



## General Conference

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# 36 C

United Nations  
Educational, Scientific and  
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Organisation  
des Nations Unies  
pour l'éducation,  
la science et la culture

Organización  
de las Naciones Unidas  
para la Educación,  
la Ciencia y la Cultura

Организация  
Объединенных Наций по  
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منظمة الأمم المتحدة  
للتربية والعلم والثقافة

联合国教育、  
科学及文化组织

• Item 6.2 of the provisional agenda

36 C/28  
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## INDEPENDENT EXTERNAL EVALUATION OF UNESCO

### OUTLINE

**Source:** 35 C/Resolution 102, 185 EX/Decision 18, 186 EX/Decision 17.

**Background:** In 35 C/Resolution 102, the General Conference decided that an external and independent evaluation of UNESCO of a comprehensive, strategic and forward-looking character should take place, and that the evaluation report should be included in the agenda of the 185th session of the Executive Board and the agenda of the 36th session of the General Conference.

**Purpose:** To submit to the General Conference all relevant information concerning the final report of the Independent External Evaluation (IEE) of UNESCO and progress achieved in its follow-up.

**Decision required:** Paragraph 26.

## I. BACKGROUND

1. At its 35th session the General Conference decided on an external and independent evaluation of UNESCO of a comprehensive, strategic and forward-looking character (35 C/Resolution 102). In the same decision, the General Conference requested that an item on the evaluation report be included in the agenda of the 36th session of the General Conference.

## II. INDEPENDENT EXTERNAL EVALUATION OF UNESCO AND ITS EARLY FOLLOW-UP

2. In November 2009, UNESCO launched an open international call for proposals by placing the procurement notice on the United Nations Global Marketplace. In December 2009, UNESCO's Contracts Committee approved the selection after ensuring the process was in full accordance with UNESCO's procurement rules and regulations. The contract was awarded to the evaluation team consisting of experts from Argentina, Canada, China, Egypt, India, Italy, Mauritania, Norway, Sweden and the United Kingdom. The IEE evaluation team was led by Mr Elliot Stern, Professor of Evaluation Research at Lancaster University (United Kingdom) and editor of the journal *Evaluation: The International Journal of Theory Research and Practice*.

3. The evaluation team met more than 400 individuals including UNESCO senior management and staff, UNESCO Permanent Delegations and National Commissions, United Nations agencies and partners in the field. Data was collected through visits to 13 UNESCO field and liaison offices, six category 1 institutes and centres, and attendance at all five regional 36 C/5 consultations.

4. The final report of the Independent External Evaluation of UNESCO (IEE) was presented to the Executive Board at its 185th session (document 185 EX/18). The long version of the final report can be found at: <http://unesdoc.unesco.org/images/0018/001895/189534E.pdf>. The report of the IEE identified five major areas of recommendation:

- Strategic Direction One: Increasing UNESCO's focus;
- Strategic Direction Two: Positioning UNESCO closer to the field;
- Strategic Direction Three: Strengthening participation in the United Nations;
- Strategic Direction Four: Strengthening governance;
- Strategic Direction Five: Developing a partnership strategy.

5. Underlining the common responsibility of the General Conference, the Executive Board and the Secretariat in the follow-up to the IEE, according to the prerogatives of each body, the Executive Board decided (185 EX/Decision 18) to establish an Ad Hoc Working Group, open to all Permanent Delegations, to examine the report of the IEE and to develop proposals concerning its recommendations for submission to the 186th session of the Executive Board. In the same decision, the Executive Board also invited the Director-General to report at the 186th session on the follow-up by the Secretariat with respect to the operational aspects of the IEE report that fall within her purview.

6. The Ad Hoc Working Group met several times between December 2010 and March 2011. The meetings of the Ad Hoc Working Group were attended by several key senior officials of the Secretariat, including the Director-General and the Deputy Director-General.

7. A comprehensive report on the follow-up to the IEE was submitted to the 186th session of the Executive Board. The item (186 EX/17) consisted of three parts:

- Part I: Report by the Executive Board's Ad Hoc Working Group on the Independent External Evaluation Report;
- Part II: Report by the Director-General on the Follow-Up with Respect to Operational Aspects of the IEE Report;
- Part III: United Nations General Assembly Proposal to Align Planning Cycles with the Quadrennial Comprehensive Policy Review of Operational Activities for Development of the United Nations System (QCPR)

8. The Executive Board endorsed the recommendations of the Ad Hoc Working Group and the Director-General's planned actions (186 EX/Decision 17 (I and II)) and requested the Director-General to report on progress in the implementation of the recommendations of the Ad Hoc Working Group and her Action Plan. While specific recommendations stemming from this decision are addressed to the General Conference separately (see also paras. 22-24 below), the totality of this significant decision is annexed hereto for ease of reference.

9. This document incorporates document 186 EX/17 Parts I and II and document 187 EX/17 Part I containing the reports to the Executive Board on the follow-up of the IEE. Its purpose is threefold: (i) to take stock of actions initiated by the Director-General as part of the overall reform of UNESCO that are relevant to the IEE recommendations; (ii) to present the Director-General's response to the IEE recommendations, i.e. her planned actions to be implemented in sync with the recommendations of the Ad Hoc Working Group of the Executive Board; and (iii) to report on progress in the implementation of the recommendations of the Ad Hoc Working Group and the Director-General's Action Plan since the 186th session of the Executive Board.

### **III. DIRECTOR-GENERAL'S INITIATIVES TO REFORM UNESCO**

10. On taking up her position, the Director-General was clear in her intention to reform the Organization in order to make it more relevant to the needs and priorities of Members States and to enhance impact. This vision entailed, *inter alia*, streamlining and making organizational structures more responsive and less costly and bureaucratic and doing more for less, ensuring full transparency, introducing new working methods, and bringing UNESCO closer to the field. To achieve these aims, the Director-General's reform measures involved a substantial redesign of organizational structures, streamlined business processes and greater delegation of authority, so as to clarify accountabilities, raise efficiency in the use of staff resources, reduce overheads and facilitate interdisciplinary team work, while encouraging a culture of calculated risk-taking and learning.

11. Initiatives and measures taken at that time by the Director-General to advance reform within UNESCO include:

- Changes in management practices and organizational design, in particular:
  - the merger of the Bureau of the Budget with the Bureau of the Comptroller under a newly created Bureau of Financial Management (BFM) in order to streamline operations, strengthen control, better support field operations and substantially reduce senior posts;
  - the strengthening of the Bureau of Strategic Planning (BSP) by placing extrabudgetary resources mobilization and budget planning under its authority, in order to strengthen the link between strategic programme planning and resource allocation and achieve a closer alignment of the objectives and expected results of extrabudgetary resources with those of the regular programme;

- the restructuring of all Programme Sectors and the Sector for Administration to enable greater strategic focus, strengthen management for results, promote enhanced interdisciplinary and intersectoral collaboration and improve programme delivery;
  - the merger of External Relations and Cooperation and the Bureau of Public Information to form a new External Relations and Public Information (ERI) Sector to improve our communication and visibility, strengthen cooperation with Members States and National Commissions, reinforce partnership with non-governmental actors and reduce top-heavy management, cutting costs in the process;
  - the redeployment of efficiency gains stemming from reforming organizational design and management practices to reinforce priority programmes;
  - the placement of the Gender Equality Division under the direct authority of the Director-General to reinforce Gender Equality as a global priority;
  - the institutionalization of regular thematic and sectoral information meetings with Permanent Delegates and Observers to increase transparency of operations and ensure regular information exchange with Member States;
  - the re-establishment of the Forum of Administrative Officers (AOs) to enhance information sharing and to encourage a more regular dialogue among AOs, as well as between AOs and Corporate Services, in particular BFM.
- The Director-General's proposal in document 36 C/5 to halve the current number of intersectoral platforms from 12 to 6 and to allocate a significant percentage<sup>1</sup> of each MP activity budget to joint initiatives under the platforms, in order to enhance both programme focus and intersectoral work.
  - The requirement for each Major Programme, in connection with the streamlining of the intersectoral platforms, to reflect an explicit commitment to undertake prospective studies and exercise foresight, reinforcing the Sectors' capacity to provide timely and relevant policy advice, and also strengthening internal knowledge management capacities.
  - The establishment of a Senior Management Team (SMT) – supported by two Senior Management Committees: the Programme Management Committee (PMC) and the Corporate Services Committee (CSC) – to provide substantive coordination and to replace the College of Assistant Directors-General, the Directorate and numerous other coordination mechanisms.
  - The Convening of a Senior Experts Group on Reforms to advise the Director-General on the reform and the change management process of UNESCO (Report on their conclusions and suggestion is contained in document 186 EX/INF.20).
  - The Director-General's proposed reform of UNESCO's field office network leading to the creation of adaptive, multisectoral regional offices over time, the principles of which were endorsed by the 185th and the 186th sessions of the Executive Board.
  - The establishment of two new liaison offices in Addis Ababa and Brussels to reinforce cooperation with the African Union and the European Union, and the strengthening of the New York and Geneva liaison offices to support a stronger positioning within the United Nations.

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<sup>1</sup> 10% in the Zero real growth (ZRG) budget envelope and 8% in the zero nominal growth (ZNG) alternative budget option.

- The development of a new human resources management strategy, with emphasis on talent management, developing staff capacity and creating an enabling work environment (36 C/40).
- The development and implementation of a new ethics policy, including a “whistle blower” protection system and anti-retaliation measures, and a financial disclosure programme to be fully implemented by the end of 2011.
- The adoption of the International Public Sector Accounting Standards (IPSAS), accompanied by strengthened internal control/risk management framework including written attestation by ADGs and Directors on the effectiveness of the control environment within their areas of responsibilities, and the Director-General’s Statement on internal control as part of the audited financial statements.
- The consolidation of all Information Technology (IT) strategy decisions under a new function of Chief Information Officer to ensure a more business-oriented and user-friendly IT function and to develop and implement integrated knowledge management solutions.

#### **IV. DIRECTOR-GENERAL’S ACTION PLAN TO IMPLEMENT THE IEE RECOMMENDATIONS**

12. While a number of positive steps have already been taken as appears from the above, further reforms are needed to advance change within UNESCO. The Director-General acknowledges that reforming UNESCO is a shared responsibility between the Governing Bodies and the Secretariat and will be a long-term process requiring a sustained and coordinated set of actions. The Director-General strongly believes that the combined effects of her planned actions and the Ad Hoc Working Group’s recommendations will deepen the change process within the Organization and lead to a new, re-invigorated UNESCO.

13. The Director-General is leading the change management process within the Secretariat, using the SMT as its main entry point. Consistent with the recommendations of the Ad Hoc Working Group of Member States, she has entrusted the Deputy Director-General with the responsibility for managing and coordinating the overall implementation of the IEE recommendations.

14. The Action Plan presented in Annex I contains the Director-General’s response to the recommendations of the IEE and includes in particular a set of planned actions in follow-up to the operational aspects of the IEE report. These proposals are consonant with the conclusions and recommendations of the Ad Hoc Working Group of the Executive Board and, more importantly, are in synergy with the Working Group’s own proposed actions in response to the IEE.

#### **V. REPORT ON PROGRESS SINCE THE 186th SESSION OF THE EXECUTIVE BOARD**

15. The following section highlights completed and ongoing actions of the Secretariat in response to 186 EX/Decision 17 (I and II). The progress made is organized by each of the five Strategic Directions of the IEE final report.

##### **16. Strategic Direction One – Increasing UNESCO’s Focus**

- In an effort to strengthen programmatic focus, the draft document 36 C/5 includes adjustments in the scope of several Main Lines of Action and a reduction in the number of expected results.
- The Africa and gender equality global priorities have been strengthened in terms of both human and activity budget.

