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Educational, Scientific and  
Cultural Organization

# Executive Board

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Item 5 of the provisional agenda

## **FOLLOW-UP TO DECISIONS AND RESOLUTIONS ADOPTED BY THE EXECUTIVE BOARD AND THE GENERAL CONFERENCE AT THEIR PREVIOUS SESSIONS**

### **PART I: PROGRAMME ISSUES**

#### **B. OPTIONS FOR THE PROCESS TO ELABORATE A PRELIMINARY TEXT OF A NON-BINDING DECLARATION OF ETHICAL PRINCIPLES IN RELATION TO CLIMATE CHANGE**

##### **SUMMARY**

This document provides additional information to 199 EX/5 Part I, B. It contains cost estimates for the proposed options for the process to elaborate a preliminary text of a declaration.



## BACKGROUND

1. The General Conference of UNESCO, at its 38th session (Paris, November 2015), invited the Director-General “to prepare a preliminary text of a non-binding declaration on ethical principles in relation to climate change”, which is to be submitted to the General Conference at its 39th session in 2017 (38 C/Resolution 42).

## PROCEDURE TO BE FOLLOWED

2. The preparation of such a preliminary text is guided by the “Multi-stage procedure for the elaboration, examination, adoption and follow-up of declarations, charters and similar standard-setting instruments adopted by the General Conference and not covered by the Rules of Procedure concerning recommendations to Member States and international conventions covered by the terms of Article IV, paragraph 4, of the Constitution”.

3. The General Conference, by 38 C/Resolution 42, indicated that this declaration is to complement existing reference instruments and its preparation is to be carried out:

- in cooperation with the World Commission on the Ethics of Scientific Knowledge and Technology (COMEST);
- in consultation with Member States;
- taking into consideration the outcome of negotiation processes within the framework of COP-21 and COP-22 in 2015 and 2016.

4. The General Conference also invited the Director-General “to submit to the Executive Board at its 199th session options for the process” (38 C/Resolution 42).

5. The multi-stage procedure requires that a preliminary text (hereinafter, a draft declaration) be submitted by the Director-General to the General Conference with the recommendations of the Executive Board thereon. This means the maximum window for action is about 14 months (April 2016-June 2017).

## MAIN STAGES OF THE PROCESS

6. Based on the experience of drawing up other normative instruments, the Secretariat would propose the following three-stage process:

- Stage 1: preparation of the first draft (April-September 2016);
- Stage 2: consultations with Member States (September/October-January/February 2017); and
- Stage 3: preparation of a final draft, integrating comments (January/March-July 2017 not later than one month prior to the date of submission of documents to the 202nd Executive Board session to be held from 11 to 24 October 2017).

7. After these three stages, the Executive Board will consider the matter and give its recommendations at the 202nd session in 2017, and the draft, together with the recommendations of the Executive Board, will be transmitted to the General Conference at its 39th session.

8. Given the debate during the 38th session of the General Conference, inclusion of Member States may be considered the most important criterion for the design of a process.

## STAGE 1: AN AD HOC GROUP OF EXPERTS

9. **For Stage 1: Preparation of the first draft** – this task could be entrusted to a multidisciplinary, geographically-balanced Ad Hoc Expert Group, constituted according to Category VI of the regulations for the general classification of meetings convened by UNESCO. The size of the Expert Group, its composition, working methods and duration need to be determined within the context of the time frame.

### OPTIONS CONCERNING ITS COMPOSITION

10. **Proposal – number of experts:** The Ad Hoc Expert Group of a maximum of 36 members, serving in a personal capacity, would be appointed by the Director-General. It is proposed that a five-day meeting of the Ad Hoc Expert Group be convened, subject to the availability of extrabudgetary resources. Member States, as well as the United Nations Environment Programme (UNEP), World Meteorological Organization (WMO), and the United Nations Framework Convention on Climate Change (UNFCCC) may send representative as observers.

