discrimination;
- wide geographical distribution;
- selection on a competitive basis where possible;
- priority for serving staff in the filling of vacant posts.

With the view that these principles are still valid and important, the Commission was mainly concerned with their practical application in Unesco, with the delegation of authority for staffing decisions, and with the efficiency of the processes.

Authority for staffing decisions and the methods applied to the filling of vacancies have obvious implications for

- (a) the unit manager(s) concerned,
- (b) the staff,
- (c) the member States, and
- (d) Unesco as a whole.

The unit manager needs skilled and capable persons who fit into his team, the staff want to protect their legitimate career interests, the member States attach importance to the geographical distribution of appointments (and sometimes "push" their candidates), and Unesco as an institution needs a solid corps of loyal, reliable, and adaptable civil servants with experience and development potential.

The Director-General, who is the only constitutional appointment authority, must take these differing, if not conflicting interests into account. The practical exercise of the staffing authority is thus more difficult than in a private organization and subject to criticism from many sides.

The Commission feels that an important distinction should be made between

- (a) short-term project-type appointments,
- (b) potentially long-term programme or career appointments, and
- (c) management appointments to the Director Category.

Because project-type appointments are not to lead to careers in Unesco, there is no reason why the staff needs to be consulted in the selection process. Provided the principle of non-conversion of status is strictly adhered to, the responsible heads of Divisions, Bureaus and Sectors may and should be granted wider authority and responsibility for the

selection of the most suitable people to help them execute their programmes during limited periods.

Nevertheless, considering that non-career appointments may cover large numbers of staff members and consultants, involving millions of dollars of expenditure of public funds, it really seems difficult to justify an unrestricted freedom for line managers to commit the Organization without some system of checks and balances.

To simplify and speed up the process, it is therefore recommended to create or maintain a procedure whereby the Bureau of Personnel exercises a minimum of control by processing, monitoring, and recording all contracts. Additionally, PER should assist line managers in recruitment planning, candidate searches, interviewing, and other support work.

As regards programme/career appointments, i.e., fixed-term appointments with the possibility but not the expectation of renewal and - at a later stage - conversion to indeterminate appointments, given the crucial link between staffing decisions and the quality of programme performance, it is imperative to associate line managers as closely as possible to the staffing process.

On the other hand, in view of the long-term implications for Unesco and for the staff as a whole, a more formal consultative procedure appears indispensable.

The Commission takes the view that the Personnel Advisory Board (PAB) procedures provided for in the Staff Regulations offer an adequate machinery, but that care should be taken in their use:

- First, the members of PABs should be selected carefully among qualified staff;
- Second, the work of PABs should be protected against undue influence from outside;
- Third, PABs should perform their duties with all due discretion, speedily, and efficiently.

Staff Rule 104.1 excludes appointments of less than six months from the PAB procedure; in view of its recommendation to handle project appointments of up to two years outside the Board procedure, the Commission considers that a change of the relevant Staff Rule would be necessary.

With the Director-General's decision of April 2, 1988 to delegate staffing and appointment authority to the DDG/M, the ADG/GA and the DIR/PER, the PAB procedure has fallen out of balance, inasmuch as appointments at grades P.1 to P.3 are decided upon in the end by the ADG for General Administration, who is at the same time the hierarchical chief of the DIR/PER, who in turn is ex-officio chairman of the PAB.

As long as line management and PAB agree on a selection recommendation, the exercise of appointment authority is purely formal and unproblematic. However, in cases of split recommendations, it would seem normal to refer the issue to an authority which is both impartial and on a higher level.

The situation would be similar in the case of appointments of General Service staff, where DIR/PER is both the superior of the PAB chairman and the appointment authority for GS appointments.

The Commission therefore recommends to add to the delegation arrangements a provision to the effect that, whenever there is disagreement in a selection case, the issue should be referred to both DDG/P and DDG/M for a joint decision or, if no agreement is reached at the DDG level, for final decision to the Director-General.

Although the Staff Regulations provide for no internal consultative machinery for the appointments of grades D.1 and D.2, it is considered to be in the Director-General's interest to have a permanent advisory body at his disposal in this regard. Such a body might usefully be composed of the Director-General as chairman, the two Deputy Directors-General and the Director of Personnel as permanent members, and two ADGs or D.2 Directors as ad-hoc members.

The DIR/PER would act as secretary and be responsible for preparing complete dossiers on the candidates under discussion so that the group, which might be designated the "Senior Appointments Board", may consider all relevant factors.

The Commission firmly believes that the Director-General should give his support to this type of internal executive consultation board, which should be consulted on all appointments to management positions (P.5 to D.2), except on appointments at the level of DDG and ADG. Appointments at grade levels ADG and DDG have to be communicated to the Executive Board.

Current staffing and recruitment methods practiced in Unesco should be improved by the following measures:

- As part of continuing staff planning, staffing needs and recruitment action should be planned sufficiently in advance to yield better results and avoid delays.
- Unesco needs a strong recruitment unit in the Bureau of Personnel, staffed with specialists and equipped with modern tools and sufficient funds for aggressive action in the search for first-class candidates.
- Staff recruitment is professional work requiring specialized knowledge and experience; therefore, PER should be responsible for recruitment planning and all pre-selection work, including the development of sources, advertising, arranging tests and interviews, keeping rosters up to date, and any other administrative work in connection with the staffing process; it should service the units with staffing needs and the internal Boards concerned with selection; once adequately staffed and equipped for these tasks, PER should be held accountable for the results.
- All other units of Unesco should cooperate with PER and facilitate its work by providing planning data in good time, providing meaningful job descriptions, identifying potential recruitment sources and generally, maintaining a constructive dialogue with PER; neither PER nor the other units should take recruitment action in isolation.
- In no case should PER be by-passed in any staffing process; officers with recruitment authority should not proceed to an appointment without having consulted the Director of Personnel on the requirements of due process and possible policy implications;

- All appointments should primarily be based on merit. Other policy objectives such as fair geographical distribution, equal treatment of men and women and rejuvenation of the staff must also be achieved; these objectives are not incompatible with the paramount requirements of efficiency, competence and integrity, but they are constraints that call for greater investments and efforts in recruitment.
- As a matter of principle, all appointments, whether from within or without, should be made on a competitive basis, and unavoidable exceptions should be minimized in number; wherever possible, candidates should be assessed by objective means, such as written examinations to test professional knowledge and language proficiency, through interviews, and on the basis of reliable references.
- Programme appointments from outside should be strongly concentrated on junior entrance levels, i.e., P.1 to P.2 and GS 1 to GS 3; intensive information projection efforts, i.e., visits to campuses, should be made to attract young university graduates with interest in international careers;
- Non-renewable project appointments can be made at higher levels to respond to urgent and specialized short-term needs;
- Leadership qualities and management skills are important requirements for supervisory and director appointments and should receive the same attention as professional and technical excellence; where the latter outweigh the former, suitable training in

management skills should be provided at the beginning of the appointment;

- A fully satisfactory knowledge of either English or French should continue to be an indispensable requirement for appointment to any job in Unesco, even if this may disadvantage candidates from countries where neither of the two languages is currently spoken, it cannot be seen how this vital communication requirement can be renounced or downgraded.

The interference of member States in the selection of candidates and the filling of vacancies has been the subject of acrimonious criticism among the staff. Such interference is undoubtedly unhealthy and counterproductive, if the aim is to have a coherent personnel policy and sound management practices in Unesco.

While a balanced geographical distribution of staff appointments is a natural goal in a world Organization, it must be subordinated to a clearly articulated policy restricting appointments to properly qualified candidates selected in an orderly process.

Unsolicited candidatures must be rejected when they fail to match the needs of the Organization, and member States must be persuaded that their true interests, and those of Unesco and of the individuals concerned, are met only if there is a clear correlation between the staffing requirements and the qualifications of the staff.

The following measures might help reduce the influence and pressure from governments and other national institutions on the management and staff of Unesco:

- The Director-General should issue a statement requiring every staff member to resist such influence and pressure and recalling their oath of office;
- He should also use a suitable opportunity to remind the representatives of member States of the undesirable effects of interference in his prerogatives and obligations as chief administrative officer;
- He should further give member States an assurance that the Secretariat does and will conduct vigorous and successful recruitment campaigns in unrepresented and underrepresented countries;
- Finally, he should have a coherent personnel policy developed and published and ensure its observance by all concerned;
- This policy should provide that government representatives in Unesco bodies, such as the Executive Board, cannot apply for appointment as staff members until two years after having relinquished their government function.

D.9 Career Planning

Career planning is one of the personnel management subjects which are frequently discussed but seldom acted upon. The first question to be answered is whether Unesco considers itself, and indeed wishes to be, a career-minded Organization, or whether it prefers to emphasize a "fresh-blood" approach, focusing on short-term rather than on long-term needs.

The answer is that Unesco needs both a core of career staff who ensure the institutional tradition and continuity and a reasonable inflow of state-of-the-art know-how and expertise from outside.

The difficulty will be to strike the right balance between the two. In a preceding chapter, the Commission recommended introducing staff planning as a systematic and continuing exercise to identify short-term and longer-term needs in jobs and personnel.

It is very important to determine principles, criteria and ratios for this assessment of needs, so as to ensure a balanced overall staff structure.

Career prospects in Unesco are criticized as being weak and uncertain, depending on the availability of vacant posts and on unpredictable recruitments from outside. Most of the recent promotions resulted from job reclassification, whereas some others were granted ad hoc on a personal basis.

There is no evidence that Unesco has ever addressed the career problem systematically. In this connection, reference should be made to the career policy proposals contained in the In-Depth Review of the Special Committee of the Executive Board.

They recommend that the problem be solved in a relatively easy way, by introducing "semi-automatic" promotions after periods of service of 5-7 years, subject to satisfactory performance and development potential.

The Commission finds it difficult to agree to this idea, which would mark too radical a departure from the prevailing concept, whereby a staff member's grade and salary are

determined by the degree of responsibility, scope, and difficulty attached to the job.

A semi-automatic promotion system would primarily be person-oriented by rewarding seniority and performance rather than higher-level functions, thus depriving job classification of any practical significance. Nor would it be conducive to increased effort and competition, since advancement in grade would tend to become a mere question of time.

The linking of grade levels to job contents should basically be maintained. However, there appears to be scope for a certain degree of career planning, although this would be a complicated and demanding exercise.

It would require an analysis of job types and job clusters and an identification of a series of normal career paths. For each set of skills and qualifications, there should be a pattern providing at least for a probationary level, a fully operational level, and a supervisory level or a level of exceptional competence.

Career plans should be regularly reviewed and updated and be coordinated with recruitment plans. It must be realized, however, that the scope for effective career planning is limited as long as staff members participate in, and win, competitions for filling higher ranking vacancies.

Nevertheless, an Organization as large as Unesco may find considerable advantage in providing for its needs for capable future leaders through the identification of young staff members who have the capacity for accelerated advancement and the planning of special development programmes for them.

Development programmes might include job rotation between Headquarters units and between Headquarters and field, special assignments, management training programmes, study leave, etc. They would imply no guarantee for future promotions, but rather greater expectations from management and higher performance levels from the staff member concerned.

Career planning, to have a reasonable chance of success, also must be reconciled with the requirements of geographical distribution. Such recruitment should be limited to lower entrance levels. Higher-grade vacancies should be staffed predominantly through internal staff movements, where geographical distribution would not normally be a consideration. If some of the most senior posts (e.g., DDG and ADG) must be reserved for appointment by geographical distribution, it would be desirable to indicate this clearly as part of declared staffing policy.