- The Director-General's proposals to optimize consultations on the C/5 and C/4 documents with no additional cost implications were submitted to the Executive Board at its 187th session (document 187 EX/17) for transmission, with its comments, to the General Conference at its 36th session.

17. Strategic Direction Two – Positioning UNESCO closer to the field

- The Director-General's proposal for a reform of UNESCO's field network to improve the delivery of services to Member States, endorsed by the Executive Board at its 185th and 186th sessions, is fully in line with the recommendations of the Independent External Evaluation.
- In the context of the alternative budget option, the Director-General proposes to focus on Africa during the 36 C/5 period, with the objective of securing the financial viability and the successful implementation of the first phase of the field network reform. Further details on actions taken by the Director-General pursuant to 185 EX/Decision 29 and 186 EX/Decision 28, with particular reference to the proposed accountability framework as well as the budgetary measures and roadmap for the execution of the first phase of implementation of the new field network, are contained in document 36 C/27.

18. Strategic Direction Three – Strengthening Participation in the United Nations

- A Working Group on liaison offices was established to define the roles, functions, objectives and reporting lines of UNESCO liaison offices. Specific guidelines in this regard have been issued.

19. Strategic Direction Four – Strengthening Governance

- In response to the recommendation that the General Conference, upon advice by the Executive Board, examine certain items without preliminary debate, the Addendum to the Revised Provisional Agenda of the 36th session will include a list of such items.
- Proposals concerning the mandate of the Ad Hoc Group of the Executive Board tasked with supporting the preparation of the two plenary commissions of the Executive Board session are being prepared for consideration by the 188th session.
- A quality framework for Executive Board documents was presented at the Board's 187th session (information document attached to agenda item 17).

20. Strategic Direction Five – Developing a Partnership Strategy

- A draft UNESCO policy framework for strategic partnerships was submitted to the Executive Board at its 187th session (document 187 EX/17, Part IV) for transmission, with its comments, to the General Conference at its 36th session. This overarching umbrella statement about key principles and approaches for partnership agreements will be complemented by separate strategies for engagement with different categories of partners, including civil society/NGOs, expert communities, media companies, parliamentarians, associated schools, UNESCO Chairs and the private sector.
- A dedicated strategy for engagement with the private sector was also presented to the Board at its 187th session (Annex I of document 187 EX/6, Part XII) for transmission to the General Conference at its 36th session, with any changes that may be requested or decided by the Executive Board.
- Likewise, a new framework for cooperation with NGOs was presented to the Board at its 187th session (187 EX/37) for transmission, with its comments, to the General

Conference at its present session (document 36 C/48). This new framework seeks to improve the involvement of NGOs in the formulation and implementation of UNESCO's programmes through a simplified partnership procedure.

- A team of external consultants has been contracted to assist the Secretariat in the development of the overall policy framework for strategic partnerships and strategies for individual categories of partners.

21. The Director-General's detailed Action Plan containing all of the planned actions can be found in Annex I. For ease of reference, both the recommendations of the Ad Hoc Working Group of the Executive Board and the operational follow-up actions by the Director-General are set out in a consolidated format, with indication of the progress made thus far and timetable for implementation.

## **VI. IIE ITEMS FOR DEBATE AT THE 36th SESSION OF THE GENERAL CONFERENCE**

22. A number of other key items related to the IEE follow-up are submitted to the 36th session of the General Conference for its approval (document 36 C/53).

23. In 186 EX/Decision 17 (I), the Executive Board (see Annex II) decided to:

- recommend to the General Conference that it adopt, at its 36th session, a limited number of strategic objectives, taking into account relevant internationally agreed development goals, including the Millennium Development Goals (MDGs), and other United Nations goals, with which programmes should be associated, in order to maximize impact;
- further recommend to the General Conference, at its 36th session, the adoption of a four-year programming cycle and an appropriate revision mechanism, with a view to increasing stability and coherence and enhancing collaboration of UNESCO with its Member States in implementing the programme and mobilizing extrabudgetary resources, while maintaining a two-year budgetary programme;
- propose to the General Conference, at its 36th session, that the new C/5 document be informed by a brief, succinct Medium-Term Strategy document (C/4) of a rolling nature with an eight-year time frame;

24. Should the Executive Board at its 187th session decide to transmit additional recommendations to the General Conference, these will be published in an addendum to the present 36 C/28 document.

## **FOLLOW UP MECHANISM**

25. The Director-General remains strongly committed to constructive collaboration with the Governing Bodies in support of the ongoing reform of the Organization. The Director-General will continue to inform the Governing Bodies of progress made in response to the IEE through:

- regular Information Meetings with Permanent Delegations of Member States;
- a progress report to the 189th session of the Executive Board;
- an item on the IEE on the agenda of the 37th session of the General Conference;
- a dedicated website containing all relevant material on the IEE and its follow-up.

## PROPOSED DRAFT RESOLUTION

26. The General Conference may wish to adopt a resolution along the following lines.

The General Conference,

Recalling 35 C/Resolution 102, 185 EX/Decision 18, 186 EX/Decision 17,

Having examined document 36 C/28,

1. Appreciates the sterling work carried out by the team of external evaluators and the strenuous efforts made by the Executive Board and the Secretariat to give early follow-up to the final report's many recommendations;
2. Invites the Director-General to continue to implement the recommendations contained in Part I of 186 EX/Decision 17 and the planned actions referred to in document 186 EX/17 Part II;
3. Invites the Executive Board to monitor the follow-up to the IEE by examining the periodic progress reports provided by the Director-General and to express its views thereon through explicit decisions;
4. Requests the Director-General to report to it at its 37th session on progress in follow-up to the IEE.



## ANNEX I

### INDEPENDENT EXTERNAL EVALUATION OF UNESCO

#### FOLLOW UP TO THE RECOMMENDATIONS OF THE AD HOC WORKING GROUP AND PLANNED ACTIONS OF THE SECRETARIAT

| Proposed actions  | Proposed by Ad Hoc Working Group | Proposed by Secretariat | Status of implementation   | Timeline        |
|---|----------------------------------|-------------------------|--|-----------------|
| <b>1. Strategic Direction One – Increasing Focus</b>      |                                  |                         |  |                 |
| (a) Selection of a limited number of strategic objectives | X                                |                         | <p>The General Conference at its 36th session will consider the preparation of the 37 C/4 and 37 C/5, including a discussion of this recommendation.</p> <p>In the Draft 36 C/5, efforts have been made to improve focus, including through reduction in the number of expected results and intersectoral platforms.</p> <p>As an example of improved focus, SHS has identified 4 strategic areas: social inclusion, new challenges in bioethics, social dimensions of global environmental change, and youth and social inclusion. These four strategic focus areas are now expressed by a total of six expected results.</p> | 36 GC           |
| (b) Introduce a four-year programming cycle <sup>1</sup>  | X                                |                         | <p>The introduction of a four-year cycle has been the subject of discussions and decisions at the 185th and 186th sessions of the Executive Board.</p> <p>The modalities of implementation are discussed in 187 EX/17 Part II.</p>   | 187 EX<br>36 GC |

<sup>1</sup> Also proposed under Strategic Direction 4.

| Proposed actions  | Proposed by Ad Hoc Working Group | Proposed by Secretariat | Status of implementation  | Timeline        |
|---|----------------------------------|-------------------------|---|-----------------|
| (c) Introduce brief C/4 of a rolling nature over 8-year duration  | X                                | X                       | <p>The General Conference at its 36th session will examine the preparation of the 37 C/4 and 37 C/5, including a discussion of this recommendation.</p> <p>The modalities of implementation are discussed in 187 EX/17 Part II.</p>   | 187 EX<br>36 GC |
| (d) Develop programme and timetable of work for C/5 and C/4 preparation and monitoring                                    | X                                |                         | <p>The General Conference at its 36th session will examine the preparation of the 37 C/4 and 37 C/5, including a tentative timetable for their preparation.</p> <p>In addition, the modalities of implementation are described in 187 EX/17 Part II.</p>  | 187 EX<br>36 GC |
| (e) Adopt detailed terms of reference and clear methods of work for C/4 and C/5 drafting group                            | X                                |                         | <p>The adoption of TORs and working methods for the C/4-C/5 Drafting Group is the prerogative of the Executive Board and is discussed at the time of Board sessions.</p>  | 190 EX          |
| (f) Re commend criteria for introducing new and maintaining existing programmes for regular and extrabudgetary programmes | X                                | X                       | <p>Several parallel processes are ongoing to respond to this concern:</p> <ul style="list-style-type: none"> <li>introduction of rating scales in the consultation process for the next C/4 and C/5 documents;</li> <li>strengthening of internal management through regular monitoring of programme implementation that may entail reprogramming actions or the development of exit strategies where performance is low;</li> <li>planned review of key features of the programme management cycle by IOS;</li> <li>ongoing assessments by the Board of key achievements and challenges across all programmes for the purpose of its report to the General Conference, contributing to the discussions on continuation/discontinuation of programmes.</li> </ul> | 37 GC           |

| Proposed actions  | Proposed by Ad Hoc Working Group | Proposed by Secretariat | Status of implementation  | Timeline  |
|---|----------------------------------|-------------------------|---|---|
| (g) Promote intersectorality  | X                                | X                       | For the first time allocation of a substantial amount of resources to the six intersectoral platforms.<br><br>Sectors are encouraged to envisage other intersectoral work on themes outside the intersectoral platforms.  | 36 GC   |
| (h) Review and propose new consultation processes for C/4 and C/5 documents | X                                | X                       | The proposal tabled at this session entails: (i) revisiting the format and content of regional consultation with National Commissions; and (ii) allowing Member States in the online questionnaire to national governments to declare preferences on priorities through allocation of points.   | 187 EX  |
| (i) Take steps to further strengthen results-based management               | X                                | X                       | The draft 36 C/5 reflects a reduced number of expected results (e.g. 12 in Education, 6 in SHS). These efforts will be continued in consecutive C/5 documents.<br><br>As part of the next 37 C/3, review by IOS of progress made in improving results-based monitoring and reporting against the guidance for reporting provided in 176 EX/Decision 29.<br><br>RBM training will continue to be delivered systematically across UNESCO, building on best practice and feedback from experience.<br><br>Planned introduction of more impact reviews/evaluations to assist the feedback of results into programme and organizational improvement. | Ongoing<br><br>189 EX<br><br>2012-2013<br><br>2012-2013 |
| (j) Introduce results-based budgeting (RBB)                                 |                                  | X                       | UNESCO will move towards results-based budgeting (RBB) for better service delivery outcomes. A feasibility study will be carried out to (i) take stock of existing conceptual and operational elements for RBB; and (ii) develop a pragmatic approach towards the introduction of RBB.  | 189 EX<br>190 EX  |

| Proposed actions  | Proposed by Ad Hoc Working Group | Proposed by Secretariat | Status of implementation  | Timeline  |
|---|----------------------------------|-------------------------|---|---|
| (k) Reinforce commitment to two global priorities: Africa and Gender Equality |                                  | X                       | <p>External evaluations of both priorities aimed at improving delivery and impact will be completed by the end of 2011 and presented to the Executive Board.</p> <p>AFR and GE strengthened in terms of both human and activity budget in order to enhance their capacity to coordinate and provide technical support (including capacity development for GE related programming) to programme sectors and field offices.</p>                                       | 189 EX  |
| (l) Introduce systematic programme reviews <sup>2</sup>                       |                                  | X                       | <p>Programme reviews will be systematized to allow a more systematic assessment of programme performance by the Board through explicit decisions on the performance of individual programmes based on EX/4 reports, DG's thematic reports on specific issues and programmes, IOS audit conclusions, internal and external evaluation findings. Ideally, each MLA would be discussed in depth at least once during the period covered by the Approved Programme.</p> | 2012  |
| (m) Monitor low performing programmes separately                              |                                  | X                       | <p>Periodic programme implementation reviews are carried out by programme sector ADGs, with particular attention paid to low-performing activities. Reviews may entail reprogramming actions, including the reallocation of funds where performance is low and/or the development of exit strategies.</p>   | Ongoing   |
| (n) Conduct systematic evaluation of programmes <sup>3</sup>                  |                                  | X                       | <p>A stronger role is proposed for evaluation, while leaving to the C/5 indicators and targets their proper function of monitoring within-biennium performance.</p> <p>The 36 C/5 Evaluation Plan identifies one key evaluation per programme.</p> <p>The 37 C/4 Indicative Evaluation Plan will provide adequate coverage of all programmes over the period covered by the Medium-Term</p>   | <p style="text-align: center;">36 GC</p> <p style="text-align: center;">37 GC</p> |

<sup>2</sup> Also proposed under Strategic Direction 4.