11. **Proposal – selection:** To ensure a smooth selection process, and a balance of multidisciplinary expertise, a profile of participants will be circulated. Experts are to be appointed from those proposed by the Member States of the Electoral Groups, taking into consideration profiles including expertise in for example, legal affairs and international law; environmental ethics and climate change; social and human sciences; economy and finance in relation to climate change and sustainable development; preservation of biological and cultural diversity; education for sustainable development; communication and public information. The Director-General could also appoint members from pertinent advisory and expert bodies: COMEST and the International Bioethics Committee (IBC); the Intergovernmental Oceanographic Commission of UNESCO (IOC); the International Hydrological Programme (IHP); the Man and the Biosphere (MAB) Programme; the Management of Social Transformations Programme (MOST); the Scientific Advisory Board of the United Nations Secretary-General; the Intergovernmental Panel on Climate Change (IPCC); and other international experts.

### TIMING CONSIDERATIONS

12. A letter to Member States with the terms of reference, profiles, meeting dates and other information, including a call to submit nominations for the Ad Hoc Expert Group, will be sent by the Director-General, with request for replies by **15 May 2016** (the timing is short).

13. The Director-General could then, foreseeably, establish the ad hoc group of experts by 31 May 2016.

14. Given the tight timelines, commitments of extrabudgetary funds would have to be received soonest so that the process can be launched.

### OPTIONS CONCERNING ITS METHODS OF WORK

15. The Ad Hoc Expert Group may work through meetings (subject to the availability of extrabudgetary resources) or exclusively through electronic communication (e-mail, telephone and video conferencing).

16. **Proposal – A five-day first meeting of the ad hoc group of experts** could be convened at UNESCO Headquarters. Subject to the availability of extrabudgetary resources of approximately maximum **US \$210,000** (for details, please see Table 1 below), the Director-General, when sending the letters of appointment of members of the Ad Hoc Expert Group, could also convene this first meeting to elaborate a first draft declaration, which could be held at UNESCO

Headquarters from 25 to 29 July 2016 or in August-September 2016. After the meeting, the chairperson of this group of experts, assisted by several members, could finalize **a first draft, to be ready by no later than September 2016**).

## STAGE 2: CONSULTATIONS WITH MEMBER STATES

17. **For Stage 2, consultations with Member States:** the first draft declaration will be transmitted in August or September 2016 to Member States, scientific communities and other stakeholders, including civil society.

18. At the national, regional and subregional level, Member States may wish to organize, at their own cost, a consultation process through various means. The Director-General should be invited to participate, and be kept informed of the results. Based on decisions of Member States as to the format of regional or subregional consultations, extrabudgetary proposals for these consultations can be developed (please see Table 2).

19. Replies are to be submitted to the UNESCO Secretariat by 31 December 2016 (this deadline may be extended until February 2017, depending on the results of the first stage as described above).

20. The UNESCO Secretariat will ensure that this process benefits from inter-sectoral UNESCO expertise by harnessing already planned meetings of relevant expert committees and intergovernmental programmes (COMEST, IBC, IHP, MAB, IOC, MOST, etc.), as well as with the secretariats of UNFCCC, IPCC, UNEP, WMO, ILO, WHO, OHCHR and various United Nations environmental protection conventions: Convention on Biological Diversity; United Nations Convention to combat Desertification (UNCCD, Bonn, Germany); Vienna Convention on the Protection of the Ozone Layer (UNEP); Convention for the Protection of the Mediterranean Sea against Pollution; etc.

21. Upon collecting all the written replies by 31 December 2016, the Secretariat of UNESCO will pass them to the Ad Hoc Expert Group for consideration (in Stage 3).

## STAGE 3: PREPARATION OF THE FINAL DRAFT DECLARATION

22. **For Stage 3, preparation of a final draft integrating comments** – this task could be entrusted to the already-constituted Ad Hoc Expert Group, whose members are asked to continue their work. Again, the Ad Hoc Expert Group may work through meetings (subject to the availability of extrabudgetary resources) or exclusively through electronic means (e-mail, telephone and video conferencing).