Manpower and career planning are personnel management programmes that cannot be implemented on a decentralized basis, for obvious reasons. They have to be part of the responsibilities of the Bureau of Personnel, which must work closely together with all the units of the Secretariat.

They require initiative and innovation, coordination and persuasion, and objective judgment. They should be supported by modern data processing facilities.

D.10 Women in the Secretariat

The Commission strongly supports the need to further efforts in improving the gender distribution within the professional and above categories to give greater practical effect to the principle of equality of opportunities for women.

Since, in the normal course of events, a more balanced distribution will take many years to achieve, the Commission recommends that the Director-General instructs PER to give priority, consistent with merit, to the selection of women to fill a number of posts at the higher decision-making, and management levels during the new budget period beginning in January 1990.

The Commission believes that in taking some immediate steps to remit and promote women to senior positions, the Director-General will signal his commitment to the principle of equality of opportunities for men and women, and is confident that women of the highest calibre can be found, if a determined search is made to identify them. It is also consistent with this policy, that Unesco does not flinch from the need to remove women from posts should they fail to meet the requirements of their position.

D.11 Performance Evaluation

Performance evaluation or staff reporting is one of the pillars of staff development. There are no other official records on which to base decisions for contract extensions, transfers, and promotions. Nor are there any records for justifying non-extensions or terminations of appointments and disciplinary measures. There is widespread recognition that in Unesco, as in most other UN agencies, the performance evaluation system is ineffective, and its integrity has been undermined.

It has become impossible to build a case for the termination of unproductive staff. Aware of this situation, supervisors tend to disguise negative performance aspects in the hope that this will facilitate a transfer of the person concerned. Another reason for the failure of the system is the fact

that reporting is too strongly centered on personal characteristics and general attitude to work rather than on the factual assessment of task implementation.

It is understood that the performance evaluation system is presently under review, and it is hoped that this review will result in clear improvements. In this connection, the Commission wishes to formulate a number of recommendations.

Staff Rule 104.11 fails to provide for action to be taken on the basis of staff reports, except if they are contested by the staff member concerned, in which case they are referred to a Personnel Advisory Board. Otherwise, reports are merely received and filed by the Bureau of Personnel. Like other organizations of the UN System, Unesco should establish a special Reports Board, responsible exclusively for the control of the reporting system. This Board should be composed of 4 to 6 Directors, appointed by the Director-General for two-year terms renewable, and have the following responsibilities:

- Authority to reject reports of poor or inadequate quality;
- Authority to summon reporting Directors and supervisors, and staff members covered by reports, for interview, as required;
- Obligation to recommend that the Director-General take disciplinary action against staff members found deficient either as reporters or as the subject of reports;
- Overall control of the integrity and utility of the performance evaluation system.

The Reports Board would be serviced by the Bureau of Personnel. The latter would also have the responsibility of operating a strict system of reminding supervisors of reporting deadlines.

The Commission urges Unesco to intensify its efforts with a view to revising the performance evaluation system.

This revision should cover the procedural aspects mentioned above, but also the periodicity of staff reports and the forms to be used. As already mentioned, performance evaluation should de-emphasize personal traits and generalities; instead, it should relate performance clearly to pre-established work objectives and use measurable criteria as far as possible.

Also, performance evaluation should be a continuous process rather than a once-every-two-years exercise; the aim should be to improve performance rather than criticize it. Lastly, consideration should be given to adding self-evaluation of work as part of the process.

It is clear that performance evaluation, if properly done, is a time-consuming task for supervisors, but this is the price to be paid for results which can doubtless be beneficial to all concerned.

D.12 Promotions, Rewards and Performance Incentives

As regards promotions, there is a dilemma in Unesco inasmuch as the present grade structure is top-heavy and yet the staff is dissatisfied with the practice and rate of promotions.

For the reasons stated above, the Commission is not in favour of a semi-automatic promotion system based primarily on seniority. It believes that the present normal means of obtaining promotion, i.e., by regrading a job as a result of changes in duties or by winning a competition for a vacancy at a higher level, is by far preferable despite its shortcomings, which are certainly due to its implementation rather than to the system itself.

The success of this promotion system depends on the conditions that

- (a) work is efficiently organized in all units;
- (b) job classification follows strict rules and standards;
- (c) recruitment is largely restricted to the entrance levels; and
- (d) selection procedures are fair and consistent.

This being said, the Commission recommends that the possibilities of promotion be increased by the introduction of a complementary system of personal promotions, which would be applied when deserving staff members have not been promoted despite clearly superior performance over many years during which they have reached the maximum step and salary of their grade.

A carefully planned system would avoid that the number of personal promotions reaches undesirable proportions. There are precedents in other agencies of the UN System, notably in ILO, which might be considered as models.

Personal promotions might also be considered for the last six months of service before retirement of staff members who cannot qualify for promotion in any other way.

Apart from promotion, there is no possibility to reward outstanding performance in Unesco, inasmuch as annual salary increments are granted automatically if performance is not unsatisfactory, which means raises for practically every staff member.

Assuming that truly outstanding performance may be expected from not more than 20 percent of all staff, provision should be made for the payment of an additional salary increment for especially meritorious service to the year's best performers of each unit.

Again, there are precedents in other organizations which Unesco may use as a reference. Unesco should also consider whether salary increments could be granted over and above the grade maximums to those staff members who have had neither a promotion nor any salary increment for a number of years and who yet continue to maintain a high level of performance.

Since people are not only interested in material rewards for efforts they have made, the Director-General may wish to consider some additional, immaterial measures to reward excellent performance. Such measures might be the yearly publication of a list of the best performers in Unesco, personal letters of the Director-General to such staff members, public recognition by the D-G in a yearly staff meeting etc.

It may be expected that honorary distinctions of this kind will be greatly appreciated by the large number of people in lower grades who make untiring efforts in inconspicuous activities.

D.13 Staff Training

It has been amply argued that staff training is one of the most urgent measures to be taken in Unesco. The Commission shares this view, having found that up to now training policies have evolved piecemeal; that responsibilities for establishing objectives, priorities, and methods are not clear; that training is not coordinated with programme and management reforms; and that there seems to be no policy concerning the funding aspects of staff training. While efforts presently undertaken to upgrade training activities are certainly a step in the right direction, more needs to be done to revitalize this activity, which is absolutely essential to improve the efficiency and productivity of the whole Secretariat.

Considering the importance of training to both management and staff and its likely cost, it would be desirable to establish a permanent joint advisory committee on training policy, which would have the task of advising the Director-General on the objectives of staff training and the methods of attaining them.

The advisory committee should also oversee the implementation of the training policy, both the use of the funds and the results obtained. The committee might be composed of three management and three staff representatives; the chairman might be the Director of Personnel. The operational responsibility for implementation should be with the Bureau of Personnel, which should plan and organize all training activities in close cooperation with the Secretariat units.

Without going into a discussion of the details of staff training activities, the Commission wishes to stress in particular the importance and urgency of management training, on which efforts should be concentrated at this stage.

This report has highlighted that one of the most serious and pervasive problems of Unesco is weak leadership and ineffective management. Apart from attempts to remove the most seriously ineffective managers from the payroll, the only other measure for improving the situation is to start a management development programme without delay. Management courses should be made obligatory for all Directors and higher grades who have not undergone management training previously. In the future, newly appointed Directors, ADGs, and DDGs should be subjected to suitable management training before they take up their function.

The type of training should be carefully chosen and be adapted as far as possible to the special nature of Unesco as an international, multi-cultural, professional bureaucracy whose problems are quite different from those of a national administration or private company.

A similar policy should be applied to middle-level supervisors, including supervisors in the General Service Category, whose importance for promoting staff efficiency and motivation should not be underestimated.

The type of training required by this group will be somewhat different from actual management training, although many behavioural aspects will be the same.

Training in data processing techniques, while no doubt very important for any organization, will not in itself deliver miraculous results. Information processing training should be geared to precise proven needs, to prevent the sometimes observed behavior of people using work time to exercise with computers for little practical purpose. Word processing, the most widespread computer-based application, could lead to better results and higher productivity if offered to those who are responsible for composing documents and who could

often make use of the technique. Training in data management techniques, however, makes sense only if useful data are actually accessible through decentralized terminals; if this is not the case, such training would be wasted.

D.14 Mismatched and Seriously Underemployed Staff

According to the surveys carried out at the request of the Commission, an unidentified but significant number of staff members are making little or no effective contribution to the work of their unit or of Unesco as a whole. There are several reasons for this unsatisfactory situation, some of them relating to performance, others to circumstances beyond the staff member's control. The problem is sufficiently serious to require an urgent and determined solution to

- alleviate the payroll of unproductive salary expenses
- counteract the existing malaise and feeling of injustice among the good performers

A long-term solution will have to aim at avoiding the recurrence of such a situation by more careful staffing decisions, honest performance appraisal, effective staff training, and development and consistent application of the Staff Regulations. For the immediate future, however, the following measures might offer a way to solve the present problem.

- Every Head of Sector, Bureau, Division, or Established Office in the field should be requested to identify the members of his staff whom he believes to be making an insufficient contribution to the delivery of his programme - even if previous performance reports do not necessarily lead to this conclusion. He should discuss the cases with the next higher superior and with the Personnel Director, explaining fully the reasons and circumstances of the case. If appropriate, the staff member concerned could be included at some point in the discussion, which should not be limited to problems but also focus on possible solutions. Such

solutions might be a change of the assignment, a transfer to another job in the unit, job switches between staff, additional training, or early retirement under certain conditions.

- If no solution is found, the unit concerned should release the staff member, together with the resources from which his/her contract is financed, to the Director of PER, who would then be responsible for finding a new assignment for the staff member more in line with his/her qualifications, experience, and personal inclinations. The combined release of problem staff and their resource basis would have the double advantage of (a) obliging the releasing Director to give careful consideration to the pros and cons of such action and (b) increasing the receiving Director's readiness to try the staff member in a job available in his unit.

- If this operation (which should be closely monitored) turns out to be successful after a clear trial period, the receiving manager must then make the required resources available in his own programme and restore the original resources to the releasing unit. This would require a certain flexibility in resource management, an additional reason for down-playing the post system. A necessary corollary of the redeployment operation would be to authorize outside recruitment only after all possibilities of filling vacancies by internal transfer have been fully explored.

- If the efforts to redeploy a mismatched or under-employed staff member to another job are inconclusive within a given period of time, PER should start negotiations with the staff member with a view of terminating his/her service at Unesco. The Staff

Regulations offer several possibilities in this regard, but they may not suffice. Consideration should be given to special leave with and/or without pay, leading, where feasible, to early retirement and to special termination indemnities over and above those foreseen in the Staff Regulations. This would require obtaining a special financial allocation from the Executive Board, preferably on a non-reimbursable basis.

- If the problem of inadequate competence and performance in Unesco is as serious as many people seem to believe, the Commission considers it of utmost importance to find a definitive solution before long. If necessary, in view of the potentially high number of cases involved in the whole exercise, a joint ad-hoc committee might usefully be set up for the purpose of negotiating agreed solutions with the staff concerned.

This ad-hoc committee should be composed by a member from the PER, a representative from one of the Staff associations and an outside consultant with experience in handling such matters.

VI NEXT STEPS

In submitting this report the Commission has terminated its mandate as defined in February 1989.

However, it would not feel its mission completed if no further action was taken.

Therefore the Commission takes the liberty of suggesting the following next steps:

- Thorough review with senior officer designated by Director-General of the present report.