<sup>3</sup> Also proposed under Strategic Direction 2 and 4.

| Proposed actions  | Proposed by Ad Hoc Working Group | Proposed by Secretariat | Status of implementation  | Timeline  |
|---|----------------------------------|-------------------------|---|-----------|
|   |                                  |                         | Strategy.   |           |
| (o) Carry out review of all partnership agreements with United Nations partners           | X                                | X                       | In progress, a report will be submitted to the 189th session of the Executive Board.  | 189 EX    |
| (p) Hold consultations with United Nations partners in the context of CCA/UNDAF processes |                                  | X                       | Plan to participate in 20 to 30 UNDAF processes in the 36 C5.<br>Close consultation with United Nations partners in the field as part of the planned generalization of the UNESCO Country Programme Documents (UCPD) in all UNESCO offices.                               | Ongoing   |
| (q) Clarify division of labour among EFA convenors  |                                  | X                       | The new proposed EFA architecture, with much closer cooperation and involvement of the other EFA convenors, should provide the basis for such clarification.  | 2012      |
| (r) Develop new human resources strategy  |                                  | X                       | New human resource strategy developed and submitted to the Executive Board (186 EX/25) and General Conference (36 C/40).  | Completed |
| (s) Improve IT systems to support programme planning, implementation and reporting        |                                  | X                       | Implementation of a work-flow based contracts management tool for Headquarters, field offices and institutes initiated. This will be extended to travel management and other functional needs of the Organization.  | 2012      |
|   |                                  |                         | Planned establishment of a business continuity plan, taking into account key IT security and disaster recovery aspects.   | 2012      |
|   |                                  |                         | Planned development of a unified communications network with VOIP (voice over internet protocol) to reduce global communications costs, improve video and audio conferencing and help in enhancing business operations and processes for both Headquarters and the Field. | 2012      |
|   |                                  |                         | Business warehouse set up for business intelligence reporting through   | Completed |

| Proposed actions  | Proposed by Ad Hoc Working Group | Proposed by Secretariat | Status of implementation   | Timeline                                  |
|---|----------------------------------|-------------------------|--|---|
|   |                                  |                         | <p>analytical reports and dashboards to facilitate decision making.</p> <p>An IT strategy will be elaborated to support the strategic orientations for a Knowledge and Information system Management.</p>  | 2012                                      |
| (t) Streamline financial management systems                         |                                  | X                       | <p>Process reviews routinely conducted to identify and resolve administrative bottlenecks.</p> <p>Financial policies developed to strengthen overall internal control framework with feed-in to information system changes.</p> <p>Implementation of a unified portal for accessing all management information systems (i.e. Applications and underlying data) from Headquarters and the field.</p>  | <p>Ongoing</p> <p>Ongoing</p> <p>2012</p> |
| <b>2. Strategic Direction Two – Positioning closer to the field</b> |                                  |                         |  |   |
| (a) Ensure policy coherence   | X                                |                         | <p>Several aspects of the field network reform (see document 187 EX/33) respond to this concern:</p> <p>establishment of multisectoral regional offices with delegated authority in their respective regions, including oversight over subsidiary country-level structures with regard to programme design, implementation and evaluation as well as financial and personnel management;</p> <p>clear reporting lines of multisectoral regional offices to the relevant ADG or director of central service at Headquarters on the use of decentralized resources (both staff and programmes) and the delivery of key expected sectoral and intersectoral results defined for the region;</p> <p>establishment of a regional function for the overall coordination of UNESCO activities in the Africa region. This function will be</p> | 187 EX<br>36 GC                           |

| Proposed actions   | Proposed by Ad Hoc Working Group | Proposed by Secretariat | Status of implementation  | Timeline                    |
|--|----------------------------------|-------------------------|---|-----------------------------|
|  |                                  |                         | <p>performed by the AFR Department;</p> <p>periodic reviews by the SMT and its Committees of the implementation of programmes benefiting Africa as an important tool for information sharing and for enhanced coordination of activities at the regional level;</p> <p>emphasis placed on coordinating and oversight roles of Headquarters in the areas of planning, monitoring and evaluation;</p> <p>the planned generalization of the UNESCO Country Programme Documents (UCPD) in all UNESCO offices will bring us closer to the practice of other specialized agencies, enhance coherence, satisfy the National Commissions, and facilitate the management of the field structure.</p> |                             |
| (b) Define responsibilities, roles and expected outcomes of all organizational entities, including category 1 institutes | X                                |                         | The proposed accountability framework for the reformed field network (see document 187 EX/33) clarifies roles, responsibilities and functions for the new field structures.   | 187 EX<br>36 GC             |
| (c) Clarify reporting lines in new field network and update tables of authority and accountability <sup>4</sup>          | X                                |                         | <p>The proposed accountability framework for the reformed field network (see document 187 EX/33) clarifies the reporting lines between the various levels in the field and at Headquarters.</p> <p>The effectiveness of the revised reporting arrangements/lines will be assessed at the end of the 2012-2013 biennium.</p>   | 187 EX<br>36 GC<br><br>2013 |
| (d) Strengthen coordination and synergy between Headquarters and field   | X                                |                         | The reform of the field network provides for direct reporting lines to the relevant programme sector A DG on programmatic issues, thus enabling enhanced coordination and the search for synergies.   | 187 EX<br>36 GC             |

<sup>4</sup> Also proposed under Strategic Direction 3.

| Proposed actions  | Proposed by Ad Hoc Working Group | Proposed by Secretariat | Status of implementation  | Timeline                                    |
|---|----------------------------------|-------------------------|---|---|
|   |                                  |                         | <p>The regional function established for the overall coordination of UNESCO activities in the Africa region also encompasses ensuring the provision of coherent and timely technical support by Headquarters.</p> <p>The Directors of the multisectoral regional offices will participate via teleconferences in the periodic reviews by the SMT of programme performance in their region.</p>  |   |
| (e) Ensure an ongoing evaluation process of the reform of field network | X                                |                         | <p>35 C/Resolution 82, para. 10 (Revised basic criteria for the rational implementation of decentralization) states that field entities shall be subject to regular audits and evaluations by IOS.</p> <p>IOS programme of work for 36 C/5 will include a number of audits and evaluations of field entities.</p> <p>The implementation process of the field network reform will be assessed by the end of the 36 C/5 biennium, prior to a comprehensive review and evaluation of its impact after it has become fully operational.</p> | <p>Ongoing</p> <p>2012-2013</p> <p>2013</p> |
| (f) Provide the necessary professional skills and competencies          | X                                |                         | <p>The reform of the field network provides for an increase in the volume of decentralized regular programme professional posts as well as for a significant increase in the level of expertise.</p> <p>In line with the Action Plan of the Human Resources Strategy, a comprehensive plan for deployment and rotation of staff, building on the new HRM policies, is being put in place to serve the successful implementation of the field reform.</p>  | <p>187 EX<br/>37 GC</p>                     |
| (g) Creation of regional support platforms                              |                                  | X                       | <p>The reformed field network foresees the establishment of a regional support platform in each region to provide added capacities and support in administration, finance, IT and human resources and to enhance the effectiveness of field-Headquarters coordination.</p>  | <p>187 EX<br/>36 GC</p>                     |



| Proposed actions   | Proposed by Ad Hoc Working Group | Proposed by Secretariat | Status of implementation  | Timeline        |
|--|----------------------------------|-------------------------|---|-----------------|
| (h) Include provisions in the new human resources strategy to support implementation of the field reform | X                                |                         | Various actions are incorporated into the HR Strategy which is submitted to the General Conference (36 C/40).   | 36 GC           |
| (i) Provide detailed estimate of the costs of the field reform   | X                                |                         | The proposal to the 187th session of the Executive Board provides a detailed costing of phase one implementation in Africa covering the first two years of implementation of the field reform.  | 187 EX<br>37 GC |
| (k) Develop detailed implementation plan for field reform  |                                  | X                       | A roadmap for phase one implementation in Africa is submitted to the consideration of the 187th session of the Executive Board.   | 187 EX<br>37 GC |
| (l) Develop results-based strategies for all offices for strategic and programmatic alignment            |                                  | X                       | RBM workshops and trainings have been held over the last many years both at Headquarters and in the field. The reform will provide a good context for scaling up these efforts in the field.  | ongoing         |
| (m) Enhance consultant roster  |                                  | X                       | HRM and BFC will engage with field offices to develop rosters at the regional level.  | 2013            |
| (n) Better use of expertise and capacity in category 1 and 2 institutes and centres                      |                                  | X                       | <p>Programme sectors will continue to monitor and report to the Executive Board on how category 1 and 2 institutes and centres are contributing to the achievement of UNESCO's results.</p> <p>Integration of category 1 and 2 institutes and centres into programme sectors' work programme is ensured through participation in annual meetings of their governing bodies and joint work planning exercises.</p> <p>Sectoral strategies for category 2 institutes and centres have been devised by the International Hydrological Programme and by the World Heritage Committee as a means to strengthen programme coherence, coordination and impact.</p> | Ongoing         |

| Proposed actions   | Proposed by Ad Hoc Working Group | Proposed by Secretariat | Status of implementation   | Timeline |
|--|----------------------------------|-------------------------|--|----------|
| (o) Build on experiences gained in South-South cooperation fund and strengthen cooperation with UNDP South-South coordination fund               |                                  | X                       | South-South cooperation is being developed across the Organization, with particular emphasis on middle-income countries interested in the development of this modality of international cooperation.<br><br>Will be integrated in 2012-2013 work plans at end of 2011.   | Ongoing  |
| (p) Establishment of monitoring and evaluation and knowledge management function as part of new field network                                    |                                  | X                       | In the new multisectoral regional field structure, a number of positions have been foreseen to carry out evaluation, monitoring, information and knowledge management functions.   | 187 EX   |
| (q) Promote self-evaluation and make it an integral part of programme management   |                                  | X                       | Planned development of self-evaluation guidelines and training material.   | 2012     |
| (r) Revise evaluation policy to make self-evaluation completion reports a requirement for all extrabudgetary projects                            |                                  | X                       | Current UNESCO evaluation policy (176 EX/27) will be revised accordingly, as well as the provisions of the Administrative Manual which will be updated to reflect this policy change.  | 2012     |
| <b>3. Strategic Direction Three – Participation in the United Nations</b>  |                                  |                         |  |          |
| (a) Further strengthen participation in joint United Nations planning and implementation processes including harmonization of business practices | X                                | X                       | The draft 36 C/5 provides for the out-posting of a UNESCO staff to DOCO in order to ensure a better representation of UNESCO within the undg system.<br><br>The 2% modality of assistance to Field Offices to better insert UNESCO's domains into common country programming processes as well as the ongoing institutional training by BSP and BFC will be continued. | Ongoing  |