23. **Proposal – A three-day second meeting of the Ad Hoc Expert Group** – Subject to the availability of extrabudgetary resources of maximum **\$160,000 (please see Table 3.A)**, the Director-General could convene the second meeting of the Ad Hoc Expert Group to integrate into the final draft comments received from Member States and other stakeholders. The meeting could be held for three working days in February/March 2017. Member States could participate as observers.

24. If lesser or no extrabudgetary funds are available, this work is to be carried out by the Ad Hoc Expert Group through electronic means. However, it must be noted that if the Ad Hoc Expert Group works only through electronic means in Stage 3 (without a meeting), then it is anticipated that their work will be slower. In principle, the Ad Hoc Expert Group is to finalize its work on the first draft of a declaration by mid-May 2017 for its transmission to Member States for consideration at a category II intergovernmental meeting of experts, to be followed by examination of the Executive Board at its 202nd session and the General Conference at its 39th session.

25. **A Category II intergovernmental meeting of experts:** a Category II intergovernmental meeting of experts appointed by Member States (open to all Member States) is to be convened by the Director-General of UNESCO in early July 2017 to discuss the draft declaration, so as to further revise the draft prior to the 39th General Conference. The estimated costs to UNESCO of a three-working-day meeting: **\$90,000** (for details, please see Table 3.B). Extrabudgetary funds need to be raised to cover this amount. It must be noted that Member States themselves will have to bear the costs for the travel of their participants (and that the decision in this regard must be made in 2016).

26. **Consideration by the Executive Board:** A final draft is to be considered by the Executive Board at its 202nd session in autumn 2017. The draft, with the Executive Board's recommendations on it, is then to be transmitted for consideration to the 39th session of the General Conference of UNESCO.

27. This Concept Note represents a call for extrabudgetary funds which according to the final scenario selected could reach **\$460,000**. The main incompressible costs are paid in euros and consist of document translation, interpretation, and preparation, travel and daily subsistence allowance (DSA) of the experts.

**COST ESTIMATES**

<b>Stage 1:</b> <b>The 5-day first meeting of the Ad Hoc Group of Experts</b> <b>(to be held between end July – mid-September 2016)</b>	
<b>Travel and DSA for participants of the Ad Hoc Group of Experts: 36 experts (average \$3,333 per person)</b>	<b>Up to \$120,000</b>
<b><u>Options:</u></b>	
<i>Travel and DSA for 24 experts: \$80,000</i>	
<i>Travel and DSA for 18 experts: \$60,000</i>	
Simultaneous translation in 6 languages	\$50,000
Translation of the first report/draft declaration into 5 languages	\$12,500
Translation of working drafts during meeting and, if needed, overtime for interpreters	\$12,000
Document production and mailing	\$5,000
<b>Total:</b>	<b>\$79,500</b>
<b><u>Options:</u></b>	
Simultaneous translation in 2 languages	\$14,000
Translation of the first report/draft declaration into 5 languages	\$12,500
Translation of working drafts during meeting or, if needed, overtime for interpreters	\$8,000
Document production and mailing	\$5,000
<b>Total</b>	<b>\$39,500</b>
<b>Temporary assistance:</b>	<b>\$10,000</b>
Two qualified bilingual secretaries (grade G-2) for 1 month prior to the meeting for logistics, drafting correspondence, record-keeping, document distribution, managing visas, notetaking, managing translations, and other administrative tasks.	
<b>Other</b> (refreshments during breaks, if possible)	<b>\$500</b>
<b>Total (36 experts and 6 languages)</b>	<b>\$210,000</b>
<b>Total (24 experts and 2 languages)</b>	<b>\$130,000</b>
<b>Total (18 experts and 2 languages)</b>	<b>\$110,000</b>

Table 2

<b>Stage 2:</b> <b>Consultations with Member States</b> <b>(September/October – December 2016/February 2017)</b>	
If desirable, Member States can organize, at their own cost, some national, subregional or regional consultations	<b>To be determined by the organizers</b>