Implementation of proposals accepted by the Director-General and the Secretariat to begin as soon as possible in order to obtain maximum credibility for the Reform Process.

- Macro : Restructure the Organization into the three proposed sectors:
 - Programme Planning and Implementation
 - Relations and Information
 - Administration and Finance

A continuous effort to define areas of responsibility and accountability should be undertaken at the individual staff member level.

Massive management training should follow.

- Micro : Restructure the Bureau of Personnel, implement the Statement of basic Unesco Policies and Practices and the suggested reforms in the Human Resources Management area to be started now and carried through over the next 12 to 18 months.

- Submicro : To create the confidence required, set-up a highpowered three person group reporting to the Mediator to deal with outplacement and similar situations on an individual staff member base.

ANNEXES

- Mandate and Approach of the Independent Commission - Special studies undertaken 1.1-2
- Previous Studies and Documentation Available 2.1-2
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Mandate and Approach of the Commission

On December 5 1988, the Director-General, appointed an Independent Commission under the chairmanship of Mr. Knut Hammarskjöld "to advise him on ways and means of improving staff efficiency and management in the Unesco Secretariat, thereby adapting it to the requirements of the Medium-Term Plan 1990-1995".

The Commission was composed as follows:

Chairman : Mr. Knut Hammarskjöld

Members : Mr. André Chakour
Mr. Jørgen Friisberg
Mr. Carl-Heinz Harder
Mr. Juan Rada
Dr. Anne Whyte

Mr. Friisberg's position, at his request, was later transformed to that of an expert-consultant attached to the Commission and participating in its work.

The Commission held a total of nine meetings, as follows:

February 6 - 7, 1989
April 17 - 12, 1989
May 16 - 18, 1989
June 22 - 23, 1989
July 18 - 20, 1989
September 6 - 8, 1989
November 5 - 8, 1989
November 27, 1989 and
December 14 - 15, 1989.

In addition, the members of the Commission conducted a large number of interviews with Unesco staff members holding various grades and functions and with members of the Executive Board and national delegations.

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Prior to holding its first meeting in February 1989, the Commission had entrusted J. Kahn & Associates, Quality Management and Communications Consultants, Montreal, Canada, with a 12-day fact-finding study concerning staff motivation and effectiveness.

The report entitled:

**Final Report to the Hammarskjöld Commission:
A Fact-Finding Study Concerning Staff Motivation
and Effectiveness
February 3, 1989**

was available to the Commission from the beginning of its work.

At a later stage, the Commission requested a consultant group of the International Management Institute in Geneva to undertake a survey on personnel policies implementation. This survey took place from April 27 to June 5, 1989, and resulted in a final report to the Commission entitled:

**Human Resources Management at Unesco
(Personnel Policies Implementation)
June 5, 1989.**

Previous Studies and Documentation Available

The Commission had at its disposal the following additional information:

- Proposals by the Unesco Staff Association (STA) to improve the functioning of the Secretariat, a document submitted to the Director-General on November 16, 1987;
- A synthesis of the replies to the questionnaire issued on November 21, 1988 by the Inspector-General inter alia to all ADGs, Directors, and other heads of organizational units under the heading "1988 Review of the Progress of Management Reforms within the Secretariat";
- A report submitted to the Commission at its request by the Director of Personnel on April 10, 1989.

Moreover, in the course of its work, the Commission discovered the existence of further documentary material of direct relevance to its own investigations, namely:

- a report made available by the Director-General to the Special Committee of the Executive Board entitled "Outlines for a Staff Policy", dated May 13, 1988, and prepared by a small working group of the Secretariat;
- the In-Depth Study on a Comprehensive Personnel Policy conducted by the Special Committee and contained in Document 131 EX/SP/RAP/2 of April 11, 1989;
- the Report of the Special Committee, Part I (Document 131 EX/5, Part I, dated June 19, 1989), including a summary of the discussion of the In-Depth Study mentioned above; and

- the proposed Administrative Plan submitted by the Director-General to the Executive Board as an addendum to the Medium-Term Plan 1990-1995.

In view of this considerable amount of prior information, which offered an interesting analysis of the personnel issues at stake and a wealth of valuable recommendations, the Commission felt that, while its tasks consisted in bringing independent advice to Unesco, it should not ignore these contributions in its attempts to diagnose Unesco's organizational health and effectiveness and to propose possible remedies. It also discovered, with satisfaction, that many of the recommendations coincided with its own views on ways and means of improving the Organization's operational effectiveness.

Consequently, the Commission recommends to the management of Unesco to give these various studies and reports due consideration when deciding on future measures to improve the effectiveness and efficiency of Unesco's work. As to its own mandate, it saw its primary task in focusing on the most essential and urgent, if not critical, problems and their solutions, while abstaining, also for very practical reasons, from a lengthy discussion of the overall problem of human resources management. It will nevertheless be necessary to continue dealing with some of these issues in further studies; there should be no unrealistic expectations regarding the time needed to achieve tangible results.

PANEL OF INTERNATIONAL ADVISERS

- Mr. C.El Wakil, former Chairman of the Unesco Executive Board
- Mr. V. Erofeev, former Assistant Director-General for Administration, Unesco
- Mr. Kurt Furgler, former President, Swiss Confederation
- Mr. E. Hennelly, former Head of US Delegation to Unesco General Conference. Retired Chief Executive Officer, Mobil
- Mr. Hisanori Isomura, Executive Comptroller-General, N H K (Japanese Broadcasting Corporation)
- Ms. M. Puybasset, Conseiller d'Etat, Director, General Secretariat of French Government
- Mr. P. Seddoh, former Chairman of the Unesco Executive Board
- Dr. P.S. Wilenski, Ambassador and Permanent Representative of Australia to the United Nations
- Mr. H.L. Wynter, former Chairman of the Unesco Executive Board
- Mr. E. Youkel, Director, United Nations Development Programme - Geneva

PANEL REPORT:

PANEL OF INTERNATIONAL ADVISERS

Unesco, Paris October 11 - 13, 1989

The Panel understands its mandate to be to advise the Director-General on the report of the Independent Commission chaired by Mr. K. Hammarskjöld, the implementation of its recommendations and on any other directly related matters.

The Panel has had the opportunity for preliminary consideration of the Commission's draft entitled "An Approach to Human Resources Management". It approves the principal direction of the draft report, and members have provided to the Commission detailed oral comments which the Commission has noted for consideration in its final report.

The Panel considers that in order to facilitate implementation, the Commission - with the agreement of the Director-General - should further consult with staff associations and with appropriate sectors of the Secretariat on the basis of the draft. The Panel considers that following these consultations, those recommendations that can be implemented in the short term should proceed as soon as possible.

October 13, 1989

**Summary of Working Papers on the Unesco/IPA
Organizational Development Workshop,
Paris, November 25 and 26, 1989**

Groups were formed to address the following questions relating to effectiveness, efficiency, and credibility of Unesco.

1. What currently tells you, you have a problem with effectiveness and efficiency that results in a problem with credibility, confidence and "authority"?
2. What facilitates this problem of credibility, confidence and "authority"?
3. What would enhance your credibility, confidence and "authority"?
4. What has to happen that will tell you that you have arrived there?

Replies to questions:

What currently tells you, you have a problem with effectiveness and efficiency that results in a problem with "credibility, confidence and "authority"?

Group 1

INDICATORS OF INADEQUATE CREDIBILITY

1. Failure to secure budgetary approval.
2. Reluctance of Funding Agencies and Governments.
3. Adverse reporting - media.
4. Interference patterns by governing bodies to take over functions.
5. Continuous demands for change, reform, and to report action taken.

What would enhance your credibility, competence and
"authority"?

Group 3

The opposite to Groups 1 and 2

WHAT WILL ENHANCE

1. Knowledge as resource.
2. Information on what is happening in the field and
Member States. Need FEEDBACK SYSTEM.
3. Collegial directorate - Doesn't know all and is not
always right - needs feedback and ideas.
4. Communication

internal - modify reality
external - modify perception
5. Shape structure to serve the function. Not vice versa.
6. Best people in the world - use them.
7. Clear breakdown of goals/objectives.

What has to happen that will tell you that you have arrived there?

Group 4

INDICATORS OF ENHANCEMENT

- Increased budget.
- Increase in catalytic role of Unesco.
- Number + size of joint ventures.
- Better image/better effectiveness.
- Universality.

Question: What is stopping change/improvement from taking
place?

Group A.

1. "Natural" Resistance to Change

- Social
- Cultural
- Confidence
- etc.

2. Decision-Making System

Story:

(Director-General of Vatican Came to Visit
"Pope" of Unesco)

Infallible?

+ senior management accept and like this

3. "Territory Complex" - to each his/her own

Group B.

Blocking process of improvement

1. Lack of global vision - piecemeal - disperse resources and energy, cosmetic changes.
2. Core of problem - adapt structure and procedures to terms of reference -----> (purpose)
3. Hiatus between statements of intent and follow-up action

Group C.

1. No clear vision and agreement on direction (too much emphasis on administrative detail by top management rather than strategy formulation).
2. Responsibilities - even when clearly assigned on paper - are diluted or taken over by others.
3. Intrusion of Member States into detailed administration and personnel issues (individual).
4. Protection of turf:
 - normal self-interest;
 - rationalisation, that "my way is best".
5. "Square pegs in round holes" mismatch staff --> task
Review task competence in relation to functions.
6. Sabotage of Director-General's initiatives - linked to forgetting oath of loyalty.

Group D.

1. Dilution of responsibilities:
 - responsibility not clear
 - when clear - change decisions - up to the top
 - role of cabinet/office of Director-General not clear regarding decision-making
 - lack of teamwork and team spirit. "Chacun pour soi"
2. Lack for flexibility in use of Human Resources

Group E.

1. Over-centralized decision-making dilutes responsibility.
2. Too much emphasis on budget and planning and not on accountability.
3. Poor management potential (emphazise programme capability at expense of management of staff).
4. Poor information flow downwards and upwards.
5. Lack of training - management.
Training - improving and exploiting management potential.
6. Inadequacy of administrative instruction.

STATEMENT OF PURPOSE FOR SECRETARIAT OF UNESCO

(1) PURPOSE OF UNESCO

To serve the international community by contributing to a better future for humanity, through education, the sciences, culture, and communications by reflection and action as defined in the constitution.

(2) THE PURPOSE OF THE SECRETARIAT

To manage the resources available to Unesco in order to prepare and implement with maximum effectiveness the programmes approved by the Director-General with a view to fulfilling the mission of Unesco.

COMMENT:

This proposed statement of purpose was not discussed in a plenary session. The facilitators from IPA consider that a clear, agreed statement of purpose is a core requirement in the promotion of effective organizational performance.

VISION STATEMENT OF SECRETARIAT OF UNESCO

A secretariat where there is understanding of and care for fundamental objectives of Unesco and where the secretariat members acquire and display and are recognized for their qualities of competence, teamwork, commitment, enthusiasm, self-confidence, professional pride and are constantly inspired to strive to achieve excellence of performance in their respective spheres of duty, with the conscious aim of improving the effectiveness and image of Unesco.

Action to be taken by top/senior management to concretize/
achieve vision.

(1) VISION

1. Staff have an understanding of fundamental objectives of Unesco.

Director-General sends a Christmas message to all staff to include clear, easily understandable objectives.

Brief training seminars on Unesco - films etc.