| Proposed actions  | Proposed by Ad Hoc Working Group | Proposed by Secretariat | Status of implementation   | Timeline              |
|---|----------------------------------|-------------------------|--|-----------------------|
| (b) Report on UNESCO participation in United Nations coordination mechanisms and inter-agency operations                        | X                                |                         | <p>The Director-General recently reported on this item in document 186 EX/INF.22 – <i>Report on UNESCO and United Nations reform, in particular efforts and challenges with respect to United Nations system-wide coherence</i>. The Director-General will continue to report on all aspects of UNESCO’s participation in United Nations coordination mechanisms.</p> <p>Through the EX/4 report the Director-General also regularly informs the Governing Bodies of the contributions of Field Offices to the work of United Nations Country Teams and common country programming exercises (refer 186 EX/4 Part I Add.).</p> | Ongoing               |
| (c) Clearly define role of liaison offices  | X                                | X                       | Working Group on Liaison Offices established under the chairmanship of the DDG to clearly define the roles, responsibilities, functions and objectives of UNESCO liaison offices, as well as their reporting lines.  | 2011                  |
| (d) Develop communication mechanism to provide Member States with information on work of liaison offices in New York and Geneva | X                                |                         | <p>Member States will be regularly updated on the work of the liaison offices through the Director-General’s oral and written reports.</p> <p>Summary reports on their activities and results, focusing on information of a strategic nature, will be included in the year-end reports of the Director-General on the execution of the programme adopted by the General Conference, in the EX/4 series.</p>  | Ongoing<br><br>190 EX |
| (e) Implement policies of geographic and inter-agency mobility/new human resources strategy                                     | X                                | X                       | Actions scheduled in the Human Resources strategy include: update and implement the Geographical Mobility Policy and enhanced inter-agency mobility.   | 2012-2013             |
| (f) Develop list of competencies required for posts of United Nations Resident coordinators                                     | X                                | X                       | HRM participates in a “working group” tasked with defining a new One80° for UNCT members, under the responsibility of the Resident Coordinators System Issues Working Group (RCSI WG).   | Ongoing               |

| Proposed actions  | Proposed by Ad Hoc Working Group | Proposed by Secretariat | Status of implementation   | Timeline   |
|---|----------------------------------|-------------------------|--|--|
|   |                                  |                         | <p>HRM also participates in another working group (under same auspices as above) to elaborate on the existing United Nations Resident Coordinator's Assessment Centre within the United Nations system.</p> <p>UNESCO Assessment Centre for Development defined taking into account the same managerial competencies of the United Nations Resident Coordinator's Assessment Centre.</p> <p>Soft skills training on managerial competencies defined (12).</p>                                    | <p>Ongoing</p> <p>Completed</p> <p>Completed</p> |
| (g) Improved coordination at Headquarters   |                                  | X                       | This recommendation was addressed, notably through the creation of Senior Management Committees, which are now fully operational as coordination nodes on all programme and management issues and for UNESCO's participation in the United Nations system.   | Ongoing  |
| (h) Training opportunities to assist staff join corps of United Nations Resident Coordinators and Representatives |                                  | X                       | HRM supports the participation of staff members to relevant trainings organized by the Staff College in Turin.   | Ongoing  |
| <b>4. Strategic Direction Four – Strengthening governance</b>   |                                  |                         |  |  |
| (a) Development of accountability framework for relations between the governing bodies and the Secretariat        | X                                |                         | Following adoption by the General Conference of the proposals on follow-up to the IEE, a report will be submitted by the Director-General to the Executive Board at its 190th session for development and onward transmission to the General Conference at its 37th session. This report will build on discussions held within the Governing Bodies over recent years on this matter and also take into account other related aspects being developed concurrently in the IEE follow-up context. | 190 EX<br>37 GC                                  |

| Proposed actions  | Proposed by Ad Hoc Working Group | Proposed by Secretariat | Status of implementation   | Timeline |
|---|----------------------------------|-------------------------|--|----------|
| (b) Establish pilot monitoring mechanism to identify obstacles and improve interaction between the governing bodies and the Secretariat   | X                                |                         | Following adoption by the General Conference of the proposals on follow-up to the IEE, the Director-General will hold discussions with the future President of the General Conference and the future Chairperson of the Executive Board on how best to take this proposal forward. She will report on this at the 189th session of the Executive Board.  | 189 EX   |
| (c) Submit relevant new initiatives to governing bodies when within their prerogative   | X                                |                         | The Secretariat will continue to abide by the rules governing the relations between UNESCO's three organs and will continue to share new initiatives with the Board prior to taking action. However, in circumstances where urgent action would be required, the Board may wish to adopt similar arrangements to those it has decided in 186 EX/Decision 17 (para. 38) for consultations under the terms of Rule 59 of its Rules of Procedure. | Ongoing  |
| (d) Better use of information meetings  | X                                |                         | Weekly calendars of information meetings are now prepared since 2010. Orientation seminars were also initiated for new permanent delegates to UNESCO.  | Ongoing  |
| (e) Chairperson to convene half-day special session, when required, for the Director-General to consult the Executive Board under Rule 59 | X                                |                         | The Director-General will take this recommendation into account and propose to the Chairperson of the Board that he/she call a special session of the Board if matters arising require a consultation of the Board earlier than the following regular session would allow, notably in relation to the application of Rule 59 of the Board's Rules of Procedure, bearing in mind the cost implications.   | NA       |
| (f) General Conference to examine draft resolutions without general debate, unless requested  | X                                |                         | Addendum to the Revised Provisional Agenda of the 36th session.  | 187 EX   |

| Proposed actions   | Proposed by Ad Hoc Working Group | Proposed by Secretariat | Status of implementation  | Timeline |
|--|----------------------------------|-------------------------|---|----------|
| (g) Director-General to present decisions of governing bodies of international and intergovernmental programmes and UNESCO conventions having financial implications for the C/5 document in a single report | X                                |                         | Under examination.  | Ongoing  |
| (h) General Conference to merge Administration and Programme and External Relations Commissions of the General Conference on an experimental basis   | X                                |                         | To be implemented in the planning process for the 37th session depending on the number of agenda items attributed to these two commissions. | 37 GC    |
| (i) Formalize within the Rules of Procedure of the General Conference the current practice whereby Programme Commissions present to the Plenary Draft Resolutions to amend the C/4 and C/5 documents         | X                                |                         | To be studied.  | 37 GC    |

| Proposed actions  | Proposed by Ad Hoc Working Group | Proposed by Secretariat | Status of implementation  | Timeline  |
|---|----------------------------------|-------------------------|---|-----------|
| (j) Translate into an admissibility criterion the recommendation that draft resolutions with financial implications clearly identify the Main Line of Action (MLA) from which the resources should come | X                                |                         | After adoption of Executive Board recommendations by the 36th session of the General Conference.  | 37 GC     |
| (k) Organize the sessions and set up agendas consistent with requirements of managing four-year programming cycles  | X                                |                         | After adoption of the Executive Board recommendations by the 36th session of the General Conference.  | 2012      |
| (l) Develop a biennial programme for the plenary debates of the Executive Board focusing on thematic issues   | X                                |                         | Since this is for the 2012-2013 biennium, this will be taken up with the Chair of the Board after his/her election at the 188th session of the Board. | 2012-2013 |
| (m) Increase the number of items discussed in joint meetings of the PX and FA Commissions   | X                                |                         | This is already being implemented at the 186th and 187th sessions as requested by the Board.  |           |
| (n) Director-General to propose a quality framework for Executive Board documents to ensure concise, analytical and action-oriented reports   | X                                | X                       | Format document will be submitted to the 187th session of the Executive Board.  | 187 EX    |

| Proposed actions  | Proposed by Ad Hoc Working Group | Proposed by Secretariat | Status of implementation   | Timeline           |
|---|----------------------------------|-------------------------|--|--------------------|
| (o) Require that all substantive amendments to draft decisions be provided in writing   | X                                |                         | The Chairs of the Committees and Commissions and their Secretaries are already aware and had established such a practice that would need to be reinforced and more strictly applied. | 187 EX and onwards |
| (p) Ensure that draft decisions related to the C/4 and C/5 documents are agreed in respective commissions of the Executive Board prior to consideration by the drafting group | X                                |                         | To be applied during the 187th session, or alternatively from the sessions that will consider the draft 37 C/5 in 2013.  | 2013               |
| (q) Executive Board adopts criteria similar to those of the General Conference concerning draft decisions aiming to amend the C/5 document                                    | X                                |                         | To be applied during the 187th session, or alternatively from the sessions that will consider the draft 37 C/5 in 2013.  | 2013               |
| (r) Suspend the work of the Group of Experts on Finance and Administrative Issues from the 188th session, for an experimental period of two years                             | X                                |                         |  | NA                 |



| Proposed actions   | Proposed by Ad Hoc Working Group | Proposed by Secretariat | Status of implementation  | Timeline                   |
|--|----------------------------------|-------------------------|---|----------------------------|
| (s) Establish, on an experimental basis, an Ad Hoc Group with enhanced participation by all UNESCO Member States to support the preparation of the two Plenary Commissions of the Executive Board from the 188th session | X                                |                         | Draft TORs will be prepared for the Board's consideration.  | 188 EX                     |
| (t) Director-General to submit a comprehensive report on the UNESCO Secretariat accountability framework and its monitoring and evaluation mechanisms  | X                                |                         | <p>A high-level accountability framework is appended to the human resources strategy.</p> <p>Preparation of a comprehensive accountability framework, including a definition of accountability and of the various components of UNESCO's accountability system, was initiated to provide a clear overview of UNESCO's oversight and internal control framework.</p>   | <p>36 GC</p> <p>189 EX</p> |
| (u) Director-General to put in place a Change Management Team  | X                                |                         | The DG has established a phased change management process to shepherd the detailed planning and implementation of the reforms, which she is personally leading through the Senior Management Team (SMT) and dedicated working teams, with the DDG taking care of day-to-day management and coordination of the change management process with regard to both the IEE and the field network reform.              | Completed                  |
| (v) Develop fuller assessment for the C/3  |                                  | X                       | <p>To further improve the quality of results-based reporting, specific guidelines on reporting and training are being developed.</p> <p>As part of the IOS validation exercise, the sample will be widened to include activities from the following categories: field offices, category 1 institutes, extrabudgetary-funded activities, intersectoral platforms, and Africa and Gender Equality priorities.</p> | <p>2012</p> <p>189 EX</p>  |

| Proposed actions  | Proposed by Ad Hoc Working Group | Proposed by Secretariat | Status of implementation  | Timeline  |
|---|----------------------------------|-------------------------|---|-----------|
|   |                                  |                         | Planned introduction of impact reviews/evaluations to feed into future C/3 (see 1 i) above).  | 2012-2013 |
| (w) Assist Member States in the preparation of Executive Board reports to the General Conference on the implementation of the C/5 |                                  | X                       | Document 187 EX/16 Part II contains a draft of the Executive Board's report, in conformity with the agreed reporting format.  | Ongoing   |
| (x) More inclusive consultation process   |                                  | X                       | To be the subject of discussion in the next biennium.   | 2012-2013 |
| (y) Discuss and agree upon information required for governance oversight  |                                  | X                       | Discussions are currently taking place in the context of the preparation/examination of the Organization's main planning or reporting documents, namely the C/4, C/5, EX/4-C/3, and the Report by the Executive Board to the General Conference on the implementation of the programme. | Ongoing   |
| (z) Streamline and improve transparency of information for Member States  |                                  | X                       | The EX/4 is being gradually improved to present information more conducive to an assessment of the Organization's results according to the format agreed by the Executive Board.  | Ongoing   |
| (aa) Ensure extrabudgetary resources fall under same governance oversight as regular programme                                    |                                  | X                       | This is already the current practice. Document 187 EX/6, Part XII, reports on the approaches in this area, in particular as it relates to the Complementary Additional Programme (CAP).   | Ongoing   |

