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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

SUMMARY

This report is intended to inform the Members of the Executive Board of the progress achieved in the follow-up to the decisions and resolutions adopted by the Executive Board and the General Conference at their previous sessions.

Part I contains information on the following Programme issues:

- A. **Report on preliminary progress by the UNESCO Institute for Statistics on disaggregated level of data for development indicators related to Small Island Developing States (SIDS)**
- B. **Progress report on the implementation of the MAB Strategy for 2015-2025 and the associated Lima Action Plan for UNESCO'S Man and the Biosphere (MAB) Programme and its World Network of Biosphere Reserves 2016-2025**
- C. **Proposal for an updated UNESCO Strategy for Action on Climate Change**
- D. **Progress report on the promotion of the Revised International Charter of Physical Education, Physical Activity and Sport, and on the monitoring of its implementation**
- E. **Cultural and educational institutions in Iraq**
- F. **Report on the Implementation of the Strategy for the reinforcement of UNESCO'S action for the protection of culture and the promotion of cultural pluralism in the event of armed conflict**
- G. **Consolidated report and proposed strategy and action plan to protect and strengthen brand recognition of biosphere reserves, world heritage properties, and proposed UNESCO Global Geoparks**
- H. **Follow-up of the situation in the Autonomous Republic of Crimea (Ukraine)**



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PART I

PROGRAMME ISSUES

SUMMARY

A. Report on preliminary progress by the UNESCO Institute for Statistics on disaggregated level of data for development indicators related to Small Island Developing States (SIDS)

As per 197 EX/Decision 5 (I, D), the Director-General requested the UNESCO Institute for Statistics (UIS) to apply to its field data for UNESCO development programmes a disaggregated level of data for development indicators relating to Small Island Developing States (SIDS). The aim is to facilitate better understanding of the impact of the categorization of SIDS as developed and developing, and high, middle and low income, and to more adequately reflect the specificities of SIDS, taking account of the islands' vulnerabilities linked to limitations of size and resources, economies of scale, indebtedness, external economic shocks and natural hazard occurrences. This document is a preliminary progress report, as requested by the decision.

In addition, an Information document (200 EX/5.INF) has been prepared as an Annex to this document, which presents data from the UIS database for the combined group of SIDS, and where this is not possible for SIDS individually, aims to situate the SIDS in the global picture and identifying some of the vulnerabilities, problems and needs of SIDS in relation to the rest of the world.

Action expected of the Executive Board: Proposed decision in paragraph 16.



A. Report on preliminary progress by the UNESCO Institute for Statistics on disaggregated level of data for development indicators related to Small Island Developing States (SIDS)
(Follow-up to 197 EX/Decision 5 (I, D))

INTRODUCTION

1. The Executive Board, at its 197th session, examined the draft Small Island Developing States (SIDS) Action Plan and took its decision 197 EX/Decision 5 (I, D) which included the following paragraph:

2. *“12. Further requests the Director-General to direct the UNESCO Institute for Statistics (UIS) to apply to its field data for UNESCO development programmes a disaggregated level of data for development indicators relating to small island developing States (SIDS), in order to facilitate better understanding of the impact of the categorizations of SIDS as developed and developing, and high, middle and low income, and to more adequately reflect the specificities of SIDS, taking account of the islands’ vulnerabilities linked to limitations of size and resources, economies of scale, indebtedness, external economic shocks and natural hazard occurrences, and to submit a preliminary progress report to it at its 200th session.”*

3. A preliminary proposal of this document was submitted to the SIDS Group of Permanent Representatives on 16 March 2016, by the UIS. Member States comments were taken into account and it is now proposed to create a regional total for SIDS for all data and indicators in the UIS database, i.e. in the fields of education, the sciences, culture and communication. Regional averages will be calculated when data availability will allow it. There will be no further disaggregation of SIDS into sub-groups, e.g. by income level. At the 199th session of the Executive Board in April 2016, Member States approved the finalized SIDS Action Plan and recalled that the UIS progress report should be submitted at the 200th session. This document reports on the progress achieved.

Progress

4. The UNESCO list of SIDS currently contains 39 UNESCO Member States and eight Associate Members (see <http://www.unesco.org/new/en/natural-sciences/priority-areas/sids/about-unesco-and-sids/sids-list/>). The UIS is able to present indicators both at the country level and, where sufficient data are available, aggregates for SIDS as a whole.

5. The information document (200 EX/5.INF), which is an Annex to this document, presents data from the UIS database for the combined group of SIDS, and where this is not possible for SIDS individually, aims to situate the SIDS in the global picture, identifying some of the vulnerabilities, problems and needs of SIDS in relation to the rest of the world. It draws the following conclusions:¹

6. Data from the UNDP’s Human Development Index (HDI) show that the SIDS as a group had the same score as the developing countries in the medium human development range, but ranked higher than sub-Saharan Africa and the least developed countries (LDCs) both in the low human development range.

7. In 2014, 84% of the adult population in the SIDS were literate, close to the global adult literacy rate of 85%. This compares favourably with the LDCs and land-locked developing countries (LLDCs), where far fewer adults have basic literacy skills. Among youth 15-24 years in the SIDS, 88% had basic literacy skills in 2014, close to the global youth literacy rate of 91%, and far higher than the youth literacy rates in LDCs (73%) and LLDCs (72%). The SIDS have reached

¹ This is a shortened version of the conclusions. An elaborated version can be found in the information document (200 EX/5.INF).

gender parity in the adult and youth literacy rates, performing better than the world on average. By contrast, the LDCs and LLDCs are far from having achieved gender parity, especially in adult literacy.

8. Enrolment rates in SIDS are among the highest of the developing regions. However, universal primary education is far from being achieved, with nearly one in every six children of primary school age in the region is out-of-school and a further 390,000 adolescents of lower secondary age are also out-of-school. At the tertiary level, the gross enrolment ratio in SIDS was about 10 percentage points less than the world total. This can partly be explained by the fact that some go abroad to study because very small countries often do not have tertiary education of their own. Nevertheless, this group is performing better than sub-Saharan Africa, LDCs and LLDCs.

9. Gender disparities are relatively small in the SIDS, except in tertiary education, where there are disparities favouring women. This may, however, be an indication that relatively more men than women go abroad for their tertiary education resulting in higher participation rates among women in their home countries.

10. In 2014, the pupil-teacher ratio was about 22 pupils per teacher in primary education and about 16 pupils per teacher in secondary education. Over the last decade, the percentage of trained teachers in SIDS has been decreasing in all levels of education. The percentage of trained teachers in primary education in SIDS (73%) is lower than in the LDCs (78%) or LLDCs (84%).

11. The Education 2030 Framework for Action recommends that countries should aim to allocate at least 15-20% of public spending to education representing approximately 5-7% of GDP. In SIDS with available data, only about one-third of countries are in the range of 15-20% for expenditure on education and an equal number of countries report public spending on education relative to GDP in the range 5-7%. In most cases, these are the same countries.

12. Science, technology and innovation are going to be increasingly important for the SIDS to resolve the many problems they face. Still, these countries are investing very little in Research and Development (R&D). Singapore is the exception, investing more than the global average, but the other SIDS for which data are available invest far less in R&D than the developing country target of 1% of GDP, and are also mostly below the averages for LDCs (0.24%) and LLDCs (0.28%). The rankings of the SIDS on the Global Innovation Index confirm this picture.

13. Except for Singapore, SIDS are also playing a marginal role in international trade of cultural goods. In many instances, the SIDS are lacking the capacity and opportunities to access the international market.

14. There could be many other vulnerabilities where SIDS have problems and needs, but these fall either outside the mandate of UNESCO, or are not covered by a UIS data collection, and thus, cannot be identified with UIS data.

15. One important overarching problem, which requires attention, is the lack of high-quality data in many SIDS. Data on many topics are not collected at all, or only partially, leading to large gaps in the evidence base necessary to support policymakers in establishing policies to address vulnerabilities and improve living conditions. This also prevents the calculation of regional totals for many indicators and the proper identification of potential vulnerabilities.

Proposed decision

16. The Executive Board may wish to adopt a decision along the following lines:

The Executive Board,

1. Recalling 197 EX/Decision 5 (I, D),

2. Having examined documents 200 EX/5 Part I (A) and 200 EX/5.INF,
3. Further recalling the special status conferred by the Organization upon small island developing States (SIDS) as a priority target group in its Medium-Term Strategy for 2014-2021 (37 C/4),
4. Expresses appreciation for the UNESCO Institute for Statistics' report on the current situation of SIDS and their vulnerabilities, problems and needs in relation to the rest of the world in education and literacy, science and innovation, and culture, and takes note of its content.



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PROGRAMME ISSUES

SUMMARY

B. Progress report on the implementation of the MAB Strategy for 2015-2025 and the associated Lima Action Plan for UNESCO'S Man and the Biosphere (MAB) Programme and its World Network of Biosphere Reserves 2016-2025

In accordance with 38 C/Res.19, the Director-General submits to the Executive Board a progress report on the implementation of the MAB Strategy for 2015-2025 and the related Lima Action Plan for UNESCO's Man and the Biosphere (MAB) Programme and its World Network of Biosphere Reserves (WNBR) for 2016-2025 ("Lima Action Plan").

Any financial and administrative implications related to the present document will be borne within the framework of documents 38 C/5 and 39 C/5.

Action expected of the Executive Board: Proposed decision in paragraph 17.



B. Progress report on the implementation of the MAB Strategy for 2015-2025 and the associated Lima Action Plan for UNESCO'S Man and the Biosphere (MAB) Programme and its World Network of Biosphere Reserves 2016-2025
(Follow-up to 38 C/Resolution 19)

INTRODUCTION

1. At its 38th session, the General Conference requested the Director-General to “present to the Executive Board, at its 200th session, a progress report on the implementation of the MAB Strategy for 2015-2025 and the associated Lima Action Plan (2016-2025), including their contribution to the implementation and follow-up of the 2030 Agenda for Sustainable Development” (38 C/Res.19, para. 12).

2. The present progress report focuses mainly on the Fourth World Congress of Biosphere Reserves and the Lima Action Plan for the UNESCO MAB Programme and its World Network of Biosphere Reserves (WNBR) endorsed by the Congress and adopted by the 28th MAB International Coordinating Council (ICC) in Lima, Peru, in March 2016, to provide a comprehensive set of actions for the effective implementation of the MAB Strategy, fully consistent with UNESCO's Medium-Term Strategy 2014-2021 (37 C/4).

THE MAB STRATEGY 2015-2025

3. At its 38th session, the General Conference welcomed the success of the MAB-ICC in developing the MAB Strategy for 2015-2025, and endorsed the MAB Strategy as presented in the Annex to document 38 C/55.

4. In line with the MAB Strategy, which consists of vision and mission statements, a series of Strategic Objectives and Strategic Action Areas, MAB and its WNBR work towards the implementation of the 2030 Agenda for Sustainable Development and the realization of the Sustainable Development Goals (SDGs) both within biosphere reserves and through global dissemination of sustainable development models developed in these reserves.

FOURTH WORLD CONGRESS OF BIOSPHERE RESERVES

5. As a key step in the implementation of the MAB Strategy, the UNESCO MAB Secretariat, in cooperation with the Ministry of Environment of Peru (MINAM) and its National Service of Natural Areas Protected by the State (SERNANP), and the MAB National Committee of Peru, organized the *4th World Congress of Biosphere Reserves: A New Vision for the Decade 2016-2025. UNESCO Biosphere Reserves for Sustainable Development*, from 14 to 17 March 2016, in Lima, Peru.

6. Attended by more than 1,000 representatives of governments, biosphere reserves, local communities, United Nations agencies, NGOs, academic institutions, and organizations and institutions from 115 countries working with the MAB Programme, the Lima Congress adopted the Lima Declaration on MAB and the WNBR, and it endorsed the Lima Action Plan.²

THE LIMA ACTION PLAN

7. The Lima Action Plan, which is designed to support the implementation of the MAB Strategy 2015-2025 adopted by the twenty-seventh MAB ICC and endorsed by the General Conference at its 38th session (38 C/Res.19), is the result of a participatory, open and transparent drafting process founded on the active participation and contributions of a good number of Member States, MAB National Committees, MAB and Biosphere Reserve Focal Points, and regional and thematic

² Comprehensive information about the Lima Congress and its results is available at: <http://www.unesco.org/new/en/natural-sciences/environment/ecological-sciences/4th-world-congress/>

networks. The full text of the Lima Action Plan together with background information related to the drafting process is available on the MABnet web page.³

8. The Lima Action Plan is presented as a matrix, structured according to the Strategic Action Areas of the MAB Strategy 2015-2025:

- A. The WNBR consisting of effectively functioning models for sustainable development;
- B. Inclusive, dynamic and result-oriented collaboration and networking within the MAB Programme and the WNBR;
- C. Effective external partnerships and sufficient and sustainable funding for the MAB Programme and the WNBR;
- D. Comprehensive, modern, open, and transparent communication, information and data sharing;
- E. Effective governance of and within the MAB Programme and the WNBR.

9. It includes targeted outcomes, actions and outputs that will contribute to the effective implementation of the strategic objectives contained in the MAB Strategy. It also specifies the entities with prime responsibility for implementation, together with time range and performance indicators.

10. The MAB Secretariat will fully engage with Member States, Governing bodies of MAB, and all stake holders and partners in the effective implementation of the Lima Action Plan, consistent with the MAB Strategy and within the overall framework of the UNESCO C/4 and C/5 documents.

Implementation progress

11. The finalization of the Lima Action Plan constitutes a key step in the implementation of the MAB Strategy. Strategic Action Area E (Effective governance of and within the MAB Programme and the WNBR) includes biennial progress updates by Member States to the MAB ICC (as of the 29th MAB ICC in 2017) and a mid-term evaluation in 2020 (Lima Action Plan targeted outcome E3).

12. Although it was adopted only in March 2016, preliminary information has already been solicited from Member States on the implementation of the MAB Strategy and the Lima Action Plan through a MAB Circular Letter issued in June 2016. Information received in response to the MAB Circular Letter is posted on a special section on the MAB web site dedicated to the MAB Strategy and the Lima Action Plan.⁴ This section will be updated regularly.

13. MAB and biosphere reserves contribute significantly to almost all of the targets of SDG 15. Through the WNBR, MAB has the potential to play an important role in addressing SDGs 4, 5, 9, 11, 13, 17, and global environmental conventions and agreements, such as the COP21 Paris Agreement under the United Nations Framework Convention on Climate Change, and the Sendai Framework for Disaster Risk Reduction 2015-2030. For example, Lima Action Plan Action A1.4 calls for using BRs as priority sites/observatories for climate change research, monitoring, mitigation and adaptation, including in support of the Paris Agreement. A draft report related to this action highlights examples of ongoing work and prospects for the future.⁵ These contributions are also highlighted in the preliminary proposals concerning the draft 39 C/5.