2. Staff acquire discipline, competence etc.

Exercise to identify staff members who are mismatched with present work and assist them in relocation (assessment of staff in best use). Those unsuitable to be got rid of.

Develop suitable systems of rewards and sanctions.

3. Intensify/specialise - need based specialised training.
4. Review and revision of recruitment procedures to ensure receipt of proper and suitable candidates.

5. Probationary period treated as extension of recruitment process and eliminate potentially unacceptable staff.
6. Exercise and ensure equitable distribution of work at all levels.
7. Greater recognition of achievements of staff in professional fields.
8. Remove under utilization of staff.

Action to be taken by top/senior management with regard to decision-making/responsibility.

DECISION-MAKING (Self discipline)

- Define delegation of authority at all levels.
- Delegation include the resources to exercise.
- Systematic feedback system (mechanism).
- Utilize meetings of Directorate-General as the collegial decision-making body and for the exchange of information.
- Weekly meetings at division level to be held.
- Delegation helped if more informal contact in general.
- Recognition be given to those who accept responsibility and exercise it.
- No toleration of parallel procedures.

The facilitators from IPA asked the group to make proposals about how these action plans could be advanced.

PROPOSALS

- D/G >> summary and proposed actions
Agreed action and report back
- Implement as much as we can - knowing that we cannot accomplish the impossible - but we must try.
- Decision-making of Directorate-General - test this meaningfully in regard to all of these ideas.
- This group to meet again?
- Identify what is to be monitoring feedback mechanism.
- Set up small working groups within the Directorate-General to prepare discussion paper on delegation/responsibility.
- After, Institute of Public Administration carry out training - meet to evaluate.

AGREED ACTION

It was agreed that a document containing the output from the workshop would be prepared by the facilitators, circulated to participants and then discussed with a view to action planning at the next meeting of the Directorate-General.

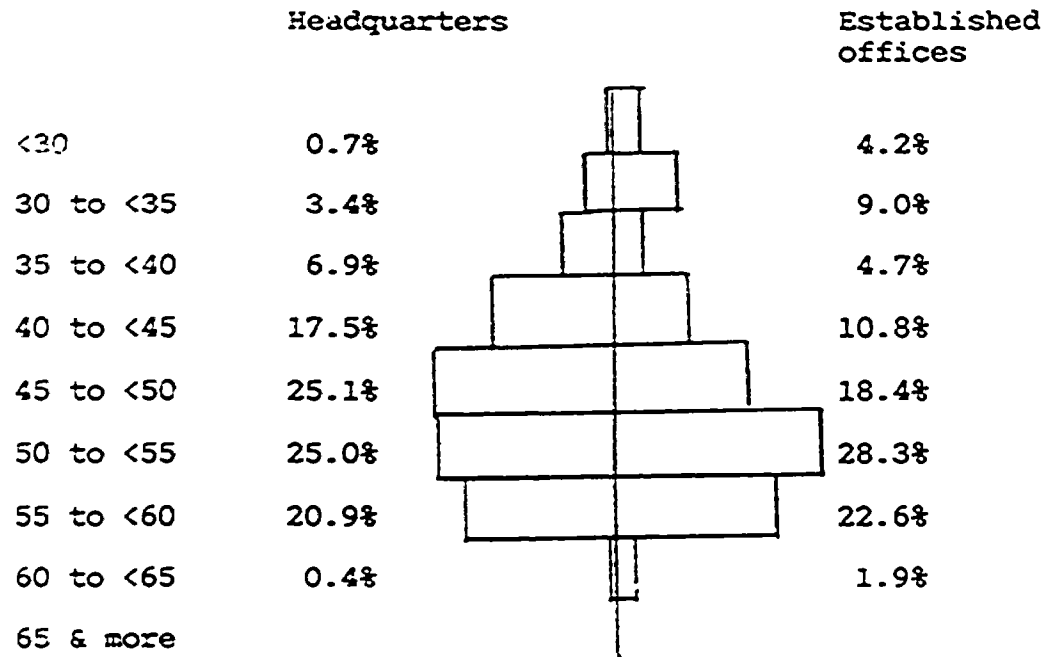
AVERAGE AGE OF UNESCO PERSONNEL AS OF 09.05.1989

	Professional staff			General staff			Overall total
	Male	Female	Total	Male	Female	Total	
Headquarters	49.7	46.1	48.7	44.4	45.8	45.4	46.6
Field offices	49.3	43.4	48.4	44.8	40.8	42.4	44.7
Operational projects	48.7	39.7	47.2	41.3	35.8	39.3	43.1
Total	49.5	45.3	48.5	44.2	44.5	44.4	45.9

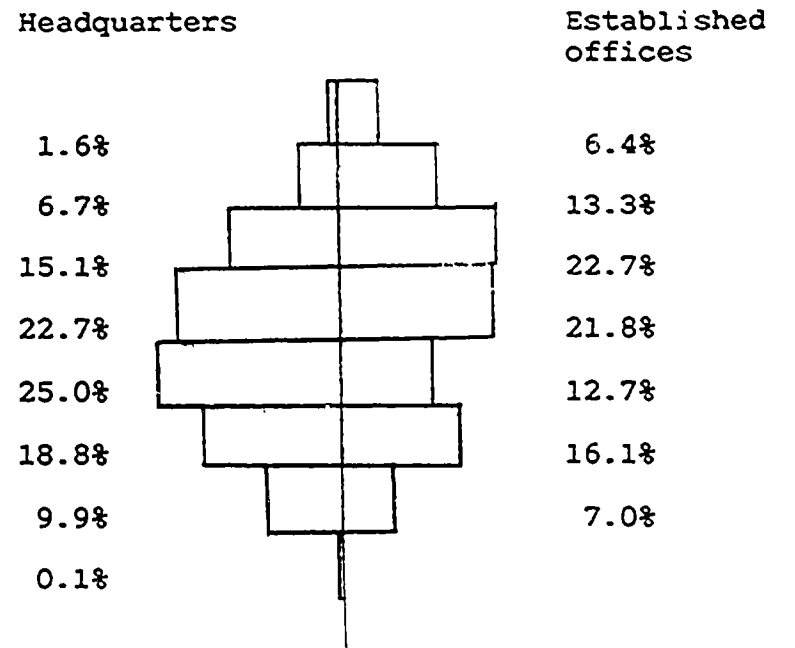
Source: PER, 28.08.1989

AGE PYRAMID AS OF 05.06.1989

Professionals and above



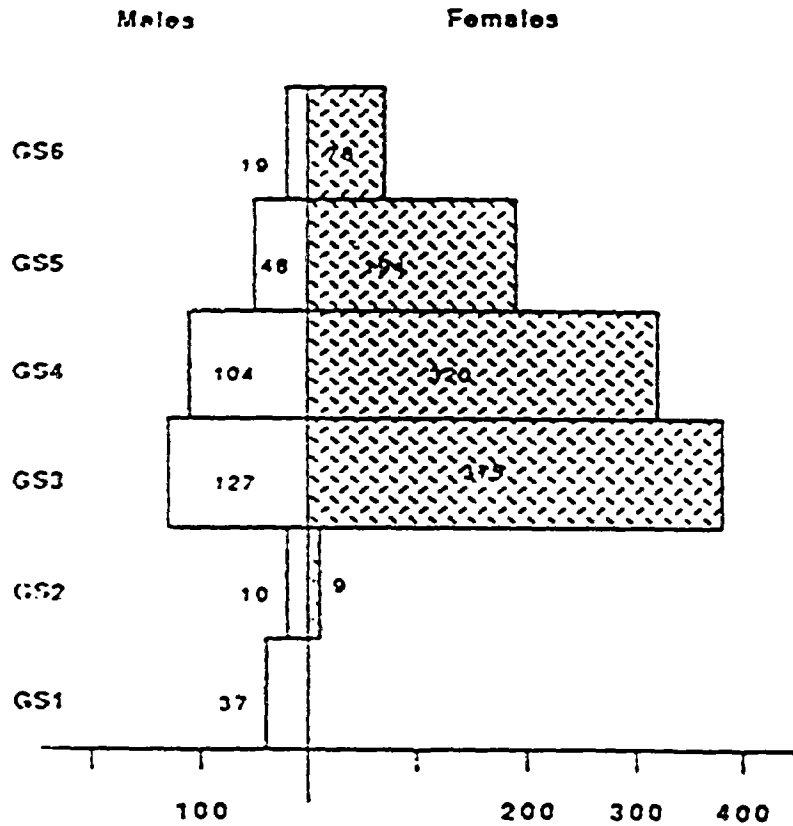
General staff and local



Source: PER, 28.08.1989

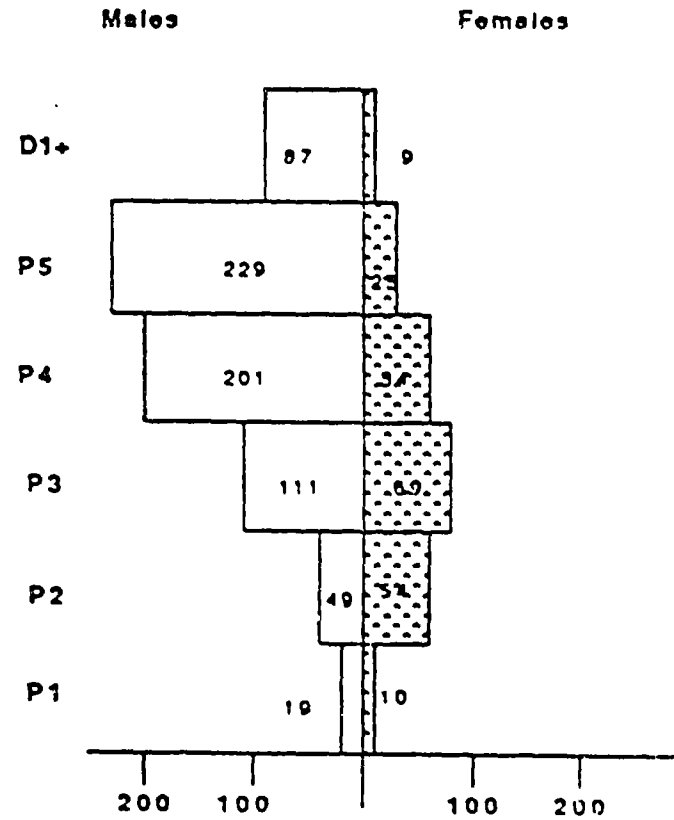
UNESCO STAFF: Grade distribution by type of staff and by sex

A. General Service Staff
Number of staff by grade and sex



NUMBER OF GENERAL SERVICE STAFF
(headquarters only)