Table 3.A

<b>Stage 3:</b> <b>A 3-day second meeting of the Ad Hoc Group of Experts</b> <b>(February/March-May 2017)</b>	
<b>Travel for participants of the Ad Hoc Group of Experts: 36 experts (average \$2,833 per person)</b>  <b>Options:</b>  <b>Travel and DSA for 24 experts: \$70,000</b> <b>Travel and DSA for 18 experts: \$50,000</b>	<b>Up to \$102,000</b>
Simultaneous translation in 6 languages	\$30,000
Translation of the second report/draft declaration into 5 languages	\$12,500
Document production and mailing	\$5,000
<b>Total</b>	<b>\$47,500</b>
<b>Options:</b>  Simultaneous translation in 2 languages \$8,500 Translation of the second report/draft declaration into 5 languages \$11,000 Document production and mailing \$5,000 <b>Total</b> \$24,500	
<b>Temporary Assistance:</b> Two qualified bilingual secretaries (grade G-2) for 1 month prior to the meeting for logistics, drafting correspondence, record-keeping, document distribution, managing visas, notetaking, managing translations, and other administrative tasks.	<b>\$10,000</b>
<b>Other</b> (refreshments during breaks, if possible)	<b>\$500</b>

<b>Total (36 experts and 6 languages)</b>	<b>\$160,000</b>
<b>Total (24 experts and 2 languages)</b>	<b>\$105,000</b>
<b>Total (18 experts and 2 languages)</b>	<b>\$85,000</b>

Table 3.B

<b>A 3-day intergovernmental meeting of experts (Category II meeting)</b> <b>(May-July 2017/not later than one month before the deadline for submission of documents for the 202nd session of the Executive Board)</b>	
<b>Travel for participants from LDCs – if needed</b>	<b>Up to \$14,000</b>
<b>Travel, Chair of the Ad Hoc Group of Experts (up to US\$3,000)</b>	<b>Up to \$3,000</b>
Simultaneous translation in 6 languages	\$30,000
Translation of the first report into 5 languages	\$12,500
Translation of working drafts during meeting and, if needed, overtime for interpreters	\$15,000
Document production and mailing	\$5,000
<b>Total</b>	<b>Up to \$62,500</b>
<b>Temporary assistance:</b> Two qualified bilingual secretaries (grade G-2) for 1 month prior to the meeting for logistics, drafting correspondence, record-keeping, document distribution, managing visas, notetaking, managing translations, and other administrative tasks.	<b>\$10,000</b>
<b>Other</b> (refreshments during breaks, if possible)	<b>\$500</b>
<b>Total</b>	<b>\$90,000</b>



**Main steps and dates related to the Elaboration of a Declaration on Ethical Principles in Relation to Climate Change  
(to implement 38 C/Resolution 42)**

April 2016	May 2016	June 2016	July 2016	August 2016	September 2016	October 2016	November 2016	December 2016	January 2017	February 2017	March 2017	April 2017	May 2017	June 2017
1st Stage - Preparation of the first draft; Constitution of an Ad Hoc Expert Group 1st meeting of an Ad Hoc Expert Group					2nd Stage - Consultations with Member States Invitation letter to the Member States to the Category II meeting to be held in June/July 2017				3rd Stage - Preparation of a final draft integrating comments 2nd meeting of an Ad Hoc Expert Group to prepare the revised draft Intergovernmental meeting (category II) of experts appointed by Member States to prepare the final preliminary text					
Extrabudgetary funds needed to be raised: US\$210,000 (for 36 experts and 6 languages) \$130,000 (for 24 experts and 2 languages) \$110,000 (for 18 experts and 2 languages)					Funding requirements to be determined				Extrabudgetary funds needed to be raised: \$160,000 (for 36 experts and 6 languages) \$105,000 (for 24 experts and 2 languages) \$85,000 (for 18 experts and 2 languages) \$90,000 : Cat II meeting					

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July 2017	August 2017	September 2017	October 2017	November 2017
3rd Stage - Preparation of a final draft integrating comments 202nd session of the Executive Board of UNESCO (11-24 October 2017) 39th session of the General Conference				