³ <http://www.unesco.org/new/en/natural-sciences/environment/ecological-sciences/man-and-biosphere-programme/strategies-and-action-plans/new-mab-strategy-and-action-plan/documents/>

⁴ <http://www.unesco.org/new/en/natural-sciences/environment/ecological-sciences/man-and-biosphere-programme/strategies-and-action-plans/new-mab-strategy-and-action-plan/documents/>

⁵ "Biosphere Reserves, Real-life Observatories of Climate Change — draft report based on a 2015 survey". Available from page: <http://www.unesco.org/new/en/natural-sciences/environment/ecological-sciences/man-and-biosphere-programme/strategies-and-action-plans/new-mab-strategy-and-action-plan/documents/>

14. As mentioned in the Lima Action Plan, MAB National Committees and MAB networks are strongly encouraged to prepare their own strategies and action plans using the MAB Strategy and the Lima Action Plan as the key points of reference. These should be founded in national and regional realities and imperatives and will contribute both to addressing these and to implementing the Lima Action Plan at the global level. Several countries are now therefore working on developing their national plans. The Democratic Republic of the Congo was the first country to adopt its National MAB Action Plan shortly after the Lima Congress.

15. Progress in the Strategy and Action Plan implementation is also taking place at the regional level. For example, as a follow-up to the Lima Congress, sixty participants from nine countries (Australia, Indonesia, Japan, Republic of Korea, Malaysia, Myanmar, Thailand, United Kingdom, Viet Nam) met in the Wakatobi Biosphere Reserve, Indonesia, from 2 to 4 June 2016, to discuss the roles of local governments in implementing the Lima Action Plan. The event was supported by Japan, and the local government of Wakatobi, in collaboration with the Indonesian Government and the UNESCO Jakarta Office.

16. In terms of international partners, the Secretary of the Convention on Biological Diversity has welcomed the Lima Action Plan and invited the UNESCO MAB Secretariat to report on activities related to the Aichi Biodiversity Targets (action A.1.2 of the Lima Action Plan).

Proposed decision

17. In the light of the above, the Executive Board may wish to take the following decision:

The Executive Board,

1. Recalling 38 C/Res.19,
2. Having examined document 200 EX/5 Part I (B),
3. Expresses its appreciation to the Director-General for the report on progress made in the implementation of MAB Strategy;
4. Also expresses its appreciation to Peru for hosting the 4th World Congress of Biosphere Reserve and the 28th MAB ICC;
5. Notes with satisfaction the adoption of the Lima Declaration on MAB and the WNBR by the Lima Congress and the 28th MAB ICC;
6. Also notes with satisfaction the adoption of the Lima Action Plan by the 28th MAB ICC as previously endorsed by the Lima Congress;
7. Endorses the Lima Action Plan;
8. Encourages Member States, in close cooperation with the MAB Secretariat, to undertake and promote actions contained in the Lima Action Plan for the effective implementation of the MAB Strategy, through their MAB National Committees, biosphere reserves, regional and thematic MAB networks and relevant public and private stakeholders;
9. Requests the Director-General to present a progress report on the implementation of the MAB Strategy and the Lima Action Plan to the General Conference at its 39th session.



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PROGRAMME ISSUES

SUMMARY

C. Proposal for an updated UNESCO Strategy for Action on Climate Change

In accordance with 38 C/Res.21, the Director-General submits to the Executive Board a proposal for an updated UNESCO Strategy for Action on Climate Change.

Any financial and administrative implications related to the present document will be proposed within the framework of the Draft Programme and Budget for 2018-2021 (39 C/5).

Action expected of the Executive Board: Proposed decision in paragraph 17.



C. Proposal for an updated UNESCO Strategy for Action on Climate Change
(Follow-up to 38 C/Resolution 21)

INTRODUCTION

1. By its Resolution 38 C/Res.21, the General Conference invited the Director-General to present to the Executive Board at its 200th session a proposal for an updated UNESCO Strategy for Action on Climate Change taking into due consideration the outcomes of COP 21.
2. Accordingly, the Director-General presents in this document and its Annex a proposal for an updated UNESCO Strategy for Action on Climate Change solidly anchored in the UNESCO Medium-Term Strategy for 2014-2021 (document 37 C/4) and duly reflecting the Paris Agreement adopted by the 21st Conference of the Parties (COP21) to the United Nations Framework Convention on Climate Change (UNFCCC), and the 2030 Agenda for Sustainable Development.
3. A final proposal of an updated UNESCO Strategy for Action on Climate Change will be presented to the Executive Board at its 201st session to ensure that it will also reflect the results of the ongoing consultations on the Draft Programme and Budget for 2018-2021 (39 C/5).⁶

II. THE 2030 AGENDA FOR SUSTAINABLE DEVELOPMENT AND THE PARIS AGREEMENT

4. While acknowledging that the UNFCCC is the primary international, intergovernmental forum for negotiating the global response to climate change, the 2030 Agenda includes a dedicated goal on climate change, SDG 13: *Take urgent action to combat climate change and its impacts*. Reaching the SDG 13 targets will be key in ensuring the feasibility of successfully achieving most if not all of the 17 SDGs. Similarly, progress on SDG 13 will require advances on a number of other SDGs.
5. Addressing climate change in the context of the 2030 Agenda will therefore require a truly comprehensive approach for which UNESCO is particularly well suited due to its comprehensive mandate and corresponding competencies and expertise.
6. The Paris Agreement constitutes a major breakthrough under the UNFCCC.⁷ It aims to strengthen the global response to the threat of climate change, in the context of sustainable development and efforts to eradicate poverty, including by: (a) Holding the increase in the global average temperature to well below 2°C above pre-industrial levels and to pursue efforts to limit the temperature increase to 1.5°C above pre-industrial levels, recognizing that this would significantly reduce the risks and impacts of climate change; (b) Increasing the ability to adapt to the adverse impacts of climate change and foster climate resilience and low greenhouse gas emissions development, in a manner that does not threaten food production; (c) Making finance flows consistent with a pathway towards low greenhouse gas emissions and climate.
7. Under the Paris Agreement, each Party shall prepare, communicate and maintain successive nationally determined contributions that it intends to achieve. Parties shall pursue domestic mitigation measures with the aim of achieving the objectives of such contributions.

⁶ In Member States' responses to the questionnaire on the 39 C/5, 60% of replies globally, and 85% in Africa, indicated SDG 13 as a high priority area in which UNESCO's support would be required. Moreover, 50% of respondents rated climate change as an area where UNESCO should further capitalize on its multidisciplinary expertise and enhance its intersectoral approach to support Member States in the implementation of the 2030 Agenda.

⁷ As of 29 June 2016, there are 178 signatories to the Paris Agreement among which 19 States have deposited their instruments of ratification, acceptance or approval accounting in total for 0.18 % of the total global greenhouse gas emissions (at least 55 Parties accounting in total for at least 55% of the total global greenhouse gas emissions are required for the Agreement to enter into force).

8. The Paris Agreement covers a number of UNESCO priority areas and competencies and points to the need for multidisciplinary collaboration. The Decision of the Paris Agreement is strong on ethical considerations, which underlines the relevance of UNESCO's work in this domain in the years to come.

III. PROPOSED UPDATED STRATEGY FOR ACTION ON CLIMATE CHANGE

9. As outlined in document 38 C/67 (Contribution by UNESCO in Combating Climate Change), the UNESCO Strategy for Action on Climate Change that was originally developed in conjunction with the Medium-Term Strategy for 2008-2013 (34 C/4) and approved by the Board at its 180th session (document 180 EX/16 Rev.) was complemented by a detailed plan of action presented in an enhanced version to the 182nd session of the Executive Board in document 182 EX/5 Part II and in document 182 EX/INF.7.

10. Building on the strength of the original strategy, the proposed updated Strategy for Action on Climate Change takes into account not only the Paris Agreement and the 2030 Agenda, and the linkages between them, but also other recent policy frameworks, such as the Global Action Programme (GAP) on ESD, the Sendai Framework for Disaster Risk Reduction 2015-2030, the SIDS Accelerated Modalities of Action (SAMOA) Pathway, and the Global Framework for Climate Services. The proposed updated strategy is in line also with the UNESCO long-term SIDS Action Plan approved by the Executive Board at its 199th session, the MAB Strategy (2015-2025) and associated Lima MAB Action Plan (2016-2025), and the Strategy for Technical and Vocational Education and Training (2016-2021), and the IOC Capacity Development Strategy (2015-2021). Other notable updates include a stronger emphasis on social and human sciences, the inclusion of ethics, and the strengthening of community-based resilience to climate change through the safeguarding of cultural and natural heritage and the implementation of the heritage-related conventions. Furthermore, UNESCO-designated sites as climate change observatories will be reinforced through the addition of UNESCO Global Geoparks.

Objective, principles and criteria for action on climate change

11. The objective of the Strategy is to enable Member States to take urgent action to combat climate change and its impacts through education, sciences, culture, communication and information. The Strategy will identify a set of basic principles and criteria that are to be applied in the development and implementation of UNESCO climate change actions which should specifically:

- (a) Meet the needs of Member States in relation to their efforts to realize the 2030 Agenda for Sustainable Development and the Paris Agreement in the overall context of documents 37 C/4 and 39 C/5;
- (b) Draw on, support and be consistent with relevant existing UNESCO programmes, strategies and action plans;
- (c) Raise awareness on climate change as a cross-sectoral and interdisciplinary issue in an overall sustainable development context while building on the strength and focus of each Major Programme of the Organization;
- (d) Focus on activities that can be scaled-up in order to ensure a seamless, coherent and structured combination of regular and extrabudgetary sources;
- (e) Ensure synergies with the overall United Nations system.

Action priority themes

12. The proposal for an updated Strategy is structured around four key themes:

- I. Supporting Member States to develop and implement climate change education and public awareness programmes and policies;
- II. Promoting interdisciplinary climate knowledge and scientific cooperation for climate change mitigation and adaptation;
- III. Mobilizing creativity, diversity of cultural expression and cultural heritage preservation for climate change mitigation and adaptation;
- IV. Supporting inclusive social development, fostering intercultural dialogue and promoting ethical and gender mainstreaming principles in relation to climate change mitigation and adaptation.

Covering several sub-themes, all the above themes will address UNESCO global priorities Gender Equality and Africa, as well as SIDS and youth as target groups.

Duration

13. Taking into account that the period covered by the current UNESCO Medium-Term Strategy (37 C/4) lasts until 2021, it is proposed that the updated Strategy cover the period 2018-2021.

Implementation and reporting

14. The updated Strategy will be implemented through actions undertaken by the Major Programmes, as well as through intersectoral and inter-programme cooperation involving in both cases, UNESCO Headquarters and field offices. The overall coordination will be facilitated by the the intersectoral UNESCO Task Force on Climate Change.

15. Since the Strategy covers the period 2018-2021, which is the same period for the Draft Programme and Budget (39 C/5), it is proposed that the implementation of the Strategy and reporting thereon be included in the statutory periodic reporting on the execution of the 39 C/5 with the aim to ensure consistency with the 39 C/5 programming, and facilitate and streamline reporting.

16. The financial resources needed for the implementation of the updated Strategy are to be reflected in the Programme and Budget for 2018-2021 (39 C/5). It is expected that the effective implementation of the updated Strategy would rely on the availability of extrabudgetary resources. An overview of resources required will be included in the final draft of the Strategy.⁸

Proposed decision

17. In the light of the above, the Executive Board may wish to take the following decision:

The Executive Board,

1. Recalling 197 EX/Dec.45 and 38 C/Res.21,
2. Underlining the importance of the 2030 Agenda for Sustainable Development and the Paris Agreement for guiding UNESCO's actions on climate change,
3. Having examined document 200 EX/5 Part I (C),

⁸ It should be recalled in this context that in 38 C/Res. 21, the General Conference: "8. *Encourages* the Director-General to pursue efforts towards UNESCO becoming an accredited implementing entity under the Green Climate Fund and that such efforts indeed are being pursued; 9. *Confirms* the commitment of its Member States to support UNESCO's activities and programmes in this essential field at the core of its mandate; 10. *Invites* Member States to make voluntary financial contributions to that end."

4. Expresses its appreciation to the Director-General for the proposal for an updated UNESCO Strategy for Action on Climate Change taking into due consideration the outcomes of COP 21,
5. Requests the Director-General to present to it at its 201st session a final draft of an updated UNESCO Strategy for Action on Climate Change taking into due consideration the discussion at its 200th session.

ANNEX

PROPOSAL FOR AN UPDATED UNESCO STRATEGY FOR ACTION ON CLIMATE CHANGE:

CHANGING MINDS, NOT THE CLIMATE EDUCATION, SCIENCE, CULTURE, COMMUNICATION AND INFORMATION FOR SUSTAINABLE DEVELOPMENT

I. BACKGROUND

1. Climate action is essential for transformative sustainable development. It is also a major opportunity to leverage desirable social transformations that will favour social inclusion and justice as well as safeguard the climatic and ecological systems on which we depend. It is high time to redirect our technology, science, finance and ingenuity to transform our economies, ensure equality and promote a sustainable future for all, including young people, women, and indigenous and ethnic minorities. This requires leadership from governments, international organizations, the private sector and civil society, as well as the active involvement of the most affected groups.

2. The Fifth Assessment Report (AR5) of the United Nations Intergovernmental Panel on Climate Change (IPCC) stresses that human influence on the climate system is clear, recent anthropogenic emissions of greenhouse gases are the highest in history and recent climate changes have had widespread impacts on human and natural systems.⁹

3. In 2015, the international community made a historic Agreement on climate change in Paris, during the 21st Conference of the Parties (COP21) to the United Nations Framework Convention on Climate Change (UNFCCC). That same year governments adopted a global post-2015 sustainable development agenda with a whole new set of 17 sustainable development goals. For UNESCO, the Paris Climate Agreement and the 2030 Agenda for Sustainable Development lead down the same path and we consider them as one and the same agenda. Climate change mitigation and adaptation require a comprehensive and long-term approach to be truly sustainable. In 2015, the world set a new milestone and committed collectively to a global action in order to achieve the future we want.

The 2030 Agenda for Sustainable Development and SDG 13

4. While acknowledging that the UNFCCC is the primary international, intergovernmental forum for negotiating the global response to climate change, the 2030 Agenda includes a dedicated goal on climate, SDG 13: *Take urgent action to combat climate change and its impacts*. Reaching the SDG 13 targets (see below) will be key in ensuring the feasibility of successfully achieving most if not all of the 17 SDGs. Similarly, progress on SDG 13 will require advances on a number of different SDGs.

The following targets have been set under SDG 13:

- 13.1 Strengthen resilience and adaptive capacity to climate-related hazards and natural disasters in all countries
- 13.2 Integrate climate change measures into national policies, strategies and planning
- 13.3 Improve education, awareness-raising and human and institutional capacity on climate change mitigation, adaptation, impact reduction and early warning
- 13.a Implement the commitment undertaken by developed-country parties to the United Nations Framework Convention on Climate Change to a goal of mobilizing jointly

⁹ <http://www.ipcc.ch/report/ar5/index.shtml>

\$100 billion annually by 2020 from all sources to address the needs of developing countries in the context of meaningful mitigation actions and transparency on implementation and fully operationalize the Green Climate Fund through its capitalization as soon as possible

13.b Promote mechanisms for raising capacity for effective climate change-related planning and management in least developed countries and small island developing States, including focusing on women, youth and local and marginalized communities.

5. Addressing climate change in the context of the 2030 Agenda will therefore require a truly comprehensive approach for which UNESCO is particularly well suited due to its broad mandate and corresponding competencies and expertise.