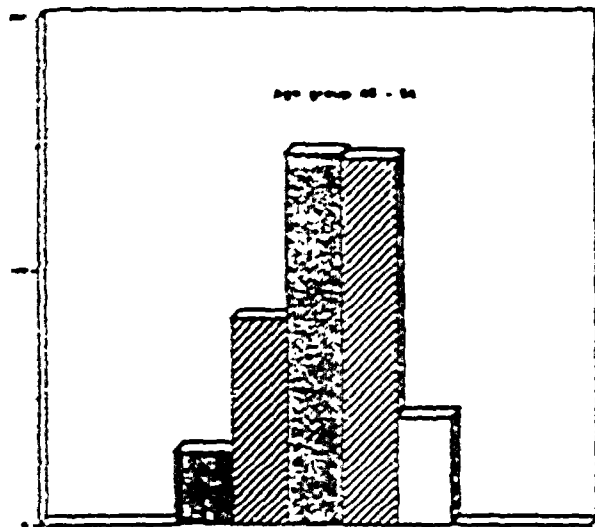
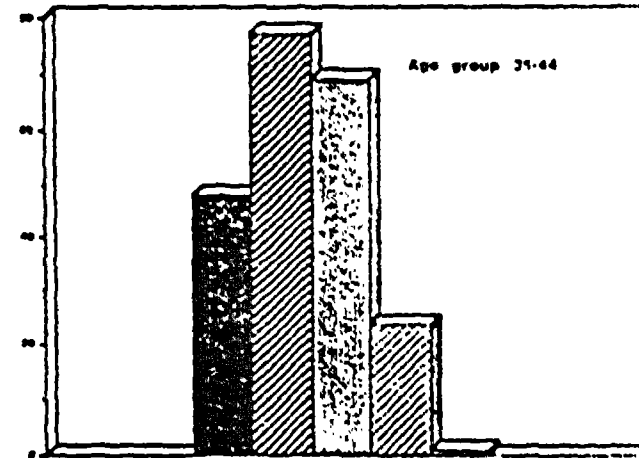
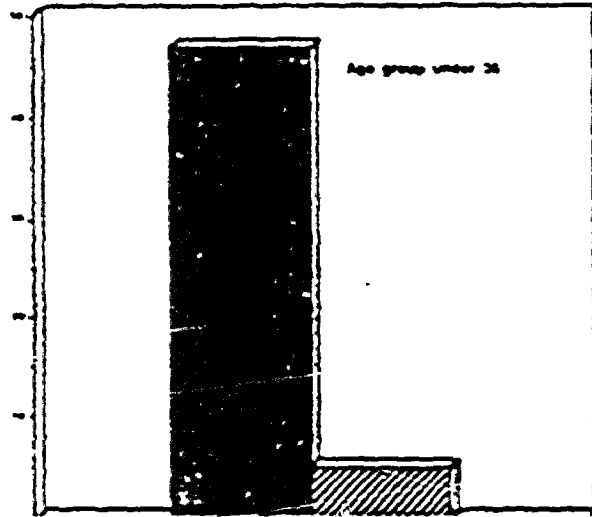
B. Professional Staff
Number of staff by grade and sex



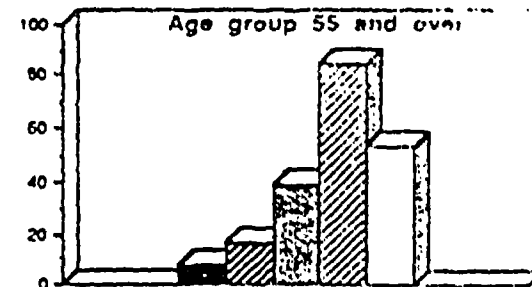
NUMBER OF PROFESSIONAL STAFF
(headquarters and established
offices only)

Source: Unesco, December 1988. Reproduced in the Kahn Report.

UNESCO STAFF: Professional staff by age group
and by grade (headquarters and established offices)



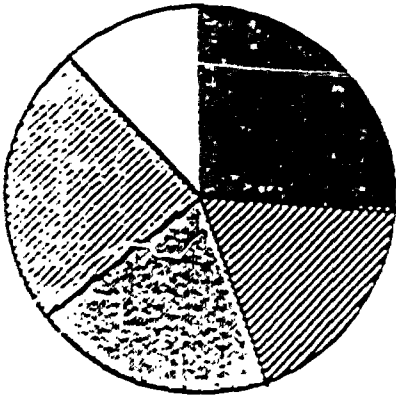
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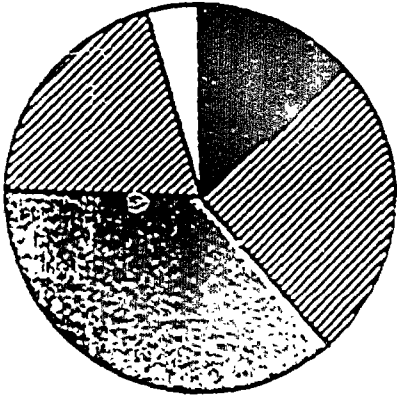
Source: Unesco, December 1988. Reproduced in the Kahn Report.

UNESCO STAFF: Professional staff by years of service and by grade (headquarters and established offices)

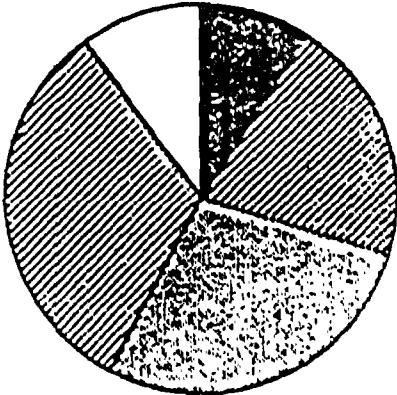
Professional staff: Under 3 years of service



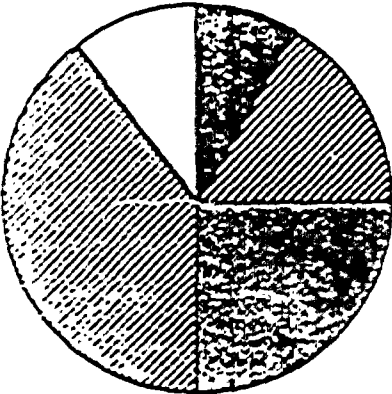
Professional staff: 3 to 9 years of service



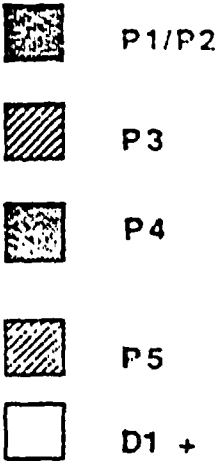
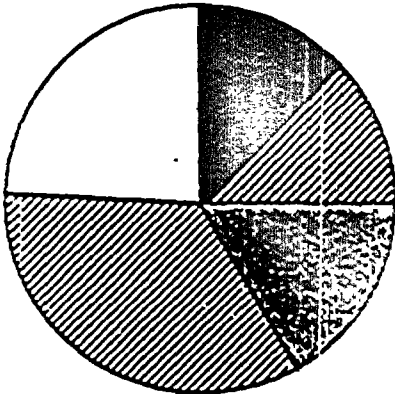
Professional staff: 10 - 14 years of service



Professional staff: 15-19 years of service



Professional staff: 20 years or + of service



Draft Outline of a letter from the DG to the entire Unesco Staff as well as a statement on Unesco Personnel Policies and Practices

Unesco Personnel Policies and Practices

1. It is with considerable pleasure that I transmit to you a Charter of Unesco Personnel Policies and Practices, which will govern personnel policies in our organization, effective immediately.
2. This Charter is based on the work done by the Hammarskjöld Commission, further complemented by the comments and views of the Panel of International Advisers and consultations with staff at large. This is a unique document inasmuch as it is the outcome of a complete and honest collaboration effort between the members of the above-mentioned Commission, and Panel, as well as the Administration and the staff.
3. Functional personnel management, in terms of Unesco's needs, may be defined as an integrated, systematic approach to human resources utilization and development in the interest of economy, efficiency and equity. In order to develop a system that best reflects the interests of both the Organization and individual staff members, certain prerequisites have to be met:

- a. The personnel management function should not only be fair, but also be seen to be fair.

An equitable personnel management system has to be based on a policy which clearly defines the rights and the responsibilities, both of the Organization and of the staff member, and which is founded on a consensus supported by the Director-General and the staff, and which is duly supported by the staff regulations and rules. This Charter offers the necessary guarantee for equity in all personnel decisions;

- b. Within the present structure, and acting through the DDG for Administration, I entrust the Bureau of Personnel with the implementation of this policy. In carrying out its functions, PER is required to undertake the necessary consultations with all organizational units concerned and with staff members, as appropriate.
- c. The fundamental elements of this policy have been defined in this Charter. However, certain issues raised may have to be further defined and promulgated in the form of detailed guidelines and instructions.

I wish to take this opportunity to thank, and pay tribute to, the Chairmen and the Members of the Commission, and the Panel, as well as officials of the Administration, and the Chairmen and members of your staff associations, for their cooperative spirit, dedication and the successful outcome of their work.

STATEMENT OF BASIC UNESCO PERSONNEL POLICIES AND PRACTICES

1. General Policies and Practices

- 1.1 The major objective of the United Nations Educational, Scientific and Cultural Organization may be described as follows:

To serve the international community by contributing to a better future for humanity, through education, sciences, culture and communications by reflection and action as defined in the Constitution.

All actions that fall within the prerogatives of the Director-General of Unesco are governed, therefore, by their relevance to that objective.

The purpose of the Secretariat will be to manage the resources available to Unesco in order to prepare and implement with maximum effectiveness the programmes approved by the Director-General with a view to fulfilling the mission of Unesco.

- 1.2 Unesco regards its own staff as being its greatest asset and therefore Unesco is committed to the development of an international civil service, based primarily on merit and designed to ensure that most effective management of the resources of the organization.
- 1.3 Conditions of service in Unesco are governed by the Constitution of Unesco and by the Staff Rules. In conformity with these Rules, the main principles of service in the Unesco are the following:

- (a) The paramount consideration in the employment of the staff and in the determination of the conditions of service shall be the necessity of securing the highest standards of efficiency, competence, integrity and dedication to the principles of Unesco. Due regard shall be paid to recruiting the staff on as wide a geographical basis as possible.
 - (b) Selection of staff members shall be made without distinction as to race, sex or religion.
 - (c) A keen interest in the work of the United Nations system and a personal commitment to the ideals of the Charter.
 - (d) Staff members will be offered fair and competitive access to all posts in Unesco within the framework of a sound staff development policy.
 - (e) Staff members are subject to the authority of the Director-General and to the assignment to any of the activities or offices of Unesco within the existing Unesco Staff Regulations and Rules of Unesco (Staff Regulation 1.2) in response to the requirements of the Organization.
- 1.4 The staff of Unesco will be appointed, assigned and advanced in their careers in accordance with these principles. This will be done in such a way as to ensure that the staff resources as a whole are so managed as to make their most effective possible contribution to the achievement of the basic objective of the Organization, and at the same time, to foster the career development of individual staff members to the fullest extent consistent with the basic objective. Staff development plans will be

formulated by the Organization as the basis for all actions of personnel management; namely, recruitment, placement, reassignment, promotion, training and separation. These plans will be derived from continuous forecasting of the staff requirements of the Personnel Programme, and will consider the nature of the Programme, the services it provides, and its management needs. The placement and promotion of staff members should be based on a continuous and systematic evaluation of their performance and potential for new or higher responsibilities.

- 1.5 The present staff of Unesco consists of categories established by the United Nations: internationally-recruited professional and higher category officers, a General Service (the majority being locally-recruited with a small minority having international status), as well as Local Staffs recruited from among nationals of the countries concerned to provide support to the Field Offices similar to that provided at headquarters by the General Service.
- 1.6 Consistent with the concept of international career service, all possible opportunity and assistance will be given to members of the General Service, and Local Staffs to advance on merit into the Professional category.
- 1.7 The career service of Unesco covers the full range of staff up to and including the Director (D-2) level. All appointments and promotions up to and including the Principal Officer (D-1) level are decided by the Director-General after receiving the recommendations of the Unesco Appointment and Promotion Panel and the Executive Board.