| Proposed actions  | Proposed by Ad Hoc Working Group | Proposed by Secretariat | Status of implementation  | Timeline              |
|---|----------------------------------|-------------------------|---|-----------------------|
| <b>5. Strategic Direction Five – Developing Partnership Strategy</b>  |                                  |                         |   |                       |
| (a) Develop draft policy framework for strategic partnership  | X                                | X                       | Outline of a draft UNESCO policy framework for strategic partnerships is submitted to the 187th session (187 EX/17, Part IV).<br><br>A team of external consultants is assisting the Secretariat in the development of the overall policy framework for strategic partnerships and strategies for individual categories of partners.    | 187 EX<br><br>Ongoing |
| (b) Take stock of and assess UNESCO experience of working with different categories of partners   | X                                |                         | Under way for various partners such as NGOs, parliamentarians, UNESCO clubs, the private sector, etc.   | Ongoing               |
| (c) Include in the policy framework distinct strategies for each category of partners to include, inter alia, objective criteria for the selection, approval and renewal of partnerships, funding and accountability arrangements, and criteria for periodic evaluation | X                                | X                       | The policy framework for strategic partnerships will be complemented by separate strategies/frameworks for engagement with different categories of partners, starting with dedicated strategies/frameworks for engagement with the private sector or cooperation with NGOs that are both presented to the Board at its present session. | 187 EX<br><br>Ongoing |
| (d) Review the mandate and working methods of the NGO committee   | X                                |                         | A proposal will be presented to the Board at its present session and to the General Conference at its 36th session.   | 187 EX                |

| Proposed actions  | Proposed by Ad Hoc Working Group | Proposed by Secretariat | Status of implementation  | Timeline        |
|---|----------------------------------|-------------------------|---|-----------------|
| (e) Make information on partners available on the Internet and report biennially to the Executive Board on policy framework   | X                                |                         | This is already the case for NGOs and National Commissions.   | Ongoing         |
| (f) Provide, in 2012-2013, an overview of all networks and initiatives taken to strengthen management of networks   | X                                |                         | New initiatives will be undertaken in this respect on the basis of the new directives for NGOs, the findings of the review of the cooperation between National Commissions and the Secretariat, the ongoing discussions to strengthen the capacity of the UNESCO Clubs movement, etc. | 2012-2013       |
| (g) Include in the new Human Resources Strategy the competencies required to interact professionally with the diversity of UNESCO partners and to successfully manage UNESCO networks | X                                |                         | Competencies are integrated in the human resources strategy, which provides for a refocused training offer on key generic skills needed for programme delivery (managerial, project management and partnering skills).  | 36 GC           |
| (h) Underline the important role of National Commissions in liaising with national partners and civil society and ensure adherence to Article 7 of the Constitution                   | X                                |                         | The Draft 36 C/5 reflects the unique role of National Commissions in promoting and strengthening cooperation with civil society representatives and their interface with UNESCO field offices and United Nations country teams.   | 187 EX<br>36 GC |
| (i) Consult with civil society through specific questionnaire   |                                  | X                       | Foreseen in the proposed new directives for NGOs.   | 187 EX<br>36 GC |

| Proposed actions  | Proposed by Ad Hoc Working Group | Proposed by Secretariat | Status of implementation  | Timeline        |
|---|----------------------------------|-------------------------|---|-----------------|
| (j) Elaborate new statutory framework of cooperation                        |                                  | X                       | Proposed new directives for cooperation with NGOs will be presented to the Board at its present session (187 EX/37) and to the General Conference at its 36th session (36 C/48).  | 187 EX<br>36 GC |
| (k) Consider opening up the governing bodies to other partners              |                                  | X                       | Concerning the Executive Board, this is foreseen in the proposed revised mandate of the NGO Committee.  | 187 EX          |
| (l) Conduct review of cooperation with National Commissions                 |                                  | X                       | The findings and conclusions of the IOS review of cooperation with National Commissions will be considered by the General Conference at its 36th session.   | 187 EX<br>36 GC |
| (m) Encourage Member States to provide more support to National Commissions |                                  | X                       | The DG sent in January 2011 a circular letter to all Member States (CL/3949) on "Our joint responsibilities towards National Commissions for UNESCO" to invite them to provide necessary support to their National Commissions and reminding them of their joint responsibility towards National Commissions.   | Ongoing         |
| (n) Strengthen interaction with National Commissions                        |                                  | X                       | Various modalities are being used to strengthen interaction with the National Commissions, such as regular meeting in the margins of the Executive Board, an interregional meeting on the eve of the General Conference, subregional seminars on programme issues, provision of information on a regular basis through a monthly letter or via a dedicated website. | 187 EX<br>36 GC |

## ANNEX II

### 186 EX/Decision 17 (I) Independent external evaluation of UNESCO

#### Recommendations of the Executive Board's Ad Hoc Working Group on the Independent External Evaluation of UNESCO

The Executive Board,

1. Recalling 35 C/Resolution 102 and 185 EX/Decision 18,
2. Having examined the report on the independent external evaluation of UNESCO as contained in documents 185 EX/18 and Add.,

#### I. Increasing UNESCO's focus

3. Acknowledging the need for a greater focus of UNESCO's programme, based upon its constitutional mandate, within the scope of its overarching/strategic programme objectives and bearing in mind its five recognized functions,
4. Recognizing the need to strengthen UNESCO's focus with a view to allocating a critical mass of its budgetary resources to activities permitting the attainment of relevant expected results and a clear impact,
5. Underscoring the need to define ways and procedures to achieve greater focus in all UNESCO programmes as well as in the field,
6. Recommends that the General Conference adopt, at its 36th session, a limited number of strategic objectives, taking into account relevant internationally agreed development goals, including the Millennium Development Goals (MDGs), and other United Nations goals, with which programmes should be associated, in order to maximize impact;
7. Further recommends that the General Conference adopt, at its 36th session, a four-year programming cycle and an appropriate revision mechanism, with a view to increasing stability and coherence and enhancing the collaboration of UNESCO with its Member States in implementing the programme and mobilizing extrabudgetary resources, while maintaining a two-year budgetary programme;
8. Propose to the General Conference, at its 36th session, that the new C/5 document be informed by a Medium-Term Strategy (C/4), presented in a brief, succinct manner, of a rolling nature with an eight-year time frame;
9. Decides to develop, in the context of the proposed four-year programming cycle, a programme and timetable of work for the preparation and monitoring of the C/5 and C/4 documents to be submitted for adoption to the General Conference at its 37th session ;
10. Also decides to adopt more detailed terms of reference and clear methods of work for its C/4 and C/5 drafting groups at the time of their establishment;
11. Recommends that the three organs of UNESCO systematically apply clear, precise criteria when introducing new and maintaining existing programmes in the C/5 document, such as, *inter alia*:
  - (a) alignment with the overarching/strategic programme objectives;

- (b) determination of the capacity to deliver and the probability of real impact through assessment of the budgetary and human resources available;
  - (c) delineation and comparative advantage as well as complementarity with the activities of United Nations partners;
  - (d) formulation of exit strategies and sunset provisions;
  - (e) periodic assessment of programmes, their implementation rates and exit strategies based on decision-oriented evaluations;
12. Invites the Director-General to ensure that the above-mentioned criteria are also applied to activities financed through extrabudgetary funds, and that such activities are subject to accountability measures;
13. Further invites the Director-General to promote intersectorality in programme development and implementation in order to reinforce synergies;
14. Requests the Director-General to conduct a comprehensive review of the consultation process on the C/4 and C/5 documents with a view to enhancing priority-setting, allowing informed decision-making, and properly reflecting the opinions of Member States, and therefore invites the Director-General to propose a new consultation process to the Executive Board at its 187th session which includes a quantitative approach (i.e. through allocation of points) as well as a qualitative approach (i.e. based on an analysis of evaluation results);
15. Further requests the Director-General to ensure that regional consultations on the C/5 document are addressed to Member States, including their National Commissions, with no additional cost implications;
16. Calls on the Director-General to further strengthen results-based management by:
- (a) providing information in the C/5 document that is in conformity with recommendation 3 of 33 C/Resolution 92;
  - (b) ensuring that expected results are, where possible, expressed in terms for which the Organization can be held accountable;
  - (c) reinforcing the current process towards better reports on the execution of the programme – EX/4 documents – in line with 34 C/Resolution 89 and 176 EX/Decision 29, including through the provision of an executive summary in these documents.

## **II. Positioning UNESCO closer to the field**

17. Acknowledging the need to position UNESCO closer to the field,
18. Decides to ensure that the introduction of the field network architecture is based on the principles referred to in 185 EX/Decision 29, notably in paragraphs 4 and 5, and is implemented with the necessary flexibility;
19. Requests the Director-General to further ensure the effectiveness of the field network architecture by, *inter alia*, responding to the specific needs and context of each region and subregion, while bearing in mind efforts to increase UNESCO's focus;
20. Also requests the Director-General to:

- (a) ensure policy coherence between country-level, subregional, regional and global priority-setting, planning, implementation, monitoring and reporting activities, while maintaining a coherent results-based approach;
- (b) define clearly the specific responsibilities, roles and expected outcomes of entities at all organizational levels – including category 1 institutes – as well as the expected synergies between levels;
- (c) outline clearly the intended reporting line and chain of command in the proposed new field network architecture, and update the tables of authority and accountability as required;
- (d) strengthen the coordination and synergy between Headquarters and field offices;
- (e) ensure an ongoing evaluation process of the reform of the field network so as to identify necessary adjustments if required, in addition to a comprehensive review and evaluation of the proposed new field structure and its impact (x) years after its implementation;
- (f) ensure the provision of the necessary professional skills and competencies (both managerial and programmatic) required to meet the high quality standards necessary for the successful implementation of the strengthened field presence;
- (g) include in the new human resources strategy the necessary provisions and incentives to facilitate an effective and results-oriented implementation of the proposed new field structure;
- (h) provide a detailed estimate of the costs of the proposed new field structure;

### **III. Strengthening UNESCO's participation in the United Nations**

- 21. Acknowledging the need for a stronger UNESCO engagement, better coordination and greater convergence with other United Nations agencies,
- 22. Decides to work with the Director-General and the General Conference to strengthen UNESCO's participation in the United Nations system and its contribution to system-wide coherence in order to improve UNESCO's effectiveness and positioning as a more significant actor within the United Nations;
- 23. Invites the Director-General to further strengthen the effectiveness of UNESCO's participation in joint United Nations planning and implementation processes at all organizational levels, as well as in the harmonization of business practices;
- 24. Recommends, in accordance with United Nations General Assembly resolution 63/232, the alignment of UNESCO's programme cycle with the new quadrennial comprehensive policy review of operational activities for development of the United Nations system, while bearing in mind efforts to increase UNESCO's focus;
- 25. Requests the Director-General to provide periodically information to the Executive Board on UNESCO's participation in United Nations coordination mechanisms and on inter-agency collaboration;
- 26. Also invites the Director-General to provide, when reporting on the field network, a clear definition of the role of the UNESCO liaison offices to the United Nations in New York and Geneva, as well as of the role of the newly established liaison offices with the African Union and the European Union;



27. Further requests the Director-General to develop a communication mechanism to provide Member States with systematic updates on the work of the liaison offices in New York and Geneva on issues related to UNESCO's mandate, with a view to enhancing policy coherence;
28. Encourages the Director-General to continue implementing the policies of geographical mobility and of inter-agency mobility within the United Nations, as well as developing the lists of competencies required for the posts of United Nations resident coordinators.