The UNFCCC COP21 Paris Agreement

6. The Paris Agreement constitutes a major breakthrough under the UNFCCC. It aims to strengthen the global response to the threat of climate change, in the context of sustainable development and efforts to eradicate poverty, including by: (a) Holding the increase in the global average temperature to well below 2°C above pre-industrial levels and to pursue efforts to limit the temperature increase to 1.5°C above pre-industrial levels, recognizing that this would significantly reduce the risks and impacts of climate change; (b) Increasing the ability to adapt to the adverse impacts of climate change and foster climate resilience and low greenhouse gas emissions development, in a manner that does not threaten food production; (c) Making finance flows consistent with a pathway towards low greenhouse gas emissions and climate.¹⁰

7. The Paris Agreement was opened for signature on 22 April 2016 at a high-level ceremony at the United Nations New York convened by the Secretary-General of the United Nations. A record number of 175 parties (174 countries and the European Union) signed the Paris Agreement on 22 April 2016. During the ceremony, the Secretary-General urged “all countries to move quickly” so that the Agreement can enter into force “as early as possible”.¹¹

8. Under the Paris Agreement, each Party shall prepare, communicate and maintain successive Intended Nationally Determined Contributions (INDCs) that it seeks to achieve. Parties shall pursue domestic mitigation measures with the aim of achieving the objectives of such contributions. This implies a bottom-up approach to holding the global average temperature increase and to augmenting adaptation abilities. A process to assess collective progress every five year will begin in 2018.

9. The IPCC will prepare a special report on the Impacts of Global Warming of 1.5°C above Pre-Industrial Levels and Related Global Greenhouse Gas Emission Pathways to be delivered in 2018, in time for a “facilitative dialogue” to take stock of progress under the Paris Agreement.¹²

10. Following the adoption of the Paris Agreement and the 2030 Agenda for Sustainable Development, the General Conference at its 38th session invited the Director-General to present to the Executive Board at its 200th session a proposal for an updated UNESCO Strategy for Action on Climate Change taking into due consideration the outcomes of COP 21 (38 C/Res.21, Contribution by UNESCO to combating climate change).

¹⁰ The decision to adopt the Paris Agreement (Decision 1/CP.21) contained in document FCCC/CP/2015/L.9/Rev.1 together with the authentic text of the Paris Agreement are available in the six official UN languages from pages: http://unfccc.int/documentation/documents/advanced_search/items/6911.php?preref=600008831 and http://unfccc.int/paris_agreement/items/9485.php

¹¹ As of 29 June 2016, there are 178 signatories to the Paris Agreement among which 19 States have deposited their instruments of ratification, acceptance or approval accounting in total for 0.18 % of the total global greenhouse gas emissions (at least 55 Parties accounting in total for at least 55 % of the total global greenhouse gas emissions are required for the Agreement to enter into force). Source: http://unfccc.int/paris_agreement/items/9444.php

¹² For information on the report, see: <http://www.ipcc.ch/report/sr15/>

11. In addition to duly reflecting the Paris Agreement and the 2030 Agenda, and the linkages among them, the proposed updated Strategy also reflects other recent policy frameworks, such as the Global Action Programme (GAP) on ESD, the Sendai Framework for Disaster Risk Reduction 2015-2030, the SIDS Accelerated Modalities of Action (SAMOA) Pathway, and the Global Framework for Climate Services. The updated strategy also refers to the UNESCO long-term SIDS Action Plan and the Strategy for Technical and Vocational Education and Training (2016-2021). IOC will address the role of the ocean in climate through international coordination of a range of observing and research activities as outlined in the documentation for the 49th session of the IOC Executive Council (2016) and in the IOC Capacity Development Strategy (2015-2021). Community-based resilience to climate change will also be strengthened through the safeguarding of cultural and natural heritage and the implementation of the heritage-related conventions. Furthermore, UNESCO Global Geoparks together with World Heritage sites and biosphere reserves will reinforce UNESCO-designated sites as climate change observatories.

12. Having in mind that the duration of the Strategy for Action on Climate Change (herein after the “Strategy”) presented below coincides with that of UNESCO’s Programme and Budget for 2018-2021 (39 C/5), the implementation of the Strategy and reporting thereon will be embedded in the process of the statutory periodic reporting under the 39 C/5.

II. UNESCO PROPOSAL FOR AN UPDATED STRATEGY FOR ACTION ON CLIMATE CHANGE [2018-2021]

13. UNESCO’s contributions to rethinking sustainability globally include a wide range of actions under our mandate reflecting the multifaceted nature of climate challenges and associated mitigation and adaptation solutions. Undertaken in synergy with the overall United Nations system, UNESCO’s climate change actions are and will be developed and implemented through its different Sectors, field offices, designated sites, category 1 and 2 centres, UNESCO Chairs and Networks, with the purpose of providing Member States with climate-related knowledge, data and information services and policy advice to enable a shift in mindsets towards enhanced sustainability.¹³

III. OBJECTIVE

14. The objective of the Strategy is to enable Member States to take urgent action to combat climate change and its impacts through education, sciences, culture and information and communication, in line with the COP21 Paris Agreement and in the overall context of the 2030 Agenda and its SDG 13.

15. Targeting a wide range of stakeholders, including decision- and policy-makers, regions and communities, the private sector, academia, NGOs, youth and individuals, UNESCO will achieve this objective by harnessing its expertise in its fields of competence and built upon its experience and lessons learnt along the following three-pronged approach:

- (1) Knowledge (co-)production and dissemination;
- (2) Provision of climate services¹⁴;
- (3) Policy advice.

¹³ Information on UNESCO’s ongoing climate change actions, including a Climate Change Task Force Working Document prepared for the development of the updated UNESCO Strategy for Action on Climate Change, is available on <http://en.unesco.org/themes/addressing-climate-change>

¹⁴ The notion of climate services refers here to data and information compiled and presented in a way that responds to present expressed and anticipated future needs of stakeholders in relation to their efforts to mitigate and adapt to climate change.

IV. GENERAL PRINCIPLES AND CRITERIA FOR UNESCO'S ACTIONS

16. This Strategy is to be implemented through actions and activities outlined in the UNESCO document 39 C/5 that satisfy a set of general principles and criteria. Specifically, such actions and activities should:

- (a) Meet the needs of Member States in relation to their efforts to realize the 2030 Agenda for Sustainable Development and the Paris Agreement in the overall context of documents 37 C/4 and 39 C/5;
- (b) Draw on, support and be consistent with relevant existing UNESCO programme and priority strategies and action plans;
- (c) Raise awareness on climate change as a cross-sectoral and interdisciplinary issue in an overall sustainable development context while building on the strength and focus of each Major Programme of UNESCO;
- (d) Focus on activities that can be scaled-up in order to ensure a seamless, coherent and structured combination of regular and extrabudgetary sources;
- (e) Ensure synergies with the overall United Nations system.

V. THEMATIC FOCUS AREAS AND PRIORITIES

17. Consistent with the UNESCO's Medium-Term Strategy for 2014-2021 (document 37 C/4), UNESCO actions on climate change shall target the following thematic focus areas:

- I. Supporting Member States to develop and implement climate change education and public awareness programmes and policies;
- II. Promoting interdisciplinary climate knowledge and scientific cooperation for climate change mitigation and adaptation;
- III. Mobilizing creativity, diversity of cultural expression and cultural heritage preservation for climate change mitigation and adaptation;
- IV. Supporting inclusive social development, fostering intercultural dialogue and promoting ethical and gender mainstreaming principles in relation to climate change mitigation and adaptation.

Within these thematic focus areas, priority shall be given to actions contributing to Gender Equality, Africa, SIDS and involvement of youth.

VI. CLIMATE CHANGE AND UNESCO PRIORITIES

VI.I Global Priority Gender Equality [SDG 13 and SDG 5]

18. As stated already in 2001 by the Intergovernmental Panel on Climate Change (IPCC), "climate change impacts will be differently distributed among different regions, generations, age, classes, income groups, occupations and genders" (IPCC, 2001). Gender-specific issues at stake include: (i) women are affected differently and more severely by climate change and its impact on agriculture, natural disasters, climate-change induced migrations because of social roles, discrimination and poverty; (ii) women are largely under-represented in decision-making processes regarding climate change, greenhouse gas emissions and adaptation/mitigation; and (iii) there are

significant gender biases in carbon emissions and hence carbon footprints due to women's and men's economic production and consumption patterns.

19. As women suffer disproportionately from poverty, they will also suffer most when erratic weather brings droughts or floods to marginal lands or crowded urban areas where poverty is most felt. While existing evidence underscores the vulnerability of women to climate change, there is also a wealth of evidence which underlines that women play an important role in supporting households and communities to mitigate the effects and adapt to climate change. Women are most of the world's farmers, household resource managers and caregivers; and women have led – and continue to lead – many of the most innovative responses to environmental challenges. At the local level, women provide particular kinds of social capital for mitigation, adaptation and coping with environmental change, actively organizing themselves during and after disasters to help their household and community.

20. Women are also in the best position to influence changes in behaviour for better disaster risk management as well as participate in and manage post-disaster efforts. Women are also able to map risks and vulnerabilities from their own standpoint and to play an important role in creating and monitoring early warning systems. Women's knowledge in adaptation (traditional and community specific) is an important resource in education for sustainable development. As effective agents of change in relation to climate change mitigation and adaptation, and education for sustainable development, enhancing women's capacities to address climate change is a critical area of action. Women's access to resources as well as their involvement in decisions and the development of policies related to climate change is of utmost importance both to identify their specific needs and priorities but also to make full use of their knowledge and expertise, including traditional practices.

21. Men and women have different access to public awareness information, including early warning systems. These societal and cultural issues must be an integral part of providing truly universal access to information, especially with a view to enhancing gender equality in this vital area.

22. UNESCO will therefore work to raise awareness of gender specificities in adaptation and mitigation to climate change, including through the collection and use of sex-disaggregated data, mapping of gender-specific emissions profiles, and differences in mitigation and adaptive capacities and strategies.

23. Based on the information in the Global Ocean Science Report, to be published in 2017, a sex-disaggregated distribution of researchers in different fields of ocean science will be provided by IOC, including marine science with the focus of climate change. These data will serve as a baseline for biennial performance indicators and targets for the next quadrennial period.

VI.II Climate Change and Global Priority Africa

24. Recognizing that climate change could endanger future well-being of the population, ecosystems and socio-economic progress of Africa and cognizant of the vulnerability of African economic and production systems to climate change and climate variability and the continent's low mitigation and response capacities, UNESCO shall aim to improve education, outreach and the policy dimension of addressing climate change in African countries, in addition to its direct contribution to the regional knowledge base. Particular attention shall be paid to the development of science and technology and related policies, as stated in the UNESCO contribution to the African Union Science and Technology Consolidated Plan of Action.

25. To assist with adaptation strategies along the coast of West Africa, the continuing IOC Integrated Coastal Area Management Project will incorporate a human dimensions component. This is an example of what shall become common practice: incorporating social and policy aspects into all ongoing climate-related science projects in the region.

26. The IOC is developing the capacities of its Member States in Africa by brokering innovation and learning, facilitating the transfer of marine technology and providing science-informed policy advice for the implementation of integrated ocean governance and management.

27. In the area of water UNESCO's International Hydrological Programme (IHP) is implementing projects related to knowledge generation and capacity-building for water management under climate stress in all regions of Africa. IHP is also studying the impacts of global changes on river basins and groundwater resources with a focus on transboundary aquifers and SIDS groundwater systems, enhancing resilience to climate disasters (flood and drought) and urban water needs. This includes the first ever multi-disciplinary assessment of groundwater resources in 199 transboundary aquifers and 42 small islands, and the development and implementation of an experimental drought monitor project for Africa that provides near real-time monitoring of land surface hydrological conditions, based on modelling supported by remote sensing to improve capacity-building and adaptation to climate change.

28. African biosphere reserves, particularly in Central Africa and the Congo Basin, will be promoted as sites for pilot projects for reduced emissions from deforestation and degradation (REDD+), thus addressing climate change mitigation.

VI.III. Climate Change in the UNESCO SIDS Action Plan

29. With an increasingly changing global environment, due in particular to climate change, impacts are showing to be particularly devastating for small island developing states (SIDS), due to their continuing reliance upon natural resources for food security, health, shelter and livelihoods. This was the case in 2015 in Vanuatu after the Cyclone Pam, or more recently after the Cyclone Winston, which hit Fiji in February 2016. The consequences of this global environmental change (coastal inundations from sea level rise, droughts, extreme climatic events, expanding urban or industrial development, establishment of protected areas), exacerbate competition for already scarce resources, such as food, water and accessible land, leading to conflicting contexts at a local level. This is what makes SIDS challenges very specific and puts them in an extremely vulnerable situation.

30. These specific concerns of the SIDS were reiterated by the international community at the Third International Conference on SIDS (Apia, Samoa, September 2014), in the 2030 Agenda, as well as at the UNFCCC COP21. The outcomes of these events shaped the development of the UNESCO long-term SIDS Action Plan approved by the UNESCO Executive Board at its 199th session.

31. The dedicated UNESCO SIDS Action Plan proposes a set of objectives and follow-up actions to address the unique vulnerabilities and challenges faced by SIDS. It represents UNESCO's engagement in the implementation of the SIDS Accelerated Modalities of Action [S.A.M.O.A.] Pathway, while reflecting the 2030 Agenda including the corresponding SDGs and their specific targets, as well as the UNFCCC COP21 Paris Agreement outcomes. Indeed, the Action Plan echoes many articles of the SAMOA Pathway, including *Climate Change* (paragraphs 31-46), and reflects most of the SDGs and some of their specific targets such as SDG 13. It also implements certain articles of the Paris Agreement, in particular articles 4, 6, 7.5, 10, 11, 12 and 14.

32. The focus of the Action Plan consists of five priority areas and aims at reinforcing SIDS human and institutional capacities via education and capacity-building; enhancing the resilience and sustainability of SIDS ecosystems; promoting social transformation, inclusion and justice; preserving tangible/intangible cultural and natural heritage, promoting culture for sustainable development; as well as increasing connectivity, information management and knowledge sharing in SIDS. It mobilizes UNESCO's multidisciplinary expertise from all its programme sectors to address the unique vulnerabilities and challenges faced by SIDS, including climate change. Through the Action Plan, UNESCO will collaborate with SIDS countries and communities to ensure the sustainable management of terrestrial and marine natural resources and heritage at the

regional, national and local levels; the adaptation of individuals, communities and states to climate and environmental change and natural hazards; as well as strengthen SIDS preparedness and response to natural disaster events and population related consequences.

33. One of the actions proposed to reduce island vulnerability and enhance resilience in the face of global environmental change, is the Sandwatch project. Through its broad-based participatory and integrated citizen-science MAST (Measure/Monitor, Analyse, Share, Take Action) approach, Sandwatch helps communities and policy-makers anticipate threats and co-design potential adaptive solutions to reinforce their resilience and contribute to global assessment process.