2. Appointment and Promotion *

2.1 With some exceptions at the lowest grades, all appointments up to and including the D-1 level are made by the Director-General, after considering the recommendations of the appropriate appointment and promotion bodies (Headquarters and Regional/Field Offices). The principal criteria and other requirements for the appointment of Unesco staff are as follows:

2.1.1 The general principles referred to in paragraphs 1.2 and 1.3, namely those placing emphasis on efficiency, competence, integrity, and dedication to UN principles, requiring due regard for geographical distribution, and eschewing distinctions due to race, sex or religion.

2.1.2 Subject to those considerations, outside recruitment is concentrated as far as possible at the junior level. For all appointments, the Appointment and Promotion Board/Panel is presented with a list of all eligible internal candidates (including staff in the local and General Service categories). Consideration should be given to staff in the overall United Nations system who might have the necessary qualifications. The DOP is required to make careful prior review of existing staff in each case.

* These principles which apply to the regular staff under existing Staff Regulations and Rules, will not apply to project staff (specialists), whose conditions of service will be governed by a separate set of guidelines.

- 2.1.3 In instances when outside recruitment is required in the interests of Unesco, the PER fully informs the Board/Panel of its reasons for recommending recruitment of the external candidates, to enable the Board/Panel to make a recommendation to the Director-General on the suitability of the candidates.
- 2.1.4 Also subject to the general principles referred to above, due consideration will be given to officials already serving with the participating organizations of the United Nations, on a reciprocal basis. Such officials holding permanent appointments with an organization in the common system, if selected, are recommended for a secondment to Unesco, normally for an initial period of two years with a possibility for further extension up to a total of four years. Subject to satisfactory performance, a recommendation may be made to the Board/Panel for permanent transfer of the staff member to Unesco. However, in exceptional cases and when in the interest of Unesco, the Board may consider immediate transfer. All inter-agency transfers or secondments are either at the same level and step or maximum at one level higher to that which the incumbent holds in the releasing organization.
- 2.1.5 A clear job description will be established for each post. Notwithstanding the formulation of an overall plan for staff development and assignment, each vacancy at G-4 level and above will be advertised to all eligible staff and all applications will be considered by the DOP before it recommends the candidate for selection.
- 2.1.6 The initial appointment of candidates for managerial assignments as head of an operational unit or a

field/regional office will normally be subject to prior satisfactory service at the level of Deputy.

- 2.2 Access to all international posts in Unesco will be made available to all candidates who have the necessary qualifications. Each candidate selected for appointment to any post will be advised by the Staff Development Division/DOP of the possible range of career development open to him or her, depending primarily on merit. In particular, candidates for appointment in the non-professional categories will be clearly informed of the limitations, as well as the possibilities of advancement into the professional category.
- 2.3 With some exceptions at the lowest grades, all promotions up to and including the D-1 level are decided by the Director-General after considering the recommendations of the appropriate appointment and promotion bodies and subject to the availability of posts. A promotion review is held once a year, in the first quarter, the promotions dating from the first day of January of that year. The principal criteria and other requirements for promotion are as follows:
 - 2.3.1 The general principles, referred to in paragraph 1.3, that also govern appointments.
 - 2.3.2 In making its recommendations for promotions, the Board/Panel is required to carefully review all of the information necessary to determine that all staff members have been considered on the basis of merit.
 - 2.3.3 When assessing the staff member's performance, the following elements will also be considered:

- (a) integrity, ability and potential;
- (b) willingness to accept an increased level of responsibility;
- (c) willingness to rotate and to serve in the Field;
- (d) efforts at self-improvement, including relevant academic and language training;
- (e) previous field experience, as well as demonstrated ability to exercise an increased level of responsibility, when appropriate;
- (f) an intimate knowledge of the functioning of the various components of the United Nations system and an awareness of the broad principles and objectives animating their functions, as well as the capacity of the relevant machinery and procedures.

2.3.4 All recommendations for promotion to the Professional category must be considered by the Board. In reviewing staff members serving in the Local Staffs of regional/field offices, the General Service categories for conversion to the Professional category, the following factors, in addition to merit, are taken into account:

- (i) extensive and relevant professional experience should be given sufficient weight to overcome the lack of formal academic training (in line with the Appointment and Promotion Board guidelines);
- (ii) if a recommendation for promotion from General Service for Field Service category to the Professional category is unsuccessful, at the regular review of the Board, the individual staff member may have the option, in consultation with the supervisor, to have his/

her name presented to the Appointment and Promotion Panel at the recourse review, for consideration for promotion to a higher General Service level.

- 2.3.5 For promotions of staff to P-2, P-3 and P-4 levels, the applicable criteria are: professional experience and/or relevant academic qualifications, and merit.
- 2.3.6 For promotion to supervisory levels at the P-5 and D-1 grades, the Board is also required to give close consideration to the candidate's potential ability in the management and supervisory areas, particularly for staff members who may be expected to be assigned to divisional or higher responsibilities at Headquarters, direct a regional or field office, or to other senior positions in the field.
- 2.3.7 Previous service in the United Nations system is considered towards eligibility for promotion. Service under the Associate Expert Scheme and Special Service Agreements is not considered for the purpose of meeting the "time-in-grade" requirements.
- 2.3.8 The normal periods of service-in-grade for professional staff members to be considered for promotion are as follows:

P-1 to P-2	2 years
P-2 to P-3	3 years
P-3 to P-4	3 years
P-4 to P-5	5 years
P-5 to D-1	5 years

2.3.9 Special Post Allowances, as provided under the provisions of Staff Regulation and Rule 103.17, and subject to recommendation by the prescribed advisory body, are incentives for temporarily undertaking a higher level of responsibility than the staff member's substantive grade and are not considered a criterion when making recommendations for promotion.

2.3.10 The Board does not establish any promotion register.

2.3.11 In reviewing cases for accelerated promotion, the Board is obliged to require detailed and documented recommendation from the immediate supervisor, fully endorsed by the Bureau Director or the Chief of the organizational unit, as applicable, indicating:

(i) specific evidence of exceptional achievement in the candidate's work and consistently high levels of performance.

(ii) the candidate's potential as a career staff member, as well as undisputed ability to undertake greater responsibilities.

2.3.12 When the normal in-grade requirement as set forth in paragraph 2.3.8 is waived, the Board is required to ensure that its recommendation of staff members for such advancement does not violate the principles of equity in the promotion of staff. In such cases, the staff members concerned must, as a minimum, have served in-grade as follows:

1 year if in levels P-1 and P-2

2 years if in levels P-3 and P-4

3 years if in level P-5

- 2.3.13 The Board is obliged to consider all staff who have accrued equal or greater in-grade seniority relative to the candidate under consideration.
- 2.4 All staff members who have not been promoted shall be informed; upon request, of the reason.
- 2.5 Staff members may have recourse against promotion decisions to the appropriate Board or Panel. The Board or Panel requires that recourse applications are fully documented and clearly reflect the availability of new information supporting the case which the staff member concerned believes was not available to - or considered by - the Board/Panel at the time of its review.
- 2.6 To facilitate recourse, the staff member will be given access to all the written information submitted to - and considered by - the Board/Panel at the time of its review.
- 2.7 When a recourse application fails, the staff member shall be informed accordingly.

3. Contractual Status

- 3.1 Initial appointment to Unesco is for a fixed term of one to two years. The fixed-term appointment does not carry any expectancy of renewal or of conversion to any other type of appointment. A new fixed-term appointment of one of two years duration can be agreed upon by mutual consent..

3.2 Indeterminate appointment may be granted to a staff member after four years of fixed-term and a further period of probation, provided he/she has fully demonstrated his/her suitability and has shown that he/she meets the highest standards of efficiency, competence and integrity established in this Statement. The policy shall be to seek to achieve the greatest possible consistency in the application of the required periods of fixed-term and probationary appointments.

3.3 In accordance with present policy, the DOP shall submit to the Appointment and Promotion Board/Panel recommendations for probationary appointments of staff members who will have served on fixed-term status. In the event that a staff member's appointment is converted from fixed-term to probationary status, the staff member shall have serve six months under probationary appointment. At the end of the probationary period, the Board or Panel will convert the appointment to permanent appointment provided the recommendations of both the DOP and the relevant Division or Bureau are positive. Should this not be the case, the Board/Panel may recommend an extension of the probationary period up to a maximum of one year, or separation from service at the end of the probationary period.

4. Separation and Termination

4.1 In the event of termination under Staff Regulations 9.1, procedures are to be followed as set forth in the Staff Regulations and Rules and in the relevant administrative circulars. The staff member shall be

advised in writing by Unesco of due process, in particular of the statutory right to appeal a decision on termination, in the last analysis to the Joint Appeals Board.

5. Rotation, Reassignments and Career Development

- 5.1 Within the criteria and conditions stipulated in subparagraph 1.3 above, entry into the professional and higher levels of Unesco means entry into a commitment to serve in any post anywhere in the world where it is considered that the staff member can make his or her greatest contribution to the ultimate objectives of Unesco.
- 5.2 While reassignments will conform to the requirements of the organization, the career aspirations of staff members will also be taken into account. Staff members must anticipate periodic transfers between duty stations, including Headquarters. Furthermore, the distribution of assignments will include an equitable balance between duty stations with different living conditions. There are, however, a limited number of posts encumbered by specialists who will not normally be subject to transfer. The "guidelines for reassignments" shall clearly indicate such posts.
- 5.3 The staff member will be given full and timely opportunities to express his or her own views on his or her career development and the DOP will make use of those views as an essential ingredient in planning reassignments.

- 5.4 Assignments in duty stations will normally be four years. At duty stations where exceptional conditions of hardship prevail, the normal assignments will not exceed two years. Staff members will be informed well in advance of posting of the nature and planned duration of each assignment. Individual career development plans and reassignments are basically designed in accordance with individual ability. In the implementatino of these plans, the overall staff requirements of the Organization, as well as the staff member's preferences and family situation will be considered.
- 5.5 The international character of Unesco should be respected and reassignments will therefore be decided on the basis of avoiding concentrations of staff, at Headquarters and in the Field, of any one nationality or region.

6. Supervision and Performance Evaluation

- 6.1 The performance, career objectives and training needs of each staff member shall receive continuing and concerned attention from supervisors. It is of special importance that all staff members be given opportunities by supervisors to demonstrate their capacity to undertake more demanding tasks and higher responsibilities. Performance review reporting provides a regular formal and essential means of focusing attention on individual career aspirations. Supervisory assistance must be viewed in a larger context and should represent a continuous process contributing to the staff member's growth as well as to his/her daily performance.

6.2 Unesco will ensure that the highest standards of supervision will be maintained at all levels of the Organization. To this end, training facilities will be made available when required to sharpen supervisory skills, and the performance of staff in supervisory capacities will be given special attention.

7. Equality of Opportunities for Women

7.1 Unesco recognizes that further efforts must be made to correct the present imbalance in staff distribution among men and women and to give greater practical effect to the principle of equality of opportunities for women. In addition, it undertakes to give priority, consistent with merit, to the selection of women to fill posts at the decision and policy-making levels.

8. Training

8.1 As an integral part of the planned development and development of its staff members in all its offices, Unesco provides them with diversified training in keeping with the needs and functions of Unesco. The objectives of training are to improve the knowledge and skills of staff for more effective organizational and individual performance and to provide staff members, who have the potential for positions of increased responsibility, with relevant additional knowledge and skills.

8.2 Training is planned and arranged both by the Administration and the staff members themselves. It can be training:

(a) on the job - responsibility for which mainly rests with the supervisory staff with such advice from the DOP as may be necessary;

(b) through job rotation in different activities of the Organization; and

(c) through organized courses, seminars or other training programmes within Unesco or outside, as arranged or agreed to by the DOP.