#### **IV. Strengthening governance**

29. Recalling the distinctive roles and responsibilities of the three organs of the Organization as defined by UNESCO's Constitution, and the need to avoid duplication, disconnect and responsibility drift,
30. Recognizing the complexity of translating these roles into clear-cut procedures and practices in the daily running of the Organization,
31. Recalling its overall executive role and the need to avoid impinging on the managerial and implementational role of the Secretariat,
32. Underscoring Article VI.5 of the Constitution, which states that "Each State Member of the Organization undertakes to respect the international character of the responsibilities of the Director-General and the staff, and not to seek to influence them in the discharge of their duties",
33. Acknowledging the need to further reform the Organization, and strengthen and enhance the coherence of governance within UNESCO with the aim of achieving the following:
  - (a) strengthening the role of the General Conference in strategy and policy formulation, priority-setting and decision-making;
  - (b) strengthening the participation of Member States in the work of UNESCO, *inter alia*, through programme delivery, strategic direction for the Secretariat, and enhancement of international cooperation;
  - (c) strengthening the monitoring role of the Executive Board in the execution of UNESCO's programmes, including follow-up to the recommendations of all evaluations;
  - (d) improving the quality and relevance of decisions by ensuring the provision of substantive, evidence-based information for the General Conference and Executive Board discussions;
34. Invites the Director-General to develop, in consultation with the Executive Board and the General Conference, an accountability framework for the relations between the governing bodies and the Secretariat;
35. Also invites the Director-General to submit to it at its 189th session a proposal for the establishment of a pilot monitoring mechanism involving representatives of Member States and the Secretariat to identify differences in expectations, duplications of functions and other "grey areas" in the interaction between the governing bodies and the Secretariat, in order to improve their working relations and enhance the efficiency of the Organization;

36. Further invites the Director-General to formally submit to the governing bodies relevant new initiatives within their prerogative prior to taking action;
37. Encourages the Director-General to make better use of the information meetings of the Secretariat by allowing, through consultations with regional groups, Member States to identify periodically the subjects which they would like to discuss;
38. Requests its Chairperson to convene a half-day special session of the Executive Board, when required, for the Director-General to consult the Board under the terms of Rule 59 of its Rules of Procedure;
39. Decides to organize the sessions and draw up the agendas of the General Conference with different tasks for each of its biennial sessions, calibrated to the requirements of managing a four-year programming cycle;
40. Proposes that the General Conference consider some items, upon recommendation of the Executive Board, without a preliminary debate, proceeding directly to the examination of the draft resolution texts, unless a Member State requests that such a debate takes place;
41. Invites the Director-General to present all decisions of the governing bodies of international and intergovernmental programmes and UNESCO international conventions having financial implications for the C/5 document in a single, well-structured report;
42. Recommends that the General Conference merge its ADM Commission (Finance and Administration) and its PRX Commission (General Questions, Programme Support and External Relations), on an experimental basis;
43. Also recommends that the General Conference formalize within its Rules of Procedure the current practice whereby programme commissions submit to plenary draft resolutions to amend the C/4 and C/5 documents;
44. Requests that the recommendation that draft resolutions with financial implications clearly identify the main line of action (MLA) from which the resources should come be made an admissibility criterion for such draft resolutions;
45. Also decides to organize its sessions and draw up its agendas with different tasks covering, *inter alia*, the major programmes for each of its sessions consistent with the requirements of managing a four-year programming cycle, and develop a biennial programme for its thematic plenary debates;
46. Further decides to increase the number of items discussed in joint meetings of the Programme and External Relations (PX) and Finance and Administrative (FA) Commissions in order to avoid duplication and unnecessary repetition of debates;
47. Requests the Director-General to propose to it at its 187th session a quality framework for Executive Board documents to ensure concise, analytical and action-oriented reports, taking into account all previous decisions, in particular 179 EX/Decision 19;
48. Requires, notwithstanding the right of Member States to present amendments, all substantive amendments to draft decisions to be provided in writing, and to be projected on-screen during the debates in the commissions, in order to improve the quality of Executive Board decisions;
49. Decides to ensure that draft decisions relating to the C/4 and C/5 documents be agreed in the respective commissions of the Executive Board prior to their consideration by the

Drafting Group, thus ensuring that no new draft decisions are introduced in the meetings of the latter;

50. Also decides to adopt criteria similar to those of the General Conference for draft decisions aimed at amending the C/5 document at sessions of the Executive Board;
51. Further decides to suspend the work of the Group of Experts on Financial and Administrative Matters from the Board's 188th session, for an experimental period of two years;
52. Decides to establish, at its 188th session, on an experimental basis, an Ad Hoc Group with enhanced participation by all UNESCO Member States to support the preparation of the two plenary commissions of the Executive Board session, as described in the Annex;
53. Requests the Director-General to submit a comprehensive report on the UNESCO Secretariat accountability framework and its monitoring and evaluation mechanisms;
54. Invites the Director-General to put in place a change management team to ensure coherent implementation of the overall reform of the Organization.

#### **V. Developing a partnership strategy**

55. Acknowledging the need for UNESCO to develop a comprehensive policy and accountability framework for strategic partnerships that looks outwards to civil society, expert communities and the private sector,
56. Invites the Director-General to develop, in close cooperation with Member States, a draft comprehensive and outward-looking UNESCO policy framework for strategic partnerships, to be submitted to it at its 187th session for transmission to the General Conference at its 36th session;
57. Encourages the Director-General to take stock of and critically assess UNESCO's experience in working with different categories of partners, in order to base the comprehensive policy framework for strategic partnerships on lessons learnt and examples of good practices;
58. Suggests that the Director-General include in the comprehensive policy framework distinct strategies for each category of partners, within the entire range of UNESCO's programmes, as well as specific measures:
  - (a) to reach out to the range of partners of strategic interest to UNESCO, including IGOs, NGOs, civil society, expert communities, the private sector and other partners;
  - (b) to cover all forms of cooperation, including advisory functions to UNESCO, programme implementation and funding;
  - (c) to identify clear and objective criteria for the selection, approval and renewal of partnerships which, *inter alia*, allow the Director-General to respond quickly to partnership opportunities;
  - (d) to identify key elements to be included in all partnership agreements, including specific objectives, cooperation modalities, funding and accountability arrangements, duration and criteria for periodic evaluation of the cooperation and its impact;

- (e) to strike a better balance in partnerships from different regions, in particular from the South;
- 59. Decides to consider reviewing the mandate and working methods of the NGO Committee in order to make its work more focused;
- 60. Also invites the Director-General, in the interest of full transparency, to make available on the Internet updated information on all partnerships, and to report biennially to the Executive Board on activities under the comprehensive policy framework for strategic partnerships, including UNESCO funding to/from partners, an assessment of the outcome and impact of partnerships, the challenges identified, and the corrective measures taken;
- 61. Requests the Director-General to provide, in the course of the next biennium, a full overview of all UNESCO networks and the initiatives undertaken to strengthen the overall management of UNESCO's networks, with a view to optimizing the impact and value of the latter;
- 62. Also decides to ensure that the future human resources strategy takes into account, both in recruitment criteria and in training provisions for existing staff, the specific competencies required to interact professionally with the full range of UNESCO's diverse partners, and to successfully manage UNESCO's networks.
- 63. Underlines the important and unique role of the National Commissions in liaising with national partners and civil society;
- 64. Calls upon the Director-General to ensure that relations between the Secretariat and National Commissions are conducted in accordance with Article VII of the Constitution.

## ANNEX

### PARAMETERS FOR AN AD HOC GROUP OF THE EXECUTIVE BOARD

#### I. Mandate

1. The final mandate of the Ad Hoc Group, to be established under Rule 17 of the Rules of Procedure of the Executive Board, will be determined by the Executive Board at its 188th session. Ideally, the mandate would be to examine a limited number of items (determined well in advance through consultations between the Chairpersons of the Executive Board, the Programme and External Relations (PX) and Finance and Administrative (FA) Commissions and the Ad Hoc Group) so as to assist in the preparation of Executive Board discussions.
2. The items to be considered could include, *inter alia*, following examination, where appropriate, of information and documentation supplied by the Secretariat, the following:
  - (a) examination of information provided by the Director-General on the execution of the programme and related budget issues (contained in the EX/4 document), including intersectoral and extrabudgetary activities, as well as evaluations and their policy recommendations;
  - (b) preparations for and follow-up to major conferences and world reports, as required;

- (c) analysis of challenges and recommendations, as required, and how to address them through the ongoing programme implementation and in the planning of the future programme cycle;
- (d) preparation of substantive input to the draft Executive Board report to the General Conference on the implementation of the C/5 document (document C/9).

## **II. Working methods**

- 3. The Ad Hoc Group shall comprise 18 Board Members (3 from each electoral group) with enhanced participation by all UNESCO Member States.
- 4. The dates of the meetings of the Ad Hoc Group shall be determined so as to ensure that the results of its work are transmitted to Members of the Executive Board at least 10 working days before the opening of the session.
- 5. The duration of the Ad Hoc Group's meetings shall be determined by the Board, taking into account the general organization of its work and the related budgetary allocations.
- 6. The Ad Hoc Group shall work in English and French.
- 7. The States Members of the Executive Board designated as members of the Ad Hoc Group which do not have a permanent delegation in France may request financial assistance to facilitate their participation in the work of the group.
- 8. Concerning questions falling within its competence, the Ad Hoc Group may invite representatives of international organizations and relevant official partners, as well as qualified persons.



## General Conference

36th Session, Paris 2011

# 36 C

United Nations  
Educational, Scientific and  
Cultural Organization

Organisation  
des Nations Unies  
pour l'éducation,  
la science et la culture

Organización  
de las Naciones Unidas  
para la Educación,  
la Ciencia y la Cultura

Организация  
Объединенных Наций по  
вопросам образования,  
науки и культуры

منظمة الأمم المتحدة  
للتربية والعلم والثقافة

联合国教育、  
科学及文化组织

36 C/28 Add.  
26 October 2011  
Original: French

• Item 6.2 of the provisional agenda

## INDEPENDENT EXTERNAL EVALUATION OF UNESCO

### ADDENDUM

#### OUTLINE

This document contains 187 EX/Decision 17 Part II, adopted by the Executive Board at its 187th session after considering item 17 on this question. In that decision, the Executive Board requested, *inter alia*, that document 187 EX/17 Part II be submitted to the attention of the General Conference to inform its decision-making.

1. At its 187th session, the Executive Board considered document 187 EX/17 Part II "Follow-up to the independent external evaluation of UNESCO". In 187 EX/Decision 17 (II), it requested, *inter alia*, that the document be submitted to the attention of the General Conference to inform its decision-making.