34. IOC's engagement in support of SIDS will be guided by the IOC SIDS Action Plan and Strategy adopted by IOC Member States in June 2016 in response to the SAMOA Pathway, with particular emphasis on the building of SIDS actions related to coastal hazard early warning systems, the development of marine scientific and technological capacity of SIDS, and enhanced cooperation to assess ocean acidification impacts.

35. The Sendai Framework for Disaster Risk Reduction 2015-2030 highlights international, regional, sub-regional and transboundary cooperation and calls for a broad and more people-centred preventive approach to disaster risk. It specifies seven global targets, among which is the need to substantially increase assistance to developing countries to complement their national action and ensure access to multi-hazard warning systems and disaster risk information and assessment by 2030. The IOC's hazard warning system was developed in complete accordance with the Sendai Framework and is highly relevant in the context of SIDS and low-lying coastal countries.

VI.IV Youth – actors in understanding and addressing climate change

36. Climate change impacts a wide range of sectors that affect the lives of all populations, particularly those of young women and men. The environmental, social and economic consequences of climate change impact youth access to safe and adequate water and food, as well as to education, good health, housing, work and an overall standard of living. Climate change also exacerbates poverty and enhances migration, leading to challenges related to the social inclusion of young migrants.

37. Youth embody the present and the future of the planet. There are currently 1.8 billion young people between the ages of 10 and 24 in the world. This is the largest youth population ever, and in many countries young women and men constitute the majority of the population. These young people are also the most educated, with strong social and environmental awareness and the power to transform societies towards a climate resilient future. As such, youth should play a major role in both understanding and addressing climate change.

38. In line with the UNESCO Operational Strategy on Youth (2014-2021), the role of youth in leading change, by mobilizing their energy and ideas to address climate change, will be particularly emphasized. UNESCO will mobilize its youth networks, including young men and women scientists, to promote mitigation and adaptation to climate change by encouraging their involvement as knowledge holders, innovators and leaders in policy processes, as well as in education and public awareness campaigns. Building capacities of youth to become today's and tomorrow's drivers of green economies, green growth and sustainable development will be a particular priority. This will not only tackle climate change in the long term, but will also respond to major concerns regarding youth employability and livelihoods, and will enhance their recognition and inclusion as key actors in the development of our societies.

VII. IMPLEMENTATION MODALITIES

39. The Strategy will be implemented both through actions undertaken by UNESCO Major Programmes, as well as through intersectoral and inter-programme cooperation involving UNESCO Headquarters and field offices facilitated by the intersectoral UNESCO Task Force on Climate Change. Full use will be made of the UNESCO designated sites (i.e. biosphere reserves, UNESCO Global Geoparks and World Heritage sites) for this purpose.

A. International and Intergovernmental UNESCO Programmes, Networks and Partners:

40. The international and intergovernmental science programmes (MAB, IHP, IGCP, LINKS and MOST) and IOC will be fully engaged in the implementation of the Strategy, including through dedicated joint activities duly reflected in document 39 C/5. Through these programmes, UNESCO will also mobilize the global academic community for common climate change actions.

B. Collaboration with United Nations bodies, including the UNFCCC, and COP host countries

41. The Strategy shall be implemented in synergy with United Nations partner organizations, while avoiding overlaps, consistent with established common core principles for a United Nations system-wide approach for climate action.¹⁵ UNESCO shall also further build on partnership opportunities with the UNFCCC Secretariat on actions of mutual interest for the implementation of the Strategy,

42. Following its initial success in relation to COP20 and COP21, and collaboration in progress for COP 22, UNESCO, through the 'UNESCO for COP' Partnership Initiative (U4C), will continue to cooperate with COP host countries for the mobilization and engagement of the scientific, educational, media, and private sector communities, as well as the public at large, for enhanced climate change awareness and action in the lead-up to, during and in the follow-up to UNFCCC COPs.

C. UNESCO designated sites (World Heritage, biosphere reserves, UNESCO Global Geoparks)

43. The iconic value of UNESCO-designated World Heritage sites, biosphere reserves and UNESCO Global Geoparks means they serve as a very useful platform for the implementation of the Strategy by facilitating the sharing of information on applied and tested monitoring, mitigation and adaptation processes, and by raising awareness on the impacts of climate change on human societies and cultural diversity, biodiversity and ecosystem services, and the world's natural and cultural heritage. Spread across different regions, climates and ecosystems around the world, UNESCO designated sites serve as global field observatories for climate change, where information on the impacts of climate change can be gathered and disseminated. Studies are currently being conducted at several sites, and the results are used to plan tailored adaptation and mitigation measures. This includes the promotion of sustainable applications of renewable energy technologies, energy efficiency and sharing of related best practices.

44. UNESCO supports its Member States, as the sovereign custodians of their sites, in these efforts including in building their capacity to design sustainable development options, responding to the new conservation challenges posed by climate change, developing innovative policy, tailoring management strategies, and recognizing the value of resilient communities and of protected area systems that help safeguard the global environment and human societies from the threats posed by climate change.

45. Finally, by effectively linking efforts under the Paris Agreement and the 2030 Agenda, and by creating synergies and among them and other UNESCO Conventions in the field of Culture,

¹⁵ Common Core Principles for a United Nations system-wide Approach to Climate Action is contained in the Report of the High-Level Committee on Programmes (HLCP) of the United Nations System Chief Executives Board for Coordination (CEB) at its Thirty-First session (document CEB/2016/4)/

UNESCO designated sites provide the Organization with a significant comparative advantage in the overall United Nations family.

D. UNESCO Centres and Chairs

46. The full range of relevant UNESCO category 1 and 2 centres and UNESCO Chairs will be encouraged to engage in the implementation of the Strategy.

E. UNESCO National Commissions

47. Ultimately, the success of the Strategy will depend on the effective mobilization of actors and stakeholders at the national levels. This implies that UNESCO National Commissions and national committees linked to UNESCO intergovernmental programmes have an important role to play, including through projects financed under the UNESCO participation programme, in the implementation of the Strategy.

F. Cities and regional authorities

48. City and regional authorities are increasingly pioneering innovative climate change and sustainability initiatives. UNESCO will subsequently establish mechanisms under the Strategy for effective partnerships with such authorities.

G. NGOs, Youth and ASPnet

49. UNESCO, through its NGO Liaison Committee, Youth Networks and the UNESCO Associated Schools Project Network (ASPnet), will engage with the global NGO community, youth and schools on issues of common interest linked to actions promoting the implementation of the Strategy.

H. Private sector

50. In view of the crucial pivotal role of the private sector for addressing contemporary and future climate change and sustainable development challenges, UNESCO will seek to establish partnerships with relevant private sector partners and branch organizations esteemed for their climate change and sustainable development credentials in industry, business and finance.

I. Intersectoral UNESCO Task Force on Climate Change

51. Established in 2015 by the Director-General as a platform for information sharing, action project design, policy development, fundraising and interagency cooperation with representation of all sectors and central services and dedicated focal points in field offices, the UNESCO Task Force on Climate Change will, under the leadership of the Assistant Director-General for Natural Sciences, contribute to the coordinated and effective implementation of the Strategy. The Natural Sciences and the Social and Human Sciences Sectors are co-chairing the Task Force's Executive Committee.

VIII. BUDGETARY PROVISIONS

52. Financial resources needed for the implementation of the Strategy will be estimated and included in document 39 C/5. It is expected that the effective implementation of the updated Strategy will depend to a significant degree on the availability of extrabudgetary resources. Cognizant of this fact, the Strategy endorses as a guiding principle a focus on activities that can be scaled-up in order to ensure a seamless, coherent and structured combination of regular and extrabudgetary sources. Enhanced efforts for enlarging the donor base and establishing new strategic partnerships will be made. This includes ongoing efforts to renew the Organization's accreditation to the Adaptation Fund and accreditation to the Green Climate Fund. In view of the

fact that many developing countries among the Member States, especially those most vulnerable, will require substantial financial support to carry out mitigation and adaptation efforts, UNESCO will also seek to act as an honest broker assisting Member States in their efforts to secure financing, such as under the Adaptation Fund and the Green Climate Fund.

IX. COMMUNICATION AND OUTREACH

53. Actions undertaken to implement the Strategy shall include communication and outreach components. These shall be fully consistent with the Strategy's mission statement "Changing minds, not the climate" and its objective. UNESCO's social media facilities shall be mobilized in support of the Strategy. This will include the preparation of a set of core messages and graphical resources to be made available to interested Member States and implementation partners. A special brochure for the general public on UNESCO's climate change actions will be prepared.

X. MONITORING AND EVALUATION

54. The implementation of this Strategy will be monitored and reported on as an integral part of the 39 C/5 periodic reporting process. Evaluation of the Strategy implementation will be undertaken in collaboration with IOS.



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

PART I

PROGRAMME ISSUES

SUMMARY

D. Progress report on the promotion of the Revised International Charter of Physical Education, Physical Activity and Sport, and on the monitoring of its implementation

By 38 C/Resolution 43, the General Conference adopted the Revised International Charter of Physical Education, Physical Activity and Sport and, *inter alia*, supported the development of a common framework for the follow-up to the Charter and the Declaration of Berlin, adopted by the Fifth International Conference of Ministers and Senior Officials Responsible for Physical Education and Sport (MINEPS V). The present report briefly outlines the actions taken for the promotion of the Charter and the monitoring of its implementation.

Action expected of the Executive Board: Proposed decision in paragraph 6.



D. Progress report on the promotion of the Revised International Charter of Physical Education, Physical Activity and Sport, and on the monitoring of its implementation
(Follow-up to 38 C/Resolution 43)

1. The revised International Charter of Physical Education, Physical Activity and Sport was launched on 19 November 2015. To ensure its promotion, a UNESCO web page was created (<http://en.unesco.org/SportCharter>) and hard copies of the Charter were distributed.
2. The web page comprises:
 - (i) easy-to-print files of the revised Charter in the six official languages and Portuguese;
 - (ii) a detailed presentation of the revision process, including all related documents and decisions by the governing bodies;
 - (iii) a media toolkit for the promotion of the Charter by UNESCO's partners and networks; as well as
 - (iv) support messages from key stakeholders, including sport ministers, United Nations actors and stakeholders from the sport movement.
3. The launch of the web page was widely relayed through the social media networks of UNESCO and its partners in the field of physical education and sport.
4. Financial support from Monaco made also possible the production of hard-copies of the Charter in the six official languages for distribution at international events. A launch event for the revised Charter in France was hosted on 6 December 2015 in Paris by the Institute of International and Strategic Relations (IRIS) in the presence of some 100 experts.
5. The monitoring of the implementation of the revised Charter will be addressed by the Sixth International Conference of Ministers and Senior Officials Responsible for Physical Education and Sport (MINEPS VI), to be held in Kazan, Russian Federation, from 5 to 7 July 2017, as outlined in document 199 EX/21. A common framework for the follow-up to the Declaration of Berlin adopted by MINEPS V in 2013 and the Charter will notably reflect the need to integrate relevant follow-up guidelines and tools into the overarching framework of the United Nations 2030 Agenda for Sustainable Development and its Goals.

Proposed decision:

6. The Executive Board,
 1. Having examined document 200 EX/5 Part I (D),
 2. Recalling 38C/Resolution 43 by which the General Conference approved the Revised International Charter of Physical Education, Physical Activity and Sport,
 3. Takes note of the efforts undertaken by the Secretariat to promote the Charter;
 4. Further takes note that the implementation of the Charter will be monitored within a framework to be submitted for approval to the Sixth International Conference of Ministers and Senior Officials Responsible for Physical Education and Sport (MINEPS VI);
 5. Urges Member States, civil society organizations and educational institutions to promote the Charter as widely as possible so that its principles can become a reality for all human beings;
 6. Invites the Director-General to submit to the General Conference at its 39th session a report on the promotion of the Charter and on the outcomes of MINEPS VI.



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PART I

PROGRAMME ISSUES

SUMMARY

E. Cultural and educational institutions in Iraq

This document is prepared in follow-up to 197 EX/Decision 5 (I, B). It contains a report on UNESCO's assistance to Iraq during the period from July 2015 to June 2016.

Action expected of the Executive Board: Proposed decision in paragraph 27.



E. Cultural and educational institutions in Iraq (Follow-up to 197 EX/Decision 5 (I, B))

1. This document reports on UNESCO's assistance to Iraq during the period from July 2015 to June 2016, a period which continued to be marked by significant political, security, social and economic instability in the country. While Iraqi military forces achieved to take back areas from the so-called Islamic State of Iraq and the Levant (ISIL), in particular in the Governorate of Anbar, Iraq continued to experience large-scale human suffering, including rising humanitarian needs of internally displaced populations. Widespread human rights violations, "cultural cleansing" and the deliberate destruction of cultural heritage continued to be used as a tactic of war and severely impact the lives of millions of Iraqis.

2. In this context, UNESCO provided assistance to Iraq focusing, on the one hand, on addressing humanitarian needs of the most vulnerable segments of the population in particular internally displaced populations (IDPs) and Syrian refugees, as well as on mitigating risks affecting cultural heritage. On the other hand, UNESCO continued its support to the government's socio-economic reform agenda, through institutional capacity development within its fields of competence.

EDUCATION

3. In response to the severe humanitarian crisis, UNESCO scaled up educational support for thousands of displaced Iraqi and Syrian refugee adolescents and young adults.

4. Through the Japan-funded project "Bridging urgently the gaps in secondary schooling for IDP communities in Iraq" (budget: US \$2,000,000), school materials and supplies were provided to 18 secondary schools, serving over 5,000 students. Financial assistance was provided in support of school operational costs as well as for incentives for 150 teachers. As a result, 1,500 students from grades 9 to 12 attended exam preparation classes, while 800 of them also received a transportation support. Three schools were constructed, four were renovated and all were fully furnished and supplied. The schools will be operating at full capacity in the next school year.

5. Within the context of the project "Improving access to secondary education for Syrian refugees in Kurdistan-Iraq" funded by Japan (budget: \$1,000,000), UNESCO opened four schools. Two schools were constructed and the other two were renovated. Moreover, 75 teachers were provided with financial incentives, textbooks and stationery.

6. Concurrent to its emergency response, UNESCO continued strengthening the Iraqi education system, by providing technical expertise and capacity development in key areas of reform.

7. Through the project "Development of New Iraqi Curricula" (budget: \$4,900,000), funded by the Qatar-based Education Above All (EAA) initiative, UNESCO organized several training workshops to enhance the capacity of the newly established Iraqi National Curriculum and Assessment Center (INCAC) staff in different key areas such as textbook evaluation, curriculum development and management, and the pilot-implementation of classroom assessments. UNESCO experts also supported the INCAC staff in the development of a "National Framework for Assessment and Exams". Two INCACs (one in Baghdad and one in Erbil) will additionally be equipped with educational resources and equipment. In addition, UNESCO in cooperation with specialists from the Ministry of Education (MOE) finalized mathematics and sciences instructional material for grades 4 to 6 and completed all the instructional material at the primary level (student book, teacher guide and activity book).

8. Through the EEA-funded project "Teacher Training Programme for Basic and Secondary Education" (budget: \$4,000,000), UNESCO continued supporting capacity development in the design of mathematics, chemistry, biology and physics teacher training packages for grades 7

to 12. Some 120 supervisors from the MoE of the Kurdistan Regional Government (KRG) were trained on the use of active learning approaches in the classroom. In addition, UNESCO is supporting the establishment of 14 teacher training centres in Iraq through the provision of furniture and equipment.