8.3 The training of field staff will also be conducted locally from funds allotted for this purpose. All Unesco Heads of Offices will submit an annual training programme and appoint a senior member of their office as training coordinator to ensure that appropriate training activities, including within-office seminars, are carried out as required.

8.4 When participation in courses, seminars or other training programmes is arranged by Unesco, the cost is borne by Unesco. Where a staff member wishes to identify his or her own training needs, relate them to the Organization's goals, and apply for training assistance, Unesco may provide assistance under the Unesco Educational Assistance Programme. In order for the course to be approved, a number of requirements, which will be outlined in administrative instructions, will have to be met. The DOP is responsible for the interpretation of the provisions and for the establishment of administrative procedures for implementing this Programme.

- 8.5 The training of General Service staff in Paris will include a general Unesco orientation. In addition, with the collaboration of the Training Division, courses in secretarial and clerical skills will be provided. At the more senior levels (G-5/G-6), those staff members who are selected to take positions as administrative and programme assistants, will attend special programme/administrative policies and operations courses.
- 8.6 In order to ensure equity of training opportunities at various levels, staff members will be informed of courses in good time to allow applications from individuals to be given due consideration.

9. Movement of Staff between Organizations

- 9.1 Unesco recognizes the value of cross-fertilization of ideas, talent and experience between Unesco and other organizations. It is accordingly the policy of Unesco to support the movement of staff members through secondment, transfer, and exchange between Unesco and the other exchange of personnel between Unesco and other organizations of the UN system shall be on a reciprocal basis and Unesco will ensure that genuine reciprocity is achieved.

10. Retirement Policy

- 10.1 Staff Regulation 9.5 specifies that staff members shall not be retained in active service beyond the age of 60 years. The Director-General may, in the interest of the Organization, extend this age limit in exceptional cases.

11. Grievances and Appeals

11.1 There are many mechanisms and channels for assisting staff in the solution of various work-related personal problems, in providing recourse procedures where staff members feel they have a grievance, and in providing due process in serious cases involving disciplinary matters of termination. The special case of recourse procedure in connection with promotions has been described in paragraph 2.5 - 2.7.

11.2 Access to Personal Files

A number of different types of personal files are kept by the DOP on each staff member. The official Status File is accessible to a restricted number of designated members of the Administration and may be seen by the staff member, upon written request to the DOP. There is a Privileged Confidential File which is presently accessible to a limited number of officials designated by the Director-General. Medical Files are kept by the Medical Service of the United Nations and access to them is under the complete control of the Medical Director.

11.3 Ombudsman - Mediator

An Ombudsman-Mediator is appointed at Headquarters to deal with a variety of administrative problems as they affect individual staff members, but basically with those problems involving particular interpretations and applications of rules and procedures. Individual staff members (in Headquarters or in the Field) may refer their problems in confidence to the Ombudsman-Mediator, who have privileged access to administrative files and channels.

11.4 Joint Disciplinary Committee

Disciplinary measures involving written censure, suspension without pay, demotion, or dismissal for misconduct may be taken by the Director-General. In disciplinary cases arising at Headquarters and in the Field, the Director-General will seek the advice of the respective Joint Disciplinary Committee, in accordance with the provisions of Chapter X of the Staff Regulations and Staff Rules.

11.5 The Appeals Machinery

The Appeals Machinery in Unesco will be that as provided in Staff Regulation XI.

11.6 Before making a formal appeal according to the Staff Regulations, a staff member in Unesco has the option to refer his/her case to the Ombudsman-Mediator (see 11.3). However, if a staff member wishes to make a formal appeal against an administrative decision which, in his/her opinion, constitutes a non-observance of his/her terms of appointment, including all pertinent regulations and rules, he/she must, as a first step, address a letter to the Director-General, within one month from the time he/she receives formal notification of the decision in writing (and allowing reasonable time for the Ombudsman-Mediator review, if this has been asked for by the staff member), requesting that the administrative decision be reviewed. If the staff member is not satisfied with the answer he/she receives from the Director-General, or if he/she does not receive a reply within one month of the date of the letter he/she sent to the Director-General, he/she submits his/her appeal in writing to the Secretary of the

Joint Appeals Board within the following month. In the case of Unesco staff members serving in the Field, the letter addressed to the Director-General and the appeal addressed to the Secretary of the Joint Appeals Board may be delivered, in sealed envelopes, to the Unesco Field Office for transmission by pouch to Headquarters. In cases before the Joint Appeals Board the staff member may appear in person to argue his/her case or he/she may appoint another staff member to serve on his/her behalf. Furthermore, a list of names of staff members on the Panel of Counsel who are available to assist an Appellant will be provided to the latter upon request.

- 11.7 After consideration of the case, the Joint Appeals Board submits its report to the Director-General. That report, which is adopted by a majority vote, contains a summary of the matter and the Board's recommendations. The Director-General then takes a decision on the appeal, which is notified to the staff member, accompanied by a copy of the Board's recommendations.
- 11.8 The staff member may apply to the Administrative Tribunal if he/she is not satisfied with the decision taken by the Director-General in the light of the Board's report, and the Administrative Tribunal will receive the application, unless the Joint Appeals Board has unanimously declared the appeal frivolous.
- 11.9 The Joint Appeals Board is also competent to hear appeals against disciplinary actions.

11.10 United Nations Joint Staff Pension Board

The Joint Staff Pension Board (JSPB) is a completely autonomous body which regulates the Pension Fund of the United Nations common system. It represents the United Nations and the member organizations of the common system and includes representatives of governing bodies, of administrations, and of participants in the Pension Fund. Of the 21 members of the Board, two are nominated by the General Assembly, two are nominated by the Secretary-General, and two are elected (together with two alternates) by the Pension Fund participants within the United Nations and its organs, which include, for this purpose, Unesco. The remaining 13 members of the Board represent respectively the governing bodies, the administrations, and the participants of other agencies.

11.11 Compensation Claims

In the event of illness, injury or death attributable to the performance of official duties, staff members shall be compensated by Unesco, in accordance with Staff Rule 106.5.

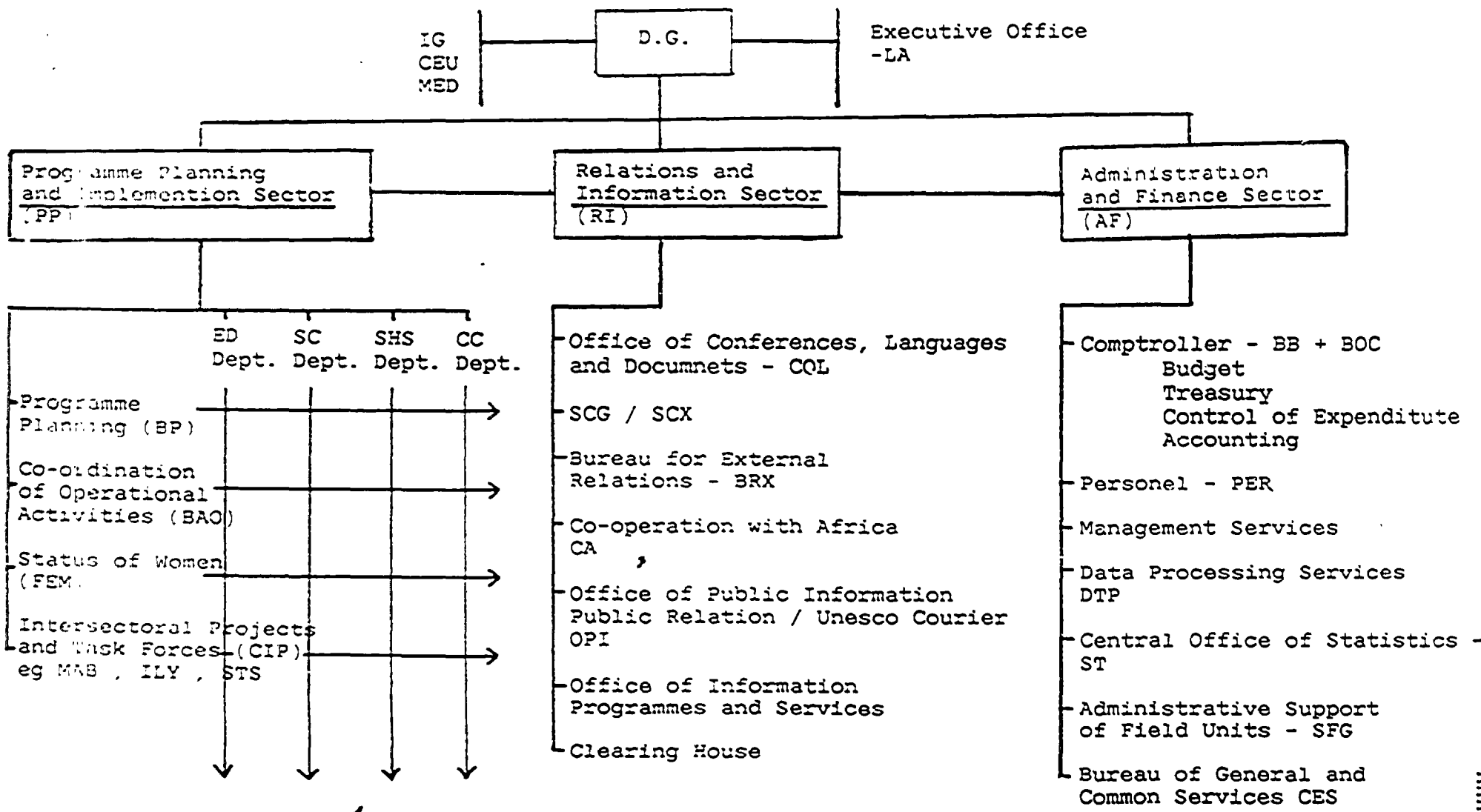
12. Unesco Staff Relations

The provisions of Chapter VIII of Staff Regulations and Staff Rules apply in order to:

- promote and safeguard the rights, interests and welfare of Unesco staff;

- provide a channel of communication between the Administration and the staff for discussion and negotiation on matters of mutual concern which affect conditions of service;