2. This document sets out 187 EX/Decision 17 (II) here below. Document 187 EX/17 Part II is annexed hereto.

The Executive Board,

1. Recalling 186 EX/Decision 17 Part III, by which it had recommended that the General Conference, at its 36th session,

- (a) extend the C/4 cycle from six to eight years in 2014, starting with document 37 C/4, with an appropriate mechanism for adjusting to the most recent quadrennial comprehensive policy review,
  - (b) maintain the rolling character of UNESCO's Medium-Term Strategy so as to ensure that the substance and directives of two consecutive quadrennial comprehensive policy review documents be reflected in the Organization's strategic documents, as appropriate,
  - (c) extend the C/5 programme cycle from two to four years, starting with document 37 C/5 from 2014, with an appropriate mechanism for adjustments every two years,
  - (d) maintain the biennial cycle for the appropriation of the budget of the C/5 document,
2. Having examined document 187 EX/17 Part II and the proposed sequences discussed therein,
3. Taking note of the present report which specifies further the modalities for introducing the changes described in subparagraphs (a) to (d) above,
4. Reaffirms to the General Conference at its 36th session its recommendations as contained in paragraph 1 above;
5. Recommends that the General Conference invite the Director-General to propose during the 189th session of the Executive Board possible mechanisms for linking the programme and budgets in the new programme cycle;
6. Recommends that the General Conference invite the Director-General, when the programming cycle is implemented, to pay particular attention to the need to strengthen the monitoring and evaluation mechanisms for the programme and to strengthen the reform and coordination processes with field offices and other organizations of the United Nations system;
7. Requests that the present document be submitted to the attention of the General Conference to inform its decision-making.

**Executive Board**  
Hundred and eighty-seventh session

**187 EX/17**  
**Part II**

PARIS, 2 September 2011  
Original: English

Item 17 of the provisional agenda

**FOLLOW-UP TO THE INDEPENDENT EXTERNAL EVALUATION OF UNESCO  
REPORT BY THE DIRECTOR-GENERAL ON MODALITIES FOR INTRODUCING  
THE CHANGES IN UNESCO'S PROGRAMME CYCLE WITH REFERENCE TO  
THE QUADRENNIAL COMPREHENSIVE POLICY REVIEW OF OPERATIONAL  
ACTIVITIES FOR DEVELOPMENT OF THE UNITED NATIONS SYSTEM**

**SUMMARY**

This report is pursuant to 186 EX/Decision 17 Part III, which had recommended that the General Conference, at its 36th session,

- (a) extend the C/4 cycle from six to eight years in 2014, starting with document 37 C/4, with an appropriate mechanism for adjusting to the most recent quadrennial comprehensive policy review;
- (b) maintain the rolling character of UNESCO's Medium-Term Strategy so as to ensure that the substance and directives of two consecutive quadrennial comprehensive policy review documents be reflected in the Organization's strategic documents, as appropriate;
- (c) extend the C/5 programme cycle from two to four years, starting with document 37 C/5 from 2014, with an appropriate mechanism for adjustments every two years;
- (d) maintain the biennial cycle for the appropriation of the budget of the C/5 document.

This report examines possible modalities for introducing the changes outlined in paragraphs (a) to (d) above.

This document does not have any direct financial and administrative implications.

Action expected of the Executive Board: draft decision in paragraph 20.



## I. BACKGROUND

1. At its 63rd session in 2008, the United Nations General Assembly by resolution 63/232 on “Operational activities for development” had decided to change the comprehensive policy review of operational activities for development of the United Nations system from a triennial to a quadrennial cycle “in order to better provide policy guidance to the United Nations funds and programmes and the specialized agencies”. It had furthermore decided to commence its next comprehensive policy review in 2012. By the same resolution, the United Nations General Assembly “urges the funds and programmes and encourages the specialized agencies to carry out any changes required to align their planning cycles with the quadrennial comprehensive policy review (QCPR), including the implementation of mid-term reviews as necessary” (para. 20).

2. In line with General Assembly resolution 63/232, UNESCO’s General Conference had at its 35th session by Resolution 82 (ii) “Report by the Director-General on the implementation of the reform process – Decentralization strategy” requested the Executive Board “to submit to it proposals to accommodate the United Nations General Assembly’s request to specialized agencies to align their programme cycle with the new quadrennial cycle of policy review of operational activities for development of the United Nations system, starting in 2012”. Documents 184 EX/5 and 185 EX/19 provided an initial assessment and a progress report on the matter, as part of reporting on the “Follow-up on the implementation of United Nations General Assembly resolution 62/208 concerning the triennial comprehensive policy review of operational activities for development of the United Nations system”. Document 186 EX/17 Part III provided then a thorough analysis of the implications, *inter alia* programmatic, financial and administrative, of changing the C/4 and C/5 cycles. The issue has furthermore been discussed in the context of the follow-up to the independent external evaluation.

3. Subsequently, and building on the information provided in document 186 EX/17 Part III, the Executive Board had by 186 EX/Decision 17 Part III recommended that the General Conference, at its 36th session,

- (a) extend the C/4 cycle from six to eight years in 2014, starting with document 37 C/4, with an appropriate mechanism for adjusting to the most recent quadrennial comprehensive policy review;
- (b) maintain the rolling character of UNESCO’s Medium-Term Strategy so as to ensure that the substance and directives of two consecutive quadrennial comprehensive policy review documents be reflected in the Organization’s strategic documents, as appropriate;
- (c) extend the C/5 programme cycle from two to four years, starting with document 37 C/5 from 2014, with an appropriate mechanism for adjustments every two years;
- (d) maintain the biennial cycle for the appropriation of the budget of the C/5 document.

4. The Executive Board further requested the Director-General to submit to it at its 187th session a report on the modalities for introducing the changes outlined in points (a) to (d) above. The present document responds to this request.

## II. RATIONALE FOR ALIGNMENT WITH THE NEW CYCLE

5. Executive Board documents 185 EX/19 and 186 EX/17 Part III have already provided a detailed analysis of the incentives and reasons for alignment with the QCPR, as well as the arguments which had originally motivated the United Nations General Assembly to support the change of the comprehensive policy review from a triennial to a quadrennial cycle.

6. The comprehensive policy review continues to constitute a key reference text to orient the development cooperation activities of the United Nations system, including through United Nations

coordination and inter-agency collaboration at the country level. The last comprehensive policy review, the *2007 Triennial comprehensive policy review (TCPR) of operational activities for development of the United Nations system* (United Nations General Assembly resolution 62/208) offered detailed policy guidance in the areas of funding, national capacity development and development effectiveness, as well as improved functioning on the United Nations development system. As such, it had been submitted to, and discussed by, UNESCO's Executive Board in a series of documents (179 EX/INF.11, 180 EX/52, 181 EX/49, 184 EX/5, and 185 EX/19, as well as 186 EX/17 Part III). The provisions of the comprehensive policy review are in particular relevant as a matter of system-wide coherence and consistency at the country level.

7. By resolution 62/208, the United Nations General Assembly had underscored the importance of ensuring that the strategic plans of funds and programmes were consistent with, and guided by, the comprehensive policy review (para. 97). Originally, the programming cycles of the funds and programmes were not synchronized with the cycle of the review. It was found that in the past “the interface between the current planning processes of the four funds and programmes and the triennial comprehensive policy review did not allow the plans to benefit from the guidance of the latest review in a timely manner. The plans were either prepared much ahead of the triennial comprehensive policy review, or were already being implemented when the latest review was being conducted. The timing gaps were rather significant” (63/207, para. 29). The objective was that “better alignment of the strategic planning processes of the funds and programmes with the cycle of the comprehensive policy review, thereby ensuring that the strategic plans were finalized upon the conclusion of the comprehensive policy review, would improve the conditions for the strategic plans to reflect the guidance of the review” (63/207, para. 3). This was also taken up by the United Nations General Assembly resolution on “System-wide Coherence”, adopted on 2 July 2010, by which the General Assembly *inter alia* “encourages governing bodies of the funds, programmes and specialized agencies of the United Nations development system to include in their strategic plans, as appropriate, specific provisions for the full implementation of policy guidance provided in the Comprehensive Policy Review of the General Assembly” (paragraph 9).

8. The request to align the strategic plans with the comprehensive policy review is addressed to all organizations of the United Nations system, funds and programmes as well as specialized agencies. It is part of an overall effort to improve coherence in the actions and functioning of the United Nations development system, based on guidance given by Member States. Taking into account the general themes and approaches outlined in the comprehensive policy review, it seeks to bolster consistency among different United Nations organizations' strategies and strategic plans.

9. In addition to this system-wide concern, UNESCO's Executive Board had also focused on the institutional implications – opportunities and challenges alike – which would be associated with a change of cycle of programming documents, including in the context of follow-up to the independent external evaluation. While the General Assembly's request – and the response of the United Nations funds and programmes hereto – had focused on aligning the strategic plans/medium-term strategy documents to the QCPR (corresponding to UNESCO's C/4 document), UNESCO's Executive Board had subsequently recommended to the General Conference, by 186 EX/Decision 17 Part III, a change in the cycle of the programme part of the C/5, in addition to changing the C/4 cycle.

### **III. MODALITIES FOR INTRODUCING THE RECOMMENDED CHANGES IN PROGRAMME CYCLES**

10. UNESCO's General Conference is the principal governing body which determines the policies and the main lines of work of the Organization. In general, changes in the programme cycles of the C/4 (recommendations (a) and (b) of 186 EX/Decision 17 Part III) and C/5 (recommendations (c) and (d) of 186 EX/Decision 17 Part III) have to be decided by a resolution to that effect, adopted by the General Conference at a prior session. Both to change the C/4 and the C/5 cycles will then take effect as of 2014 with the implementation of the 37 C/4 and 37 C/5 documents.

11. The timetable in the Annex gives an overview of the different timelines involved, including those of the QCPR, the C/4 documents, the C/5 documents, as well as the sessions of the General Conference and Executive Board.

#### IV. NATURE OF THE NEW C/4 AND C/5 DOCUMENTS

12. The table in document 186 EX/17 Part III (Annex III) had provided already a detailed analysis of the implications, *inter alia* programmatic, financial and administrative, of changing the C/4 and C/5 cycles. It had discussed in detail aspects such as opportunities for programming, monitoring, and evaluation; relevance of results to UNDAF or equivalent common country programming exercises; relationship between the programme and the budget; implications for the agenda of the General Conference session; as well as on the frequency and nature of C/5 consultations. The present document will provide further preliminary information on how the new C/4 and C/5 documents could be conceived.

##### (a) The Medium-Term Strategy (C/4 document)

13. Each C/4 document of eight years would cover two C/5 documents of four years, and would be a “rolling” strategy, allowing for amendments and changes after the initial four years. The C/4 document would be expected to be **more strategic in nature**, and more succinct, constituting a policy document rather than a programme management document. As such, the new C/4 document would outline the core functions and main modalities of work for the Organization, and set the context for UNESCO’s action, taking account also of the new aid environment and the reforming United Nations system. It could also specify the role of the Organization at country, regional and global levels. In line with previous practice, the C/4 document would furthermore identify a limited number of principal priorities and strategic objectives, and feature a mission statement.

14. The **strategic and programmatic lead function** of the C/4 document would be maintained in the new scenario. It would provide the principles guiding the formulation of the C/5 programme and budget, without however attempting to define in detail the activities of the Organization.

15. Through the **rolling character** of the C/4 document, an opportunity for strategic discussion and guidance is being created. The currently existing 34 C/4 document had already, by decision of the General Conference, been cast as a “rolling” strategy, allowing for revision every two years by the General Conference – although this rolling provision has never been invoked. Under the new and longer duration of eight years for the Medium-Term Strategy, the opportunity for revision and adjustment may become more relevant, as it will need to respond to a changing environment and global context over a longer period of time, as well as to the QCPR, where relevant.

##### (b) The Organization’s Programme (programme part of the C/5 document)

16. The programmatic part of the new C/5 document would run over a period of four years, while the appropriation of the budget would continue to be adopted every two years. With the longer duration of the programme part, the time horizon available for **planning, implementing and monitoring** would double from two to four years. Hence, the scope, depth, and ambition of the expected programmatic results UNESCO seeks to achieve within a C/5 period may well be increased, while allowing for a better assessment of the **impact** of the Organization’s action. Arguably, the longer-term planning horizon and the increased stability and predictability associated with this longer time frame might be more appropriate to deliver results on complex and interdisciplinary issues within UNESCO’s realm.