9. Support to Iraq's higher education system continued through the EAA-funded project "Rehabilitation of Iraq's Higher Education System" (budget: \$5,000,000) focused on strengthening of the institutional and human capacities of the Ministry of Higher Education and Scientific Research (MoHESR) and higher education institutions. Monitoring and evaluation of progress made in implementing quality improvement plans was successfully completed in 24 pilot public universities. Additionally, a national quality assurance (QA) framework was developed and a technical training for 40 members of the established quality improvement councils was organized. The training introduced councils' members to the framework's fundamental aspects and standard requirements for quality programme review. The national framework document aims to institutionalize QA process in all Iraqi public universities by formally establishing the quality assurance system. To improve institutional performance for better governance in higher education institutions, an additional 55 Quality Assurance (QA) administration staff from public universities were trained on quality management and leadership.

10. The "Iraqi Public Sector Modernization (IPSM)" project (Iraq UNDAF Trust Fund; \$2,500,000) continued supporting MoHESR and MoE in establishing adequate organizational structures for improved delivery of services. As a result of its initiative to assist in the establishment of an Education Management Information System (EMIS) for Iraq, UNESCO finalized the migration of the EMIS application, developed in 2014, to a temporary hosting server and completed the online tutorials for both EMIS software administrators and users.

11. Furthermore, in the context of the project "Reforming Technical and Vocational Education and Training in Iraq" funded by the European Union (budget: €12,300,000) UNESCO continued supporting the Iraqi authorities in its reform of the TVET sub-sector to make vocational education and training a key driver of economic development. Over 600,000 young people enrolled in TVET institutions and 20,000 employers in need of workforce with particular skills will benefit from this project. During the reporting period, UNESCO launched a labour market analysis to better assess the current and future needs of the labour market, as a basis for the development of new curricula. UNESCO also started the process of designing a Vocational Qualification Framework, through an inception workshop with senior government officials and the establishment of an inter-ministerial working group. Finally, the updating and modernizing the curricula of the Ministry of Labor and Social Development in three specializations was initiated through training for curricula developers that took place in June 2016.

12. Within the project "Socio Economic Empowerment of Rural Women in the Kurdistan Region-Iraq", funded by the KRG (budget: \$500,000), UNESCO established ten community learning centres in Erbil, Suleimanyia and Duhok governorates' sub-districts and villages between July 2015 and February 2016. In these centres, 600 women and girls, who participated in literacy and life-skill courses, evolved into female agricultural outreach workers, who can disseminate information and equip new learners with life and agricultural skills to increase their productivity and income. Moreover, agricultural productive groups were set up among the selected rural women and girls as a basis for the establishment of a network of rural women outreach volunteers suited to conduct community mobilization activities. The groups will sensitize women and girls in their community on their rights, reproductive health and gender-based violence issues.

CULTURE

13. UNESCO continued to focus on the protection and conservation of Iraq's cultural heritage, as a key element of the country's cultural identity and driver for socio-economic development.

14. In the prevailing climate deliberate destruction of Iraq's cultural heritage, UNESCO proceeded to conduct a number of response activities, in line with the Emergency Response Action Plan for the Safeguarding of Iraq's Cultural Heritage.

15. In close cooperation with the Iraqi authorities, specialized departments and institutional partners, UNESCO continued to monitor the situation of Iraqi cultural heritage at risk. In the face of repeated deliberate targeting of cultural and religious heritage, as well as persecution of people on cultural and religious grounds, the Director-General issued a number of statements condemning cultural cleansing in the country. On 21 January 2016, the Director-General expressed concern after the destruction of the Monastery of St. Elijah in Mosul and on 14 April 2016 and 11 June 2016, she condemned destructions in the ancient city of Nineveh and at the Nebu Temple in Nimrud respectively. Within the overall framework of the "#Unite4Heritage" campaign, a symposium on the "Threats to the Diversity of Cultural Expressions and Means for Addressing its Protection and Promotion" was organized on 30 November 2015, in Erbil, in partnership with the Ministry of Culture of Iraq.

16. Two training workshops, focusing on community-based inventorying and preparation of nomination files for the intangible cultural heritage, were organized in Amman, Jordan, in December 2015, as an integral component of the capacity building programme for the intangible cultural heritage. During the events, the urgent need for safeguarding Iraq's intangible cultural heritage at risk was extensively addressed.

17. In line with UNSC resolutions 1483 and 2199 and with the aim to strengthen the global action to combat illicit trafficking of Iraqi cultural property and to ban its cross-border trade, UNESCO developed various awareness-raising materials, including short television spots and printed materials to be published shortly, thanks to funding provided by Norway (budget: \$154,176).

18. In the context of the "Preventive Conservation of Iraq's Museum Collections and Cultural Heritage Sites at Imminent Risk" project funded by Japan (budget: \$1,500,000), UNESCO procured essential equipment for documentation of museum collections and sites; and delivered to the State Board of Antiquities and Heritage of Iraq, as well as to the National Museum in Baghdad.

19. With regard to the "Documentation, Studies and Planning for the Stabilization and Conservation of Al-Hadba Minaret in Mosul" project funded by the Governorate of Ninewah (budget: \$1,400,000), UNESCO completed an advanced study on the conservation of the minaret. The document was discussed in a one-day seminar, which brought main stakeholders to suggest the roadmaps that could be implemented as soon as the security situation allows. Moreover, a two-week training on architectural conservation was organized in September 2015 in Italy with the participation of eight Iraqi engineers.

20. Within the "Revitalization of the Erbil Citadel – Phase II" project, funded by the KRG (budget: \$12,800,000) UNESCO focused on the planning of site visits, updating the Citadel's heritage buildings database and capacity-building activities. The creation of the Erbil Citadel Interpretation Center entered its last phase.

21. As part of the "Preserving Najaf's cultural heritage and promoting its international visibility" project, funded by the Ministry of Culture of Iraq (budget: \$1,100,000), UNESCO is finalizing a publication in English and French that will feature the state of academic research on the history and contemporary developments in the city of Najaf.

22. Under the project "Enhancing Capacities in the Documentation and Conservation of Historical Religious Buildings and in the Refurbishment of Contemporary Mosques in Historic Contexts" funded by the Ministry of Sunni Endowment of Iraq (budget: \$1,600,000), 3D laser scanning equipment was procured and training provided on the usage of 3D scanners in surveys. Moreover, 12 experts were trained on issues of architectural conservation during January 2016.

NATURAL SCIENCES

23. UNESCO's engagement in the area of natural sciences was scaled up within the framework of the "Advanced Survey of Hydrogeological Resources in Iraq" project, funded by the European Union (budget: €5,000,000). Remote sensing data and digital imagery have been acquired, covering geological, geohydrological and physiographic data for the entire country. In parallel, detailed data analysis, interpretation and compilation has generated significant new information on the groundwater resources. Draft versions of the cartographic products were presented to the Ministry of Water Resources in Baghdad and the KRG Ministry of Agriculture and Water Resources in Erbil, as well as to the EU and respective counterparts.

24. The drafting of a drilling handbook has started and the first curricula for the capacity-building component was developed in accordance with a training programme approved by the beneficiaries. Most of the technical/geo-scientific work related to the processing and compilation of the data relevant to groundwater is nearly completed. The respective datasets are currently being organized to be integrated into the new data repository/web-based information system for the sustainable management of groundwater resources in Iraq.

25. Enhancing the capacity of officials in the area of ground water management is essential. In February 2016, UNESCO organized a ten-day study tour to Italy for officials from the Ministry of Water Resources of Baghdad and the KRG Ministry of Agriculture and Water Resources in Erbil. The study tour served as an opportunity to equip the participants with the knowledge, skills and training needed to improve governmental capacities in managing and sustaining hydrogeological resources in Iraq, including the Kurdistan Region of Iraq.

COMMUNICATION AND INFORMATION

26. With the rise in sectarian tensions and violence, Iraqi media professionals' safety has been increasingly at risk. Meeting the standards of professionalism requires building public trust in the media as a reputable source of information to help in decision-making and hence it has been a continuous challenge for Iraqi journalists. During the reporting period, UNESCO has monitored the situation and initiated a preliminary research work that will lead to an "Assessment on Safety of Journalists in Iraq", based on the UNESCO journalists' safety indicators.

Proposed decision

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

The Executive Board,

1. Recalling 197 EX/Decision 5 (I, B),
2. Having examined document 200 EX/5 Part I (E),
3. Acknowledges with appreciation the results achieved in the implementation of programmes in UNESCO's fields of competence, in particular through capacity-building activities and by addressing the most urgent humanitarian needs of the affected population;
4. Expresses its gratitude to all donors and multilateral and private sector partners for their substantial contribution to UNESCO's action in favour of the Iraqi people, and appeals to them to continue assisting UNESCO in its efforts, in particular to foster reconstruction, dialogue and the safeguarding of cultural heritage in Iraq;
5. Invites the Director-General to present a progress report to it at its 202nd session.



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

PART I

PROGRAMME ISSUES

SUMMARY

F. Report on the implementation of the strategy for the Reinforcement of UNESCO's action for the protection of culture and the promotion of cultural pluralism in the event of armed conflict

The present document is submitted for the consideration of the Executive Board, pursuant to 38 C/Resolution 48 adopting the strategy on the "Reinforcement of UNESCO's action for the protection of culture and the promotion of cultural pluralism in the event of armed conflict", as well as to 199 EX/Decision 5 (I, D) on the "Report on UNESCO's action for the protection of culture and the promotion of cultural pluralism in the event of armed conflict".

The document presents a report on the progress made in the implementation of the strategy since the 199th session of the Executive Board. A draft Action Plan for the implementation of the strategy, as well as a proposal concerning practical ways for implementing a mechanism for the rapid intervention and mobilization of national experts, are contained in document 200 EX/5 Part I Addendum.

Action expected of the Executive Board: Proposed decision in paragraph 24.



F. Report on the Implementation of the Strategy for the reinforcement of UNESCO's action for the protection of culture and the promotion of cultural pluralism in the event of armed conflict

(Follow-up to 197 EX/Decision 10, 38 C/Resolution 48, and 199 EX/Decision 5 (I, D))

I. Background

1. At its 38th session, the General Conference adopted 38 C/Resolution 48, concerning a strategy for the reinforcement of UNESCO's action for the protection of culture and the promotion of cultural pluralism in the event of armed conflict, transmitted to it by the 197th Executive Board.

2. The Resolution invited the Director-General to elaborate, in coordination with Member States and relevant actors, an action plan in order to further refine and implement the strategy, in accordance with UNESCO mandate (paragraph 2); invited Member States to support the elaboration of the action plan for the implementation of the strategy, by defining mechanisms of rapid response and mobilization of national experts, as well as by contributing to the Heritage Emergency Fund (paragraph 3); and invited the Director-General to explore, in collaboration with Member States, practical ways for implementing such mechanism for the rapid intervention and mobilization of national experts (paragraph 4).

3. By 199 EX/Decision 5 (I, D), the Executive Board invited the Director-General to continue the necessary consultations with Member States, the United Nations and other concerned international organizations as appropriate, for the development of the action plan (paragraph 7) and requested the Director-General to further strengthen cooperation between UNESCO, relevant United Nations partners, and other concerned institutional stakeholders, for the implementation of this strategy, together with the action plan, and to submit a report thereon, at its 200th session (paragraph 10).

4. Pursuant to the request by the General Conference, an Action Plan has been therefore elaborated, which defines specific activities to be implemented within the overall framework of the Strategy and in accordance with its two objectives. In addition, a proposal concerning practical ways for implementing a mechanism for the rapid intervention and mobilization of national experts has been developed. Sharing of preliminary information and informal consultation with the Member States on the above has taken place in the context of three successive meetings of the open "friends of #Unite4Heritage" group – between April and June 2016 – whose outcomes have been regularly circulated to each regional group.

5. In order to ensure full consultation of Member States the draft Action Plan and the proposal concerning the rapid response mechanism have been made available to Member States through an online platform, accompanied by a questionnaire. The outcomes of the month-long consultation, which ends on 18 July 2016, and any consequent revisions to the Action Plan and the proposed rapid response mechanism, will be submitted in document 200 EX/5 Part I Addendum. The present document, therefore, contains only a progress report on activities undertaken since the 199th session of the Executive Board. UNESCO regularly receives proposals from experts around the world and needs to develop its in-house capacity to manage and filter these expressions of interest and develop a roster. Funds could therefore be allocated to establish such a mechanism.

II. Report on progress

6. Significant efforts were made to continue and enhance UNESCO's response to the conflicts in Iraq, Libya, Syria, Mali and Yemen at the country level, at Headquarters and through international advocacy. The activities carried out, together with various partners, are in line with the Strategy's two main objectives, as follows.

II.A Strengthening the ability of Member States to prevent, mitigate and recover the loss of cultural heritage and diversity as a result of conflict

7. Cultural heritage in Syria: UNESCO carried out a damage assessment mission to the World Heritage sites of Damascus and the Crac des Chevaliers on 9 and 10 April 2016 and a Rapid Assessment Mission to the World Heritage site of Palmyra from 24 to 26 April 2016. The collected data served as input to a follow-up meeting to the implementation of the UNESCO Action Plan for the Emergency Safeguarding of Syria's Cultural Heritage, co-organized by UNESCO and the German Ministry of Foreign Affairs from 2 to 4 June 2016 in Berlin. The meeting examined the issues of built, movable and intangible heritage with a special focus on local communities. It aimed to take stock of the progress made in the implementation of the 2014 Action Plan for Syria; identify gaps, coordinate ongoing national and international documentation, damage assessment, and capacity building efforts and plan the next steps. This meeting was an important step in UNESCO's efforts and advocacy to bring people from different backgrounds to engage in a dialogue and focus on technical and scientific issues. On the occasion of the Berlin meeting, an MoU was also signed between UNESCO and the German Archaeological Institute (DAI) on cooperation for the protection and preservation of cultural and archaeological heritage. In addition, a meeting on improving inventories of built and movable cultural heritage was organized in Beirut on 6 May 2016. In this context, two special scanners were purchased, for the scanning of old manuscripts and other documentary heritage. Moreover, UNESCO held a second training in partnership with the NGO CyArk from 26 June to 1 July 2016 on 3D documentation of cultural heritage sites. Furthermore, a First Aid support meeting dedicated to intangible cultural heritage was convened at UNESCO Headquarters on 13 May 2016 with the aim of enhancing the safeguarding of various types of Syrian traditional music. The UNESCO Beirut Office is also currently producing awareness-raising video clips on the dangers of the illicit trafficking of Syrian cultural property and of the destruction and loss of cultural heritage.