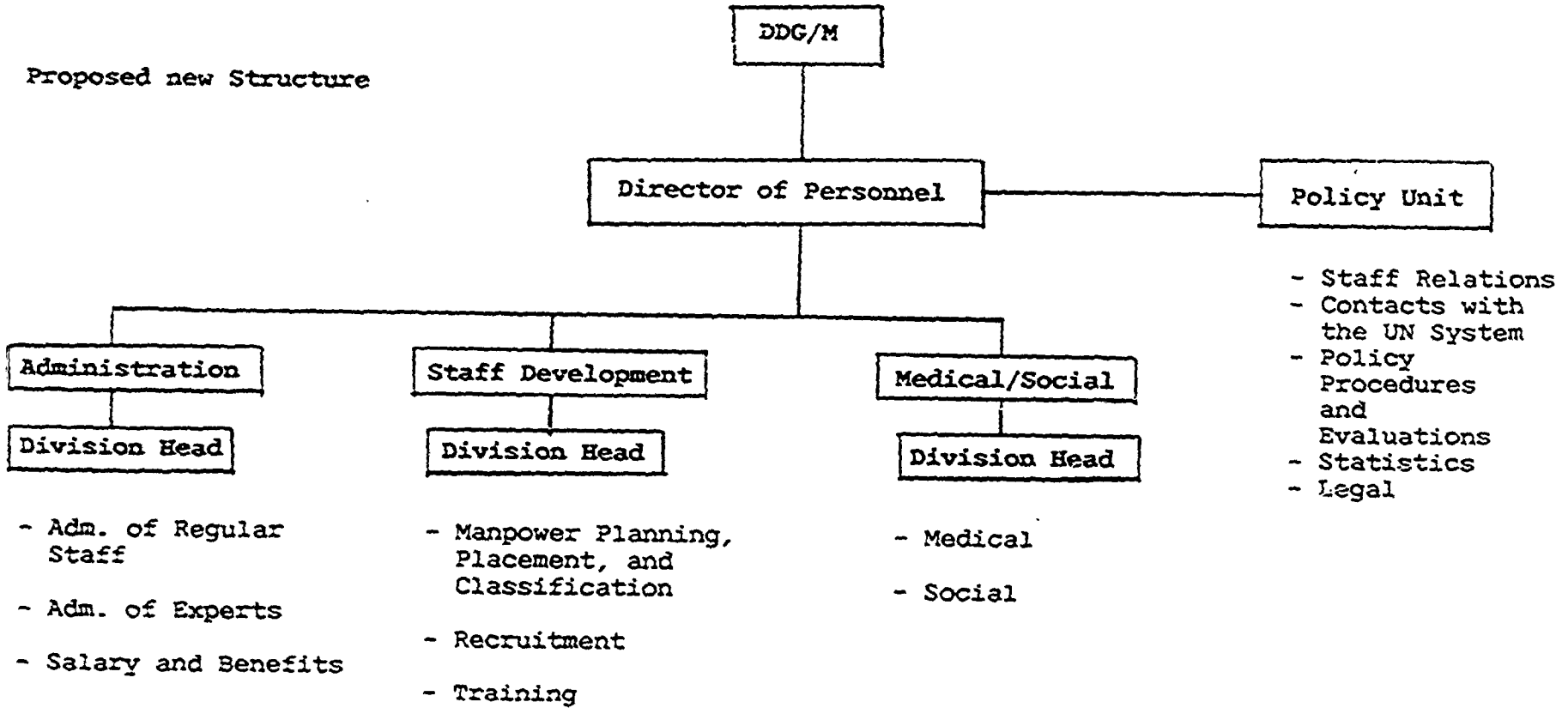
- promote better understanding between the Administration and the staff of Unesco.



Proposed New Organization Chart of the Secretariate

BUREAU OF PERSONNEL (PER)

Proposed new Structure



Report by the

PANEL OF INTERNATIONAL ADVISERS

Paris, 2 February 1990

Introduction

1. The Advisory Panel of international advisers met in Paris from 29 January to 2 February 1990 to examine the final report of the Independent Commission (appointed by the Director-General to advise him on ways and means of improving staff efficiency and management in the Unesco Secretariat (Hammarskjöld Commission). The list of participants is attached hereto.

2. The panel was informed of the initiatives taken to date and of the conclusions reached at the senior management workshop held on 25 and 26 November 1989 and the think-tank seminar of 6 and 7 January 1990 in the context of the report by the Hammarskjöld Commission.

General

3. The panel in its preliminary report to you noted that it approved the principal direction of the Commission's draft report. It is now pleased to state that with the provisos below it endorses the recommendations of the final report and recommends them to you for action.

4. The panel welcomes the Director-General's statement of 11 January 1990 and wishes to underline the need for early announcement of the adoption of reforms and for an urgent and concerted drive towards their visible implementation. Secretariat reform and reorganisation will be judged not by the quality of the Commission's report but by the quality and pace of implementation, a subject on which we make further comments below.

5. Unesco in a time of rapid and exciting change has recognized the need to modernize its programmes and objectives to meet new challenges. Similarly a management culture and systems, rooted in past tradition and changed only slowly by ad hoc accretion over 45 years, now requires bold and well-directed reform, as well as staff of the highest quality both at headquarters and in the

field so that Unesco can deliver the results that the world expects of it. We concur in the Commission's conclusion "that there is a grave danger that the contributions which Unesco could make in our rapidly developing and changing world will be lost, unless critical reforms to the Secretariat are instituted as a matter of urgency."

6. The panel also wishes to underline the constitutional responsibility and leadership role of the Director-General in management matters. While we recognize the need both for appropriate consultation and for the provision of information to the Executive Board, and for the delegation of authority throughout the Organization, we should like to emphasize that the responsibility for the introduction of Secretariat reform lies with the Director-General.

Management Style and Effectiveness (part III)

7. The panel fully endorses the management needs set out in Part. III of the report with its emphasis on decentralization of decision-making throughout the Organization and accountability for performance. In this regard, it considers the further development of a budgetary expenditure system which delegates to managers authority over the resources allocated to their programmes as a prime requisite. Such a system will also require a clear statement of the extent of delegation to each manager together with the setting of clear objectives for which each manager will be held accountable. It will further require an appropriate feedback, communication and evaluation system.

8. The panel notes the concern expressed about rising administrative costs and considers that as a first step in dealing with this problem there is a need to more clearly define what are programme costs from what are administrative costs, with the objective of more strictly limiting the proportion of expenditure devoted to administration.

9. The panel also notes the heavy demands made on the Unesco Secretariat - in comparison with other UN agencies - in preparing and servicing meetings of the governing bodies, and meeting the requests of individual delegations in Paris. In this respect the panel welcomes Resolution 47.2 of the twenty fifth session of the General Conference on the streamlining of working methods of the governing bodies, and recommends that the Director-General draw the attention of Member States to this resolution, and to request them to reduce the burden of delegations' requests which diverts staff from programme delivery.

Organisational Structure and Systems (part IV)

10. The panel notes with satisfaction the Director-General's decision to readjust "the organizational structure in accordance with the functions and responsibilities decided by the General Conference in the Medium-Term Plan, particularly those which organically belong together, in order to ensure interdisciplinarity and effectiveness in actions in the field".

11. It endorses the view of the Commission that reorganization in itself is no solution but the panel regards it as one of the necessary first steps towards reform. It notes that the important process of consultation is already well advanced and recommends that the Director-General should make an early announcement of the new structure and moreover move quickly to its implementation. The Commission's report provides useful material to the Director-General in reaching his decision but the panel does not regard itself sufficiently informed to reach a considered view on structure. Yet the panel feels bound to state its concurrence with the Director-General's conviction that Unesco's programme mission should be focussed on the original purposes set out in the Unesco constitution.

12. In relation to decentralization to the field, the panel recommends, in addition to the principles enunciated by the

Commission, that transfer of personnel should flow from transfer of resources and responsibility, and that as much attention should be given to the high quality of those transferred, as to the quantity. There should be mobility and rotation among staff in Headquarters and in the field. The operation of field units should be co-ordinated with those of other UN agencies, such as UNDP. While decentralization should proceed on a case by case basis with a clear definition of functions and objectives, it should be a purposeful programme with statistical monitoring on a six monthly basis of the progress made.

Human Resource Management and Personnel Policies (part V)

13. The panel has carefully reviewed the Commissions's recommendations on personnel matters and considers that the development and expansion of the preliminary draft have resulted in a report on these matters, the implementation of which will have a positive impact on the quality of Unesco programmes. It welcomes your decision to give top priority to "the announcement of a clear and transparent personnel policy and practice in parallel with a restructuring of the Bureau of Personnel and improving its performance with experienced professionals."

14. In particular the panel endorses for your urgent approval the basic system of "programme" (i.e. career) appointments and "project" (i.e. ad hoc) appointments as set out in paras. (a) - (e) Part D5 with the proviso that the panel considers that flexibility should be available to make initial programme appointments, depending on circumstances, for three rather than two years. The proportion of "project and programme" positions will of course require careful attention in the programme planning and budget process.

15. This system of tenure should be accompanied by a policy of active and open recruitment. Where recruitment from outside the Organization to vacant jobs is envisaged, the basic process

should routinely include advertisement (in professional journals as appropriate), active search for candidates from under-represented and non-represented countries and women candidates as well as the receipt of candidatures, as appropriate, from Member States and National Commissions. The panel further endorses with the proviso set out below the principles on recruitment elaborated in Part D.8 of the report and in particular the principle that all appointments should be primarily on merit. The panel agrees with the view recently expressed by the Executive Board on the need for an influx of young people into the career stream at the base grade level, though the panel believes that some provision should be made for external recruitment of experienced professionals above the base grade when programme requirements demand it; recruitment into "project" jobs should be pursued at all grades.

16. Another proviso is that in recruitment to the career stream there should be some flexibility in language requirements so that outstanding candidates from underrepresented countries may be recruited subject to their successful completion of a programme of language training.

17. The panel endorses the proposed promotion system on the understanding that it is based upon open competition among qualified staff for job vacancies; thus promotion will normally entail a change in job. Promotion through the process of reclassification should become unusual and personal promotion should very rarely occur and only in exceptional cases. Outstanding staff whom the Organization wishes to maintain in their current jobs could, in a very limited number of cases, be rewarded by increments above the scale.

18. The panel considers that a system of promotion to vacant jobs carries with it the absolute requirement that all vacancies be publicly notified, that there be adequate opportunity for all staff to apply and that selection be competitive on the basis of job-related criteria.

19. The panel considers that the proposals on women should be strengthened by the setting of targets for increased percentages of women at different levels, and active measures to achieve those targets such as training in "equality of opportunity" for selection committees and senior managers, staff development and active search - though final selection should be non-discriminatory on the basis of merit.

20. The panel considers that the key features of these recommendations are in personnel measures, and the change from a "post" to a "job" system is essentially a matter of resources control, which can be delayed till the new personnel system is in place so as to minimise confusion.

21. The panel further specifically endorses the importance of an effective performance evaluation system. It also recommends that advantage should be taken in the reorganisation of structure to move staff from positions where their skills are not being fully utilised to appropriate jobs.

Implementation

22. We began this report with a reference to the importance of urgent and visible implementation. We welcome your announcement of an internal executive group working directly under the Director-General's authority. The panel considers it essential that this group have the support of three or four competent staff transferred on a full-time basis to drive the process of implementation, as well as such other outside assistance as may be needed.

23. To facilitate implementation of the human resources measures the panel recommends that, because of the impending retirement of the current Director, the Director-General should immediately advertise widely, and fill with a qualified professional, the position of Director-designate of Personnel at an appropriate

senior level. The person chosen should, once appointed, take over the continuing implementation process of the personnel recommendations until she or he takes up appointment as Director in due course.

24. Implementation should be pursued on the basis of a publicly announced timetable for each of the major areas of reform. It should then be carefully scrutinized by the executive group with the regular publication of progress reports. The entire process should be subject to objective monitoring to ensure its public credibility.

25. Reform with reorganization of structure involves changes in power or authority base, and will be successful if courageously determined, and expeditiously implemented with the full support of the staff. The panel recommends to the Director-General that he give full weight to this consideration through improved channels of communication, visibility and consultation with the staff. For in the final analysis it is a talented and motivated staff that will determine the quality of reform, and hence the quality of improvement in morale and delivery of programmes consistent with the dynamic vision of Unesco.

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Mr E. Hennelly, Head of US Delegation to the 23rd Session of
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Chief Executive Officer, Citroil Enterprises
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Mr P. Seddoh, Chairman of the Unesco Executive Board
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The Hon. H.L. Wynter, Chairman of the Unesco Executive Board
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Mr E. Youkel, Director, United Nations Development
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