17. A larger time span for **implementation and delivery** might allow better opportunities for monitoring implementation of the C/5 programme, including also adjustments of ongoing activities in light of monitoring information. This might also lend itself to a more comprehensive, evidence-

based assessment of the results and their impact, a better feedback on evaluations and a better sharing of experience, identification and exchanges of good practices as well as lessons learned.

18. A four-year programming and planning process might afford more opportunities for coordinating more efficiently substantive matters and programme results, including between Headquarters and field offices, and among field offices, e.g. on a regional basis as well as with external stakeholders. Intensified exchange and coordination during planning processes could bring about not only greater programme clarity and coherence, but also a better division of work between Headquarters, regional and country levels.

## V. SEQUENCE FOR THE INTRODUCTION OF THE NEW C/4 AND C/5 DOCUMENTS

19. Focusing on documents 37 C/4 (2014-2021) and 37 C/5 (2014-2017), a sequence of events and processes for the introduction of the C/4 and C/5 as well as the rolling character of both documents is illustrated in the below table:

|                    |      |                                    |  |
|--------------------|------|------------------------------------|--|
| Preparatory year 1 | 2012 | February/ March                    | Preparation and dispatch of <b>questionnaire</b> for the new C/4 and C/5 documents to Member States, NGOs and intergovernmental organizations.   |
|                    |      | Spring session EXB (189th session) | The Director-General <b>reports</b> to the Executive Board about the preparations made for the 37 C/4 and the 37 C/5 process.  |
|                    |      | May/June                           | <b>Subregional cluster consultations</b> to prepare regional consultations on the 37 C/4 document and the programme and budgetary parts of the 37 C/5 document.  |
|                    |      | May-July                           | <b>Regional consultations</b> , building also on the subregional consultations held. Each regional consultation adopts a report – including recommendations – which will be submitted for information to the Executive Board at its subsequent autumn session.   |
|                    |      | Mid August                         | <b>Preliminary proposals</b> by the Director-General for the 37 C/4 and the 37 C/5 documents: The Director-General prepares a document containing her preliminary proposals for documents 37 C/4 and 37 C/5, bearing in mind the outcomes of the regional consultations, as well as the written replies to the questionnaire received.   |
|                    |      | Autumn session EXB (190th session) | Executive Board <b>adopts decision concerning the 37 C/4 and the 37 C/5</b> : The Board (i) considers the preliminary proposals of the Director-General for the 37 C/4 and the 37 C/5, together with the outcomes of the written consultations and the report of the regional consultations, and (ii) adopts a decision providing a framework as well as strategic policy directions to the Director-General for the formulation of the 37 C/4 and the 37 C/5. |

|                       |      |   |   |
|-----------------------|------|---|---|
| Preparatory year 2    | 2013 | One month prior to EXB spring session           | Statutory deadline <b>for submission to the Executive Board Members of draft documents 37 C/4 and 37 C/5.</b>   |
|                       |      | Spring session EXB (191st session)              | The Executive Board <b>adopts</b> its decision with recommendations on the draft 37 C/4 and the draft 37 C/5: The Board considers the draft documents 37 C/4 and 37 C/5 and adopts a decision containing its observations and recommendations on the documents. These will be dispatched to all Member States within the statutory deadline (three months before the opening of the General Conference) and subsequently examined by the <b>General Conference</b> at its ensuing session.  |
|                       |      | 37th Session of the General Conference (Autumn) | <b>Adoption of the 37 C/4 and the 37 C/5 by the General Conference.</b> The General Conference considers the draft 37 C/4 and 37 C/5 documents in light of the recommendations by the Executive Board and taking into account the amendments submitted by Member States.  |
| Implementation year 1 | 2014 |   | Implementation of the 37 C/4 – year 1<br>Implementation of the 37 C/5 <sup>1</sup> – year 1 (UNESCO operates with a C/5 document containing a four-year programme and two-year budgetary appropriation).  |
| Implementation year 2 | 2015 |   | Implementation of the 37 C/4 – year 2<br>Implementation of the 37 C/5 – year 2  |
|                       |      | Spring session EXB (196th session)              | The Executive Board discusses<br>(i) <b>preliminary proposals for the budgetary appropriation for years 3 and 4</b> of the 37 C/5;<br>(ii) possible programmatic adjustments for years 3 and 4 of the 37 C/5.   |
|                       |      | 38th session of the General Conference          | The General Conference considers the proposed draft budget for years 3 and 4 of the 37 C/5 in light of the Executive Board's recommendations, and <b>adopts the appropriation resolution for 2016-2017</b> . The same holds for any programmatic changes that may be necessary for years 3 and 4 of the 37 C/5.<br><br>The process for the preparation of the 39 C/5 is triggered.<br><br>Furthermore, the General Conference considers possible adjustments to the 37 C/4 to be submitted at its 39th session and issues guidance in this respect. |
| Implementation year 3 | 2016 |   | Implementation of the 37 C/4 – year 3<br>Implementation of the 37 C/5 – year 3.   |

<sup>1</sup> Implementation of the C/5 document is accompanied by regular monitoring and reporting, including as documented in the EX/4 documents.

|                       |      |  |   |
|-----------------------|------|--|---|
| Implementation year 4 | 2017 |  | Implementation of the 37 C/4 – year 4<br>Implementation of the 37 C/5 – year 4.   |
|                       |      | Spring session EXB (201st session)     | <b>Rolling the C/4:</b> The Executive Board discusses possible adjustments for years 5-8 of the 37 C/4 strategy (rolling the C/4) in light of the General Conference guidance.  |
|                       |      | 39th session of the General Conference | <b>Adoption</b> of changes proposed to the C/4: The General Conference considers the proposed changes to the Medium-Term Strategy 37 C/4 in light of the Executive Board's recommendations, and <b>adopts them</b> .<br><br>(The General Conference also adopts with document 39 C/5 a new quadrennial programme – see Annex. The new QCPR also takes effect as of 2017). |
| ...                   | ...  | ...                                    | ...   |
| Implementation year 8 | 2021 |  | Implementation of the 37 C/4 – year 8   |

### Action expected of the Executive Board

20. In view of the above, the Executive Board may wish to adopt a decision along the following lines:

The Executive Board,

1. Recalling 186 EX/Decision 17 Part III, by which it had recommended that the General Conference, at its 36th session,
  - (a) extend the C/4 cycle from six to eight years in 2014, starting with document 37 C/4, with an appropriate mechanism for adjusting to the most recent quadrennial comprehensive policy review,
  - (b) maintain the rolling character of UNESCO's Medium-Term Strategy so as to ensure that the substance and directives of two consecutive quadrennial comprehensive policy review documents be reflected in the Organization's strategic documents, as appropriate,
  - (c) extend the C/5 programme cycle from two to four years, starting with document 37 C/5 from 2014, with an appropriate mechanism for adjustments every two years,
  - (d) maintain the biennial cycle for the appropriation of the budget of the C/5 document,
2. Having examined document 187 EX/17 Part II and the scenarios discussed therein, as well as their respective implications,
3. Taking note of the present report which specifies further the modalities for introducing the changes described in subparagraphs (a) to (d) above,

4. Reaffirms to the General Conference at its 36th session its recommendations as contained in paragraph 1 above;
5. Requests that the present document be submitted to the attention of the General Conference to inform its decision-making.

## ANNEX

### TIMELINES

|                  |            |            |            |                  |            |            |            |                  |            |            |            |            |
|------------------|------------|------------|------------|------------------|------------|------------|------------|------------------|------------|------------|------------|------------|
| C/5              |            |            |            | 37 C/5 Programme |            |            |            | 39 C/5 Programme |            |            |            | 41 C/5...  |
| C/4              |            |            |            | 37 C/4           |            |            |            |                  |            |            |            | 41 C/4...  |
| QCPR             |            |            | QCPR       |                  |            |            | QCPR       |                  |            |            | QCPR ...   |            |
| Year             | 2011       | 2012       | 2013       | 2014             | 2015       | 2016       | 2017       | 2018             | 2019       | 2020       | 2021       | 2022       |
| EXB /GC sessions | 186<br>EXB | 189<br>EXB | 191<br>EXB | 194<br>EXB       | 196<br>EXB | 199<br>EXB | 201<br>EXB | 204<br>EXB       | 206<br>EXB | 209<br>EXB | 211<br>EXB | 214<br>EXB |
|                  | 187<br>EXB | 190<br>EXB | 192<br>EXB | 195<br>EXB       | 197<br>EXB | 200<br>EXB | 202<br>EXB | 205<br>EXB       | 207<br>EXB | 210<br>EXB | 212<br>EXB | 215<br>EXB |
|                  | 36 GC      |            | 37 GC      |                  | 38 GC      |            | 39 GC      |                  | 40 GC      |            | 41 GC      |            |
|                  | 188<br>EXB |            | 193<br>EXB |                  | 198<br>EXB |            | 203<br>EXB |                  | 208<br>EXB |            | 213<br>EXB |            |





## General Conference

36th Session, Paris 2011

# 36 C

United Nations  
Educational, Scientific and  
Cultural Organization

Organisation  
des Nations Unies  
pour l'éducation,  
la science et la culture

Organización  
de las Naciones Unidas  
para la Educación,  
la Ciencia y la Cultura

Организация  
Объединенных Наций по  
вопросам образования,  
науки и культуры

منظمة الأمم المتحدة  
للتربية والعلم والثقافة

联合国教育、  
科学及文化组织

36 C/28 Add. 2  
1 November 2011  
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Item 6.2 of the agenda

## INDEPENDENT EXTERNAL EVALUATION OF UNESCO

### ADDENDUM 2

#### Review of the consultation process concerning the C/4 and C/5 documents

#### OUTLINE

This document contains 187 EX/Decision 17 (III-A), adopted by the Executive Board at its 187th session after considering item 17 on this question. Paragraph 5 of the decision is submitted to the General Conference for consideration.

1. At its 187th session, the Executive Board considered document 187 EX/17 Part III-A, "Follow-up to the independent external evaluation of UNESCO".
2. This document sets out 187 EX/Decision 17 (III-A), paragraph 5 of which is submitted to the General Conference for consideration.

#### A

The Executive Board,

1. Having considered document 187 EX/17 Part III by the Director-General on a new consultation process for the C/4 and C/5 documents,

2. Takes note with interest of the Director-General's proposals;
3. Recognizes the added value of National Commissions, in the consultation process of the C/4 and C/5 documents on programme priorities and orientation;
4. Invites the Director-General to submit at the 191st session of the Executive Board a proposal for the organization of the regional consultation meetings, including format, structure, costs and expected outcome, with a view to allow more informed and focused discussions;
5. Recommends to the General Conference that:
  - it maintain the current practice of holding regional consultations on programme matters , as proposed by the Director-General, for the transitional period 2012-2013 and that thereafter there be regional consultations every four years starting in 2016 for the preparation of the four-year Programme and Budget (C/5 document); and that the consultations for the preparation of the eight-year Medium-Term Strategy (C/4 document) be held in 2020;
  - the questionnaire on the Programme and Budget be circulated to Member States, National Commissions, NGOs and United Nations organizations, and that the results of this questionnaire be made available before the regional consultation meetings, allowing for a more informed and focused discussion;
  - a quantitative and qualitative approach to the questionnaire be introduced to facilitate decision-making by Member States and to provide for more informed priority-setting;
6. Recognizes the relevance of the Quadrennial Conferences of National Commissions and Capacity-Building Workshops of National Commissions, and takes note of the proposal to shorten them and to hold them in conjunction with the regional consultation meetings on the C/5 document.