8. Cultural heritage in Libya: UNESCO and ICCROM, with the support of the United States Embassy in Libya, and jointly with the Libyan Department of Antiquities and other relevant national institutions, hosted an international expert meeting in Tunis from 9 to 11 May 2016. The meeting served to develop a shared understanding of issues covering several areas of cultural heritage preservation in Libya – including built, movable and intangible heritage – and initiate the design of a comprehensive priority action plan which addresses emergency and short term interventions for the safeguarding of Libya's cultural heritage. The meeting also provided an opportunity to explore the wide potential of culture in supporting humanitarian response, reconciliation, social cohesion and dialogue in the country. On the operational side, 14 sets of anti-intrusion systems and security materials were procured for the Libyan Department of Antiquities and a training in their use has been conducted in Tunis for technical staff of the Department of Antiquities and the tourist police on 28 and 29 May 2016. UNESCO will also pursue, in cooperation with UNITAR/UNOSAT, the monitoring of 5 pilot sites through satellite imagery, expanding the imagery analysis to assess urban and agricultural encroachment and erosion of coastal sites. Finally, UNESCO contributed to the rehabilitation works at the damaged Bani Walid Museum, the most affected since the 2011 unrest, providing urgent repair of the windows and doors.

9. Cultural heritage in Yemen: In April 2016 the UNESCO Office in Doha partnered with the General Organization for the Preservation of Historic Cities in Yemen (GOPHCY) to carry out a study and structural analysis of damaged buildings in the Al Qassimi neighbourhood in the World Heritage site of the Old City of Sana'a, which were destroyed in June 2015, in view of their reconstruction. Moreover, UNESCO continues to support Yemeni experts from the General Organization for Antiquities and Museums (GOAM) in the rapid assessment and documentation of damaged archaeological sites and museum collections in the country, including the Dhamar museum which was completely destroyed during airstrikes in May 2015, as well as the museum of Mukalah. Surveyors in the field are using the rapid assessment mobile application that was developed by the UNESCO Office in Doha in cooperation with ICCROM-ATHAR.

10. Cultural heritage in Mali: The Secretariat provided technical support for the preparation of the Malian request for the granting of enhanced protection to the Tomb of Askia – a World Heritage cultural site – by the Committee for the Protection of Cultural Property in the Event of Armed Conflict. The request will be considered at the Committee's next meeting in December 2016. Technical support was also provided for the submission of the Malian request for the granting of international assistance from the Fund for the Protection of Cultural Property in the Event of Armed Conflict established by the Second Protocol in the amount of US \$40,000. This aims at reviewing the planning of emergency measures for protection against fire and structural collapse, adopting relevant national penal legislation and ensuring appropriate military training of Malian armed forces in the field of the protection of cultural heritage. The request will also be considered at the meeting of the Committee in December 2016.

11. Cultural heritage in Iraq: Within the framework of the project for Preventive Conservation of Iraq's Museum Collections and Cultural Heritage Sites at Imminent Risk, funded by Japan, UNESCO proceeded with the procurement of essential equipment for the documentation of museum collections and sites, as well as the organization of training workshops on risk assessment and preparedness for museums, and in the documentation of sites under threat. In addition, within the overall framework of the #Unite4heritage Campaign, and with the aim of raising awareness for the protection of heritage and combating the illicit trafficking of cultural property, awareness-raising materials were prepared, including short television spots and printed materials with funding by the Norwegian Ministry of Foreign Affairs. Moreover, a Preliminary Assessment of the Potential Impact of the Ongoing Crisis and Cultural Cleansing on Iraq's Cultural Diversity was prepared with the aim of setting up concrete actions for implementation.

12. UNESCO, in close collaboration with ICCROM, is elaborating an operational guideline entitled "Heritage under Threat: Emergency Evacuation of Collections", which targets museum professionals and local communities in areas where conflicts, natural disasters and other unpredictable threats could affect heritage collections in museums and archaeological storages. The guideline will be published in English and Arabic, and possibly in other languages, in 2016.

13. The UNESCO Director-General sent a circular letter to all Member States, dated 18 May 2016, in order to gather information on artefacts seized within their territories originating from conflicting countries such as Iraq, Syria, Libya and Yemen, in the spirit of the United Nations Security Council Resolutions 2199 and 2253. Such information will enable UNESCO to prepare a consolidated list of illicitly exported cultural objects looted from these countries in order to facilitate their safe-return to their countries of origin.

II.B. Incorporating the protection of culture into humanitarian action, security strategies and peacebuilding processes

14. To engage with relevant stakeholders outside the culture domain, UNESCO conducted further consultations with United Nations and other humanitarian and peacebuilding actors, including in Oslo and Geneva. As a result, increased opportunities for cooperation and synergy were identified, which have been integrated into the Action Plan for the implementation of the Strategy. In particular, concrete practical modalities for the implementation of the Rapid Response Mechanism were identified (see document 200 EX/5 Part I Addendum).

15. UNESCO held discussions with representatives of NATO Supreme Headquarters Allied Powers Europe in Mons, Belgium (SHAPE) on 19 April 2016, as a follow-up to previous consultations on potential areas of cooperation. Considering the strong interest expressed by NATO representatives on Cultural Property Protection (CPP), the Secretariat is exploring with NATO possible areas of cooperation between the two Organizations, primarily within the scope of the 1954 Convention and of its two Protocols, such as training and awareness raising of military personnel in CPP principles. Any proposal for a formal arrangement or agreement between UNESCO and NATO will be submitted to the Executive Board of UNESCO, in line with current procedures.

16. Regarding the fight against illicit trafficking of cultural property, and the follow-up to the adoption of United Nations Security Council Resolutions 2199 and 2253, participants at a day-long series of round tables, on 30 March 2016, agreed on the ethical responsibility of all players in the international art market to ensure that their actions as sellers and buyers do not contribute to an illegal trade that is depriving peoples in different parts of the world of their heritage. The event, co-organized by UNESCO and the French public auction regulatory body *Conseil des Ventes Volontaires*, brought together representatives of the art market, museums and organizations such as INTERPOL, the World Customs Organization, the United Nations Security Council Monitoring Team and UNIDROIT, as well as government representatives and cultural heritage and legal experts.

17. In order to enhance the integration of culture and heritage in humanitarian aid, human rights, peacebuilding and peace-keeping policy frameworks, UNESCO organized with the support of the Government of Flanders and the European Union's European External Action Service (EEAS) a high-level event, followed by a technical conference on 9 and 10 June 2016 in Brussels, entitled "#Unite4Heritage. Cultural Diversity under attack – protecting Culture for Peace". The technical conference was structured around several issues to which the integration of culture could contribute, such as conflict resolution, dialogue, stabilization, law enforcement, cultural rights and displacement. The high-level segment was attended by the Director-General, long-standing partners such as the World Customs Organization and the European Union, and also by the United Nations Special Rapporteur on Cultural Rights, Ms Karima Bennouna. UNESCO also participated in an expert meeting convened by Ms Bennouna in Geneva, in June 2016, aimed to inform her next report to the Human Rights Council and United Nations General Assembly, due in September 2016.

II.C Advocacy and outreach

18. In the framework of the #Unite4Heritage Campaign, a number of activities were carried out in the field and at UNESCO Headquarters in order to increase awareness about the protection of cultural heritage in times of war. Concerning Yemen, UNESCO, together with 10 leading museums around the world, launched the "Yemeni Heritage Week – Museums United for Yemen". The initiative, which took place from 24 to 30 April 2016, aimed at raising awareness on the richness of Yemen's culture and history through temporary exhibitions of Yemeni collections, gallery talks, press tours for journalists and press conferences, a video conference, introduction to Yemeni heritage on social media and on videos, a live video streaming on Yemeni heritage, and the publication of articles. The museums also produced brochures and booklets as well as dedicated webpages. The campaign had a wide coverage on social media and was received with much interest by the general public.

19. Also framed under the umbrella of the #Unite4Heritage campaign as well as the UNESCO 2003 and 2005 Conventions, from 19 to 22 May 2016, the UNESCO Office in Cairo launched a pilot initiative on Outreach and Museums, to produce a kit on cultural resilience and outreach for children, integrating Syrian refugees present in beneficiary communities. The draft kit, which draws on the historic collections of museums to promote appreciation of cultural diversity, was elaborated in consultation with cultural operators in the fields of heritage, Ministry of Antiquities, education and arts and humanitarian associations, and then tested through a pilot activity with 50 children.

20. In cooperation with the Governments of Italy and Jordan, and in collaboration with INTERPOL and UNODC, UNESCO contributed to an advocacy initiative on illicit trafficking of cultural objects at the United Nations Headquarters in New York. After a kick-off event in the autumn of 2015, three additional events took place between March and May 2016, highlighting aspects relevant to destination countries and the art market; countries of transition and transfer of illegally transported cultural property; as well as cultural heritage destruction and countries of origin. A high-level concluding event is planned for September 2016, which will also see the adoption and publication of concrete recommendations.

21. The UNESCO Office in Cairo continued to support the League of Arab States in enhancing the protection and safeguarding of cultural heritage in the Arab region. Since autumn 2015, technical support was provided through the three coordination meetings of the “International Committee for the protection of the Arab Cultural heritage”, to advocate for the implementation across the Arab region of the United Nations Security Council Resolution 2199 towards an improved protection of cultural heritage, as well as the ratification and implementation of UNESCO relevant culture conventions.

22. With the aim of further strengthening UNESCO’s international advocacy for the protection of cultural heritage during armed conflict, the Director-General participated in the round table “Palmyra Talks” organized by the Austrian Ministry of Culture, at the launch of the Emergency Red List of Libyan Cultural Objects at Risk in German by ICOM (International Council of Museums) on 27 April 2016 in Vienna. The Director-General continued to condemn destructions of cultural heritage through a number of public statements and called for their halting in Iraq (18 April and 11 June 2016), Syria (4 April, 18 and 24 May 2016) and Yemen (19 February 2016).

23. In line with the UNESCO’s Integrated Framework of Action “Empowering Youth to Build Peace”, UNESCO implemented the World Heritage Education Programme in coordination with the UNESCO Associated Schools Project Network (ASPnet) and in close cooperation with National Commissions for UNESCO and partner NGOs in order to provide young people with the necessary skills, values and knowledge to engage them in the protection and promotion of cultural diversity and prevent violent extremism.

Proposed decision

24. In light of the above, the Executive Board may wish to adopt the following decision:

The Executive Board,

1. Recalling 38 C/Resolution 48, as well as 199 EX/Decision 5 (I, D),
2. Having examined document 200 EX/5 Part I (F),
3. Welcomes the progress made in implementing the Strategy for the “reinforcement of UNESCO’s action for the protection of culture and the promotion of cultural pluralism in the event of armed conflict”;
4. Reiterates its call upon all Member States to share information on the artefacts seized within their territories originating from countries in conflict, in order to enable UNESCO to ensure their safe return to their countries of origin as indicated in United Nations Security Council Resolution 2199;
5. Calls on all Member States to make additional voluntary contributions to the Heritage Emergency Fund for the implementation of the strategy, including funds to develop the Secretariat’s capacity to manage and filter expressions of interest from experts and the setting up of a roster.



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PART I

PROGRAMME ISSUES

SUMMARY

- G. Proposed strategy and action plan to protect and strengthen brand recognition of biosphere reserves, world heritage sites, and UNESCO Global Geoparks**

Action expected of the Executive Board: Proposed decision in paragraph 15.



G. Proposed strategy and action plan to protect and strengthen brand recognition of biosphere reserves, World Heritage properties, and UNESCO Global Geoparks

(Follow-up to 196 EX/Decision 5 (II, A))

1. On 17 November 2015, the 195 Member States of UNESCO ratified the creation of a new label, the UNESCO Global Geoparks, during the 38th General Conference of the Organization. This was the expression of Member States' recognition of the importance of managing geological sites and landscapes of international value in a holistic manner.
2. Member States also expressed concern about adding an additional UNESCO conservation label to the existing World Heritage and MAB labels regarding biosphere reserves, as well as the Ramsar Convention (on wetlands) which is not managed within the UN system but which interacts very naturally with the three UNESCO instruments.
3. While all four internationally designated areas (IDAs) share the overall goal of conservation for present and future generations and are in line with sustainable development objectives (SDGs 11, 13 and 15 in particular), each designating instrument has its own purposes, profiles and management requirements, which justifiably sets it apart from the other three designations and impacts on branding issues.
4. Among these sites and areas, there are 263 areas where different IDAs fully or partially overlap thus carrying double, triple or even quadruple international designations. These areas are named Multi-Internationally Designated Areas (MIDAs) for the purpose of this document.
5. In essence, Ramsar Sites target the conservation and wise use of wetlands, while UNESCO Global Geoparks underline the protection of geological heritage. World Heritage properties conserve sites of outstanding universal value, while Biosphere Reserves aim at harmonizing the management and conservation of biodiversity with economic and social development in representative ecosystems of a country.
6. Protecting and strengthening branding implies recognizing the specific value of each of the IDAs and communicating these values to specific stakeholders at the local, national and international levels. It also means recognizing the advantages that joint designations can bring to a site or area as well as drawbacks of having competing brands that might confuse the different stakeholders in the case of MIDAs.
7. It also implies placing UNESCO values at the centre of all communication support materials involving stakeholders. The values of each instrument are inseparable from UNESCO's mandate and values and must be clearly directed towards the achievement of the Sustainable Development Goals.
8. In the document *196 EX/5 Part 2* the Secretariat made reference to a Guidance Document to be published by the IUCN on "*Harmonizing the management of Multi-Internationally Designated Areas: Ramsar Sites, World Heritage sites, Biosphere Reserves and UNESCO Global Geoparks*" (following up on *Resolution WCC-2012-Res-052* adopted at the IUCN World Conservation Congress).
9. Although the IUCN research focuses principally on management issues many of these touch on communication and branding matters because the challenges have often the same origins. The challenges regularly arise when different national authorities are in charge of the same MIDA, and no harmonized legal or administrative framework exists, let alone a coordination mechanism fine-tuning policies and intervention activities of the various responsible institutions.
10. Of importance to the branding issue is the fact that international designations accentuate the significance of an area for public awareness and are helpful in the promotion of global knowledge-

sharing and partnership programmes. On another level they also contribute to raising national visibility and global site prestige, which in turn is prone to reinforcing the economic base of the area through tourism and the marketing of locally-branded products.

11. The independent IUCN study and its proposed recommendations will be reviewed by the respective governing bodies and applied as deemed appropriate. Most importantly there should be action to develop harmonized branding and communication strategies; improve coordination and information exchange among the designating bodies; hold regular meetings among the secretariats; organize joint capacity-building activities on the operations of each designation.

12. Across the Secretariat measures have been put in place since 2008 to reinforce the consistent use of the UNESCO name and logo as applied to different media including web, publications and other public relations activities and partnerships. This has required rewriting operational guidelines for different conventions and programmes to include appropriate logo usage.

13. Moreover, the respective governing bodies (WHC, MAB-ICC, IGGP) each have already paid attention to the communication and protection of the brands, in their respective strategies and operational guidelines:

- **World Heritage Committee:** Strategic Action Plan for the Implementation of the *World Heritage Convention* 2012-2022, notably World Heritage Goal 4: World Heritage maintains or enhances its brand quality. And logo/emblem guidelines: Chapter VIII of the *Operational Guidelines for the Implementation of the World Heritage Convention*.
- **Man and the Biosphere-ICC:** MAB Lima Action Plan 2016-2025, article C.7.1 refers to strengthening the global biosphere reserve brand for which guidelines will be produced in 2017.
- **UNESCO Global Geoparks:** Operation Guidelines, Article 3 (iv) states: In the case where an applying area overlaps with another UNESCO designated site, the request provide evidence for how UNESCO Global Geopark status will add value by being both independently branded and in synergy with the other designations.

14. In 2016, in relation to the issue of protection of the three UNESCO brands and coordination of new applications for the different instruments, a small technical liaison group has been created to facilitate synergies and cooperation between WHC, MAB and Geoparks.

Proposed decision

15. In view of the above, the Executive Board may wish to adopt the following decision:

The Executive Board,

1. Recalling 36 C/Resolution 31 on cooperation between UNESCO and the Global Geoparks Network (GGN), 190 EX/Decision 5 (I) and 191 EX/Decision 5 (III), 195 EX/Decision 5 (I) A, 196 EX/Dec.5 (II, A)
2. Having examined document 200 EX/5 Part I (G),
3. Takes note of the progress achieved and the ongoing brand recognition of biosphere reserves, World Heritage properties, and UNESCO Global Geoparks.



United Nations
Educational, Scientific and
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Executive Board

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

PART I

PROGRAMME ISSUES

SUMMARY

H. Follow-up of the situation in the Autonomous Republic of Crimea (Ukraine)

This information is presented pursuant to 199 EX/Decision 5 (I, E) on the follow-up by UNESCO of the situation in the Autonomous Republic of Crimea (Ukraine) within UNESCO's fields of competence – including a review of existing and planned actions in UNESCO's fields of competence; information provided to the Secretariat on 11 July 2016, as well as on 8 August 2016, by the Permanent Delegation of Ukraine on latest developments in the Autonomous Republic of Crimea and the city of Sevastopol (Ukraine) in UNESCO's fields of competence; and information provided by UNESCO's institutional partners: the United Nations Office of the High Commissioner for Human Rights, the Council of Europe Commissioner for Human Rights, the Representative on Freedom of the Media, Organisation for Security and Cooperation in Europe, the International Council on Monuments and Sites and Amnesty International.

Action expected of the Executive Board: Proposed decision in paragraph 18.



H. Follow-up of the situation in the Autonomous Republic of Crimea (Ukraine)

I. INTRODUCTION

1. In line with 199 EX/Decision 5.I.E on the follow-up by UNESCO of the situation in the Autonomous Republic of Crimea (Ukraine), the Director-General continued to gather information from international organizations within and beyond the United Nations system, as well as from non-governmental organizations (NGOs) that have at their disposal relevant updates on the situation in the Autonomous Republic of Crimea (Ukraine) within UNESCO's fields of competence.

2. To implement the Decision, the Secretariat reviewed existing and planned actions within UNESCO's fields of competence. In addition, the Director-General addressed a letter to the Permanent Delegation of Ukraine to request information on latest developments in the Autonomous Republic of Crimea and the city of Sevastopol (Ukraine) in UNESCO's fields of competence, to which the Permanent Delegation of Ukraine replied on several occasions, as detailed below.

3. Given their relevance to UNESCO's fields of competence and existing partnership relations with UNESCO, the Director-General requested the following organisations to provide relevant updates on the situation in the Autonomous Republic of Crimea (Ukraine) in UNESCO's fields of competence – namely, the United Nations Office of the High Commissioner for Human Rights; the Office of the Commissioner for Human Rights, Council of Europe; the Representative on Freedom of the Media of the Organisation for Security and Cooperation in Europe; the International Council on Monuments and Sites (ICOMOS); and Amnesty International (Official Partner of UNESCO, with Associate Status).

4. The Director-General consulted regularly with the Chairperson of the Executive Board on taking forward the decision of the Executive Board. In parallel, the Director-General held, and will continue to hold, consultations with Member States. Regular consultations were held also between the Assistant Director-General for External Relations and Public Information and the Ambassador and Permanent Delegate of Ukraine. In addition, the Director-General wrote to the Secretariats of the relevant UNESCO Conventions to seize them of the Executive Board decision, with regard to its consideration by their respective governing bodies, as distinctive sovereign bodies chaired by Member States.

5. On 28 June, 2016, the Chairperson of the Executive Board transmitted to the Director-General a Non-Paper drafted by the Permanent Delegation of Ukraine, on the implementation of the 197 EX/Decision 5.II and 199 EX/Decision 5.I.E on "Follow-up of the Situation in the Autonomous Republic of Crimea (Ukraine)". The Chairperson also informed the Director-General that consultations were being held among Member States.

6. Moving forward, the Director-General will continue to strengthen information-sharing and exchanges with institutional partners of the Organization on a regular basis, in order to ensure regular monitoring of developments in UNESCO's spheres of competence. This will include an Information Meeting with Member States on developments in the situation in the Autonomous Republic of Crimea (Ukraine) in UNESCO's spheres of competence, to be held at UNESCO Headquarters prior to the 200th session of the Executive Board, with UNESCO partners, given their relevance to UNESCO's fields of competence and existing partnership relations with UNESCO.

II. REVIEW OF EXISTING/PLANNED ACTIONS RELATING TO THE AUTONOMOUS REPUBLIC OF CRIMEA (UKRAINE)

7. In all of its actions, UNESCO has been guided by the United Nations General Assembly Resolution of 27 March 2014, on "Territorial Integrity of Ukraine", which "affirms its commitment to

the sovereignty, political independence, unity and territorial integrity of Ukraine within its internationally recognized borders”.

8. As reported in 199 EX/5 (I), under Major Programme I, there are four schools and institutions which are part of the UNESCO Associated Schools Network (ASPnet) located in the Autonomous Republic of Crimea (Ukraine): Gymnasium No. 9 of Simferopol City Council, Simferopol, Autonomous Republic of Crimea (Ukraine); Secondary school of I-III Degrees No. 14, Simferopol, Autonomous Republic of Crimea (Ukraine); Alexander Pushkin Secondary School, Gurzuf, Autonomous Republic of Crimea (Ukraine); and Sevastopol Liceum No.1, Sevastopol, Autonomous Republic of Crimea (Ukraine). The secretariat has not received recent activity reports through the National Coordinator from these schools and institutions, which have not been active in the Network.

9. On 19 December 1962, Ukraine ratified the 1960 Convention against Discrimination in Education. Ukraine has not submitted a report on the measures taken for its implementation during the last three consultations, held between 1995 and 2013.

10. Under Major Programme II, the International Geoscience Programme has one existing project relating to the Autonomous Republic of Crimea (Ukraine). Entitled “From the Caspian to the Mediterranean: Environmental Change and Human Response during the Quaternary” (active since 2013, and running to end in 2017). The project leader is the Head of the Department of Physical and Marine Geology, Odessa I.I. Mechnikov National University, with co-leaders from the same university, as well as from Romania, Turkey and Russia. As previously reported, the project seeks to provide cross-disciplinary and cross-regional correlation of geological, archaeological, environmental, and anthropological records, in order to explore interrelationships between environmental change and human adaptation during the Quaternary, to create a networking and capacity-building structure to develop new interdisciplinary research initiatives, and to provide guidance to heritage professionals, policy-makers, and the wider public on the relevance of studying the Caspian-Black Sea-Mediterranean Corridor, for a deeper understanding of Eurasian history, environmental changes and their likely future impacts on humans. The project is planning to hold a Plenary Conference in Georgia from 2 to 9 October, 2016, under the auspices of the Georgian National Academy of Sciences (Department of Earth Sciences), Iliia State University (Faculty of Natural Sciences and Engineering), and the Avalon Institute of Applied Science, Canada.

11. As reported in 199 EX/5 (I), under Major Programme III, the International Children Centre (ARTEK), located in Gurzuf, the Autonomous Republic of Crimea (Ukraine) became a category 2 centre under the auspices of UNESCO in July 2007. The objective of the Centre was to promote learning to live together, tolerance, understanding and knowledge about different peoples, cultures, customs and traditions among young people through artistic education and creativity. The agreement with UNESCO came to an end in July 2013 and may be renewed in conformity with the Integrated Comprehensive Strategy for Category 2 Centres. No action has been taken.

12. Under Major Programme IV, the World Heritage Centre continues to monitor the state of conservation of the World Heritage property “Ancient City of Tauric Chersonese and its Chora”, situated in the Autonomous Republic of Crimea (Ukraine). The property has not been reported by UNESCO’s partners, non-governmental organizations or other concerned intergovernmental organizations, including ICOMOS and ICCROM, as facing threats to its Outstanding Universal Value. A number of specific conservation issues had already been identified and assessed when the property was evaluated and inscribed on the World Heritage List in 2013. Further to concerns expressed by the Ukrainian authorities concerning the state of conservation of the World Heritage property and to past decisions of the Executive Board which invited the governing bodies of UNESCO to assess the situation in Ukraine within UNESCO’s field of competence, a state of conservation report was examined by the World Heritage Committee at its 40th session held in Istanbul, from 10 to 20 July, 2016. The Committee, in its Decision 40 COM 7B.62, urged all parties currently concerned with the state of conservation of the property to refrain from any action that

would cause damages to the property and to fulfil their obligations under international law by taking all possible measures to protect the property. It further requested the State Party to invite, as soon as the situation allows, a joint World Heritage Centre/Advisory Bodies Reactive Monitoring mission to the property to assess its state of conservation.

13. Concerns expressed by the Ukrainian authorities regarding damages to the state of conservation of the “Complex of the Sudak Fortress Monuments of the 6th-16th c.”, site included in the Tentative List of Ukraine in 2007, which were caused by a windstorm, are being followed by the secretariat, in consultation with ICOMOS. No specific information has been received by the World Heritage Centre about possible threats relating to other sites included in the Tentative List of Ukraine that are situated in Crimea (Ukraine) – the Bağcesaray Palace of the Crimean Khans; the Trading Posts and Fortifications on Genoese Trade Routes, From the Mediterranean to the Black Sea; the Cultural Landscape of “Cave Towns” of the Crimean Gothia; and the historical surroundings of Crimean Khans’ capital in Bakhchysarai.

14. With regard to cultural heritage in general, no information has been received by the Secretariat that immovable and movable cultural property in Crimea (Ukraine) has suffered damage or destruction, contravening the provisions of the 1954 Hague Convention for the Protection of Cultural Property in the Event of Armed Conflict and its first (1954) Protocol. The situation in this regard continues to be monitored by the Secretariat in cooperation with its partners, and in particular the International Committee of the Blue Shield and its members, INTERPOL, the World Customs Organization and ICOM.

15. As concerns possible looting, illegal excavations and illicit trafficking of cultural objects, including through illicit export, there is no indication from the specialized institutions with which UNESCO cooperates in this field, notably INTERPOL and the World Customs Organization, of ascertained cases involving unlawful trading of cultural objects originating from Crimea (Ukraine). However, following the letter of 8 August 2016 addressed by the Permanent Delegation of Ukraine to UNESCO concerning paintings exhibited at the Tretyakov State Gallery in Moscow, Russian Federation, the Secretariat has formally seized ICOM and the World Customs Organization with a request for information, and is awaiting their response..

16. The Culture Sector and the secretariats of the Culture Conventions maintain contacts with their partner organizations, sending frequent requests for updated information.

17. Under Major Programme V, the secretariat has continued to maintain contacts with international governmental organizations, such as the Organisation for Security and Cooperation in Europe, as well as international non-governmental organizations, relating to issues of freedom of expression and the safety of journalists in Ukraine and the region. Contacts have continued with the International Federation of Journalists, and the European Federation of Journalists, as well as with national unions of journalists in the region. Issues related to the situation in the Autonomous Republic of Crimea (Ukraine) were discussed during the Side Event – “Two Countries, One Profession: A dialogue between Ukrainian and Russian journalists” – held in Helsinki during the commemoration of the 2016 World Press Freedom Day, organized in cooperation with the IREX Europe, the Russian Union of Journalists and the National Union of Journalists of Ukraine.

III. INFORMATION ON LATEST DEVELOPMENTS IN UNESCO’S FIELDS OF COMPETENCE PROVIDED BY THE PERMANENT DELEGATION OF UKRAINE

Follow-up of the situation in the Autonomous Republic of Crimea (Ukraine) (Follow-up to 194 EX/Decision 32, 195 EX/Decision 5 (II)E, 196 EX/Decision 5 (II)B, 197 EX/Decision 5 (II), 199 EX/Decision 5 (I.E))

The information hereafter is presented as provided by the Permanent Delegation of Ukraine in its letter to the Director-General of UNESCO on 11 July 2016 on her request.

This information, together with factsheets previously provided by Ukraine upon relevant requests of the Director-General as well as on its own initiative throughout 2014-2016, constitutes an integral part of the continuously updated database on the situation in the Autonomous Republic of Crimea and the city of Sevastopol (Ukraine) collected by Ukrainian state and non-governmental institutions in collaboration with international monitoring bodies and missions.

Information on the latest developments in the Autonomous Republic of Crimea (Ukraine)

According to the Decisions “Follow-up of the situation in the Autonomous Republic of Crimea (Ukraine)” adopted by 194 – 199th sessions of UNESCO Executive Board

Temporary occupation of Crimea by Russia led to massive and systemic violations of human rights on the Crimean peninsula. The most vulnerable groups are Ukrainians and Crimean Tatars. One of the key reasons for this deplorable situation is the lack of international control over the situation in the Crimea; forced imposition on the temporarily occupied territory of the requirements of the current legal framework of the Russian Federation, and policy of intolerance and discrimination pursued by the occupying authorities on the grounds of ethnic origin and religion. The population of Crimea is facing numerous humanitarian problems. Thousands have found themselves in the position of internally displaced persons because of discrimination and persecution of occupying authorities. Many ethnic Ukrainians and Crimean Tatars had to leave their homes in Crimea and flee to Ukrainian mainland. Those who stay experience severe limitations in access to their rights, primarily to those within the scope of UNESCO mandate.

National minorities in Crimea have been subject to systematic violations of their rights since occupation and subsequent annexation of Crimea by Russia on 18 March 2014. Documented violations have occurred in the areas of freedom of expression, conscience, and religion; the right to peaceful assembly and association; freedom of the media and access to information; the right to a fair trial and effective remedy; the right to education in one’s native language; and linguistic and cultural rights. The occupying authorities in Crimea are constantly neglecting the investigation of cases of grave violations of the rights to life, liberty, security, and physical integrity of persons belonging to minority groups.

With annexation of Crimea and the city of Sevastopol Ukraine has lost the World Heritage site “Ancient City of Tauric Chersonese and its Chora”; three sites submitted to the World Heritage Tentative List; over 15,000 historical and architectural monuments and sites of a national significance; over 100 museums; three biosphere reserves; the 204-year-old Nikitsky Botanical Garden near Yalta with established research base; 22 unique centres of the National Academy of Sciences of Ukraine (including those actively participating in UNESCO-led programmes and research activities) which had at their disposal the unparalleled scientific equipment such as the research ship “Professor Vodianytsky”, three astronomical observatories in Nauchny, Katsiveli and Yevpatoria, and invaluable research archives.

The international community has taken a range of actions in response to the annexation by adopting a non-recognition policy and imposing restrictive measures. However, the situation with regard to respect of human rights in Crimea, especially those of the indigenous Crimean Tatar people, has been sharply deteriorating.

Rights of minorities falling within UNESCO’s mandate

The situation of the minorities in Crimea should be considered in the broader context of the human rights situation on the occupied peninsula. Since the occupation and annexation of Crimea by Russia, fundamental human rights and freedoms have been severely limited.

On the one hand, Russian restrictive (especially as compared to that of Ukraine) legislation regulating political and civil rights has been extended to Crimea resulting in curtailing the fundamental freedoms of assembly, expression, association, access to information, and religion.

This has had a negative impact on the rights of all residents in Crimea, especially those who oppose and resist occupation.

On the other hand, the occupying authorities of Crimea have applied the new rules in a manner that is particularly repressive towards certain groups, namely human rights and civil society organisations, journalists, activists, and representatives of non-Russian ethnic groups, as well as the Russians who have opposed the annexation.

The overwhelming majority of Crimean Tatars, the indigenous people of the peninsula, opposed the occupation rule and organized civil actions aimed at safeguarding their rights and national identity. This has subjected them to regular reprisals by occupying authorities as well as by the Crimean “self-defence” and other paramilitary groups in Crimea, increased the level of their discrimination and violations of their collective and individual rights.

Russian Federation, having occupied the Autonomous Republic of Crimea and the City of Sevastopol (Ukraine), aims at “squeezing out” of the peninsula of anyone who publicly condemns Kremlin’s illegal actions, rejects forced Russian “passportisation” and attempts to preserve their language, religious and cultural identity. Due to the policies enforced by the Russian occupying authorities, over 20,000 Crimean Tatars have fled their homes and settled in Ukraine’s mainland in search for security and better living conditions.

As for the ethnic Ukrainians, they have become the victims of discrimination and political persecution especially when they explicitly express pro-Ukraine views or their Ukrainian identity (speaking in the Ukrainian language, celebrating Ukrainian holidays, or wearing symbols of Ukraine). Human rights defenders have registered also systemic repressions against the ‘political Ukrainians’ among the Crimean population who identify themselves with the Ukrainian state irrespective of their ethnic origin.

The occupying authorities in Crimea use multiple pretexts for persecution and discrimination against those who oppose annexation. Religion, political position and identity are the most frequently used ones. Crimean Tatars often see their rights violated as both Muslims and opponents of the occupation. Russian authorities have extensively utilized legislation on extremism and terrorism as well as criminal code in order to silence the dissent of the Crimeans who opposed its annexation, targeting non-Russian religious and ethnic groups, especially Crimean Muslims, most of whom are Crimean Tatars. Even politically inactive Crimean Tatars or those who do not belong to the Russian-banned Islamic movements (such as Hizb-ut-Tahrir) may face searches, interrogation, intimidation, and arrest. Furthermore, in violation of international humanitarian law and basic human rights, Russian criminal laws have been used in Crimea retroactively to persecute civil society activists and Mejlis members.

Against the backdrop of gross human rights violations in occupied Crimea, the occupying authorities are fermenting inter-ethnic animosity by spreading the use of intolerant and hateful language, including through pro-Russian mass media and in the discourse of public officials in Crimea. Certain minority representatives and groups are also being frequently labelled in media as “disloyal” to Russia.

The most vulnerable groups include journalists, civil society activists, and representatives of national minorities. The most active segments of Crimean civil society have been subject to abduction, illegal detention and intimidation, and many have left the peninsula or were forcefully deported or banned from entering, as in the case of the leaders of the Crimean Tatar Mejlis.

Timeline of oppressions against Crimean Tatars by occupation authorities

April-June 2016

18 April, 12 May The ‘police’ arrested two Crimean Tatars in Krasnokamianka on 18 April and

four in Bakhchysarai on 12 May. They were illegally charged for their alleged membership in the Hizb-ut-Tahrir organization.

Fourteen people in total, mostly Crimean Tatars, are currently in custody in Crimea awaiting trial in trumped-up cases for their membership in the same organization. Four were arrested in 2015, and so far ten have been detained in 2016.

- 19 April Searches conducted at homes of Crimean journalists Ruslana Liumanova and Liniara Abibulaieva. Later they were taken out for interrogation. On the same day there was a search conducted in the house of Crimean journalist Zair Akadyrov in his absence. As a result FSB summoned him for interrogation.
- 22 April Police raid on a mosque in Sevastopol was conducted. The mosque was encircled by police forces to conduct groundless verification of documents and mobile phones of all people who participated in a prayer.
- 26 April The so-called "Supreme Court of Crimea" banned the Mejlis of the Crimean Tatar people, the highest executive-representative body of the Crimean Tatars, falsely accusing it of being an extremist organization.
During the session, "the prosecutor" of the Crimea N.Poklonskaya, who initiated the process, claimed that "The members of the Mejlis are puppets operated by big Western puppeteers".
- 29 April The same so-called "court" extended the detention of the deputy head of the Mejlis of Crimean Tatar people Akhtem Chyigoz as well as Mustafa Degermendzhy and Ali Asanov, in the framework of the "case of 26 February" infamous for accusations of organization of public disorder against people who participated in peaceful demonstration.
- 6 May A group of armed persons stormed into a mosque in the settlement Molodizhne in the Simpheropol region after the traditional Friday prayer. These armed persons put more than 100 people who prayed there, among them imam of the said mosque, in multiple vehicles and tried to drive them away in the unknown direction. Later the representative of the occupation authorities released all apprehended persons from vehicles under obligation to appear in the police station.
- 7 May 25 Crimean Tatars were apprehended at a central market in Simferopol and interrogated at the police stations. Their fingerprints were collected. There were no explanations of the reason why Muslim residents had been targeted.
- 10 May A group of armed persons raided the popular recreation area situated at mount Ai-Petri top, conducting the inspection of documents and collecting fingerprints.
- 12 May Ilimi Umerov, one of the three deputy heads of the Mejlis, was apprehended by the FSB and interrogated. He is facing charges of calls for violation of the territorial integrity of the Russian Federation for holding public position that Crimea is an integral part of Ukraine. He was released on the same day but is under the obligation not to leave Crimea. Two weeks later FSB interrogated his wife and one of his sons and classified his case.
Masked and armed people conducted mass searches in homes and small enterprises of Crimean Tatars in Bakhchysarai. Four people were apprehended.
- 18 May Administrative punishment was used against participants of events held in Sudak and Kirovs'ke in memory of the victims of the 1944 deportation. People, who participated in the events, crossed cities in their vehicles demonstrating flags with Crimean Tatar symbols.
In Kirovs'ke they stopped near the monument to victims of deportation to light candles. At that moment 4 persons were apprehended and interrogated in the

police stations. Court inflicted 20 hours of compulsory work to all of them.

The next day in Sudak police officers harassed the participants of the rally at their homes ordering them to police stations to draw up protocol on alleged administrative offences.

Three persons were apprehended after similar commemorative event in Bakhchysarai.

24 May

Member of the World congress of Crimean Tatars and of regional Mejlis Ervin Ibragimov was kidnapped later in the night by unknown men wearing the uniform of road police.

Following his disappearance his car was found with keys in the ignition, unlocked but not robbed.

Video footage taken by outdoor security camera shows a group of men stopping his car, chasing after him in his attempt to escape and then forcing him into their vehicle.

His fate remains unknown until today. No official information has been received so far from the police authorities of the occupying power.

26 May

Searches were conducted in Bakhchysarai, Simferopol and Alupka in homes and sales outlets of Crimean Tatars. Searches were followed by interrogations in police station (so-called “Center for countering extremism”).

Three persons belonging to the Crimean Tatar minority were apprehended for 19 hours, their fingerprints collected. They were refused access to lawyers.

The “case of Mejlis”

Mejlis is the representative body of the Crimean Tatar people that draws the guidelines of its ethnic and cultural policy. The overwhelming majority of the international and institutions dealing with human rights issues, including those acting within the United Nations system, as well as OSCE, the European Union, the Council of Europe, a number of national governments, human rights organisations (including HR activists in Russia itself) raised their voices in defence of the Mejlis. Sadly enough, UNESCO did not react at all to this blatant violation of the principles and documents the Organisation is built upon, even despite the direct requests for an adequate public reaction on behalf of Ukraine addressed to the Director-General (in particular, letters with ref. 2031/29-194/087-67 of 14 April 2016 on the decision to ban Mejlis taken by so-called “prosecutor general” of Crimea, and ref. 2031/29-194/087-79 of 27 April 2016 on the similar decision taken by so-called “supreme court” of Crimea).

It is noteworthy that OHCHR considers that the decision to outlaw the Mejlis confirms the significant restrictions already imposed by the de facto authorities on this institution since March 2014. The “judgment” refers to Russian Federation anti-extremism legislation of 2002, which allows for a wide interpretation of what may constitute extremism and unduly restricts internationally recognized freedom of speech standards. In addition, the ‘ruling’ appears to be based on prejudicial evidence and could be perceived as a collective punishment against the Crimean Tatar community. European Parliament which also immediately condemned the banning of the Mejlis, demanded an immediate reversal of this decision, which constitutes “systemic and targeted persecution of Crimean Tatars” and “is an attempt to expel them from Crimea, which is their historical motherland”.

Taking into consideration this tremendous pressure put on the Crimean Tatar community by the occupying authorities, the chairman of the Mejlis, Refat Chubarov, has publicly stated that prior to the Mejlis ban, on 19 February, a majority of its members (23 out of 33) had given him the power to issue decisions on behalf of this institution if “insurmountable circumstances” would prevent its normal functioning. Using this authority, Mr Chubarov set up on 26 April a nine-member “special council” with decision-making powers, which have assumed the functions of the Mejlis. The council is based in Kyiv.

Media freedom and safety of journalists

From the very first days of the occupation, the occupying authorities have cancelled the broadcasting Ukrainian television stations in Crimea and launched attacks against independent journalists and local television and radio stations airing dissenting voices. “Chernomorskaya” TV and radio station, the Centre of Independent Journalists, key Crimean Tatar television station “ATR”, Mejlis newspaper “Avdet”, and the Crimean News Agency were targeted both by the ‘self-defence’ and the occupying authorities through attacks against journalists, intimidation, searches and property seizures, arrests, and close-downs. After the annexation of Crimea, the occupying authorities prosecuted independent media, journalists, bloggers, and even ordinary residents who expressed their views in different social networks.

Another serious obstacle for the activities of independent media was deliberately created by the introduction of the requirement of mandatory re-registration of the media operators on the peninsula. Thus far, only around 230 media operators have been allowed to pass the registration procedure in Crimea and Sevastopol imposed by the occupation authorities under the regulations of the occupation authorities, which constitute 8% of total 3,121 media pull previously registered on the peninsula according to the Ukrainian legislation. This means that all the rest should have ceased their activities as non-compliant to the rules of registration procedure according to the decision of Russian authorities, otherwise their activities may be subject to an intervention by court. The accreditation is being issued at the “Parliament” of Crimea only to journalists that have the passports of the Russian Federation. Moreover, the Crimean authorities usually do not explain the grounds for refusals in re-registration, referring to the legislative regulations on the protection of privacy and personal data. The safety of media and individual journalists which have not received approval from the occupying authorities is not guaranteed at all.

By denying registration to such popular Crimean Tatar media outlets as “ATR” and “Lale” television channels, “Meydan” and “Leader” radio stations, the Crimean News Agency, Avdet newspaper, and the Internet site “15 minutes”, the occupying authorities have not only restricted media freedom and access to information, but also deprived the Crimean Tatar community of indispensable sources of objective information.

Ukrainians of Crimea can only watch Ukrainian TV channels via satellite. There is one 13-minute television programme in Ukrainian shown twice a week on the Crimean TV run by local authorities. The only Ukrainian language newspaper, “Krymska Svitlytsia”, funded by the government of Ukraine, was closed.

There is not a single radio station in Crimea that is free to conduct broadcasting in the same media format as before the annexation of the peninsula. The same “ground zero” situation persists in the sphere of the printed media. No Ukrainian newspapers or magazines are being allowed to Crimea. At the same time, according to the information from the same sources, the Russian state-owned or pro-governmental media (primarily, “Crimskiye izvestiya” and “Crimskaya Pravda” that are sponsored by the so-called “Crimean state council”) have problems neither with re-registration nor with access to information.

The severe limitations introduced into the conditions of operation of media as well as gross violations of the rights of journalists, their harassments and illegal arrests have become a regular practice of Russian authorities on the Crimean peninsula. Damaging and confiscation of equipment, use of force and unlawful detention by the so-called forces of “Crimean self-defense”, illegal dismissals, interrogations by the FSB agents in connection with fabricated accusations of “extremism”, prohibition of entry to Crimea, unfounded prosecution, arrests of property and other measures are widely applied to journalists. Many of them have been forced to cease their professional activities or flee the peninsula to avoid negative consequences.

Actions of paramilitary units of the so-called Crimean self-defense are used as a tool of intimidation of “dissenters” and one of the main sources of human rights violations in the Crimea. They often

accompany their actions not only by insults and threats, but also by arbitrary detentions, beatings of the “unwanted persons” including the representatives of media. Legalization of their activities within the Russian federal law “On the national militia – people's territorial army of Republic of Crimea” has only worsened the situation.

Under such circumstances, dissemination of Ukrainian information products on the Crimean peninsula is possible only through satellite platforms and public resources in Internet. At the same time, although formally the existing internet network on the peninsula is not subject to official bans or limitations, its equipment is being entirely substituted by the communications facilities provided and controlled by Russia. Following the instructions of the Prime-Minister of the Russian Federation D. Medvedev to take the internet in Crimea under the state control and according to the Decision of the Ministry of Communications, the State Joint Stock Company “Rostelecom” has implemented a project of construction of a fiber-optic communication line through the Kerch Strait, replacing the connection provided by the mainland Ukraine and creating all the technical preconditions for exercising an unlimited control over the content of internet communications.

Earlier, on 19 April 2016, “the Crimean prosecutor’s office” submitted an official request for blocking the website “Krym.Realii” (“Radio Freedom” project) on the grounds that it was a “destructive agency, whose publications provide a justification for acts of sabotage, extremism and infinitely discredit the authorities in Crimea, inciting ethnic hatred”. Later on, “the prosecutor general of Crimea” N. Poklonskaya announced her intention to monitor the content of the radio broadcasting at the territory of peninsula transmitted from the mainland of Ukraine in order to “check the possible presence in the broadcasts of the expressions of extremist nature”, and explained that “the explanatory materials for the blocking of the project will be sent to Roskomnadzor “for the complete closure of the information service” Krym.Realii”.

On 12 May 2016 “the Crimean prosecutor's office” officially announced the blocking of the website “Krym.Realii”. “Based on materials collected by the prosecutor’s office of Crimea, Roskomnadzor conducts procedures for blocking access to the project”, – reported “the prosecutor general of Crimea”.

Subsequently, the FSB opened a criminal case against the journalist of the mentioned project. His name has not officially disclosed, but “Krym.Realii” explained that it was its newsmaker Nikolai Semyonov. According to the information of the website, the journalist has been falsely accused under part 2 art.280.1 of the Criminal Code of the Russian Federation (incitement to violate the territorial integrity of Russia with the help of media). His home was searched, the journalist himself has been temporarily released on bail.

Later on, due to international pressure, the activities of the website were unblocked, but no actions were taken in order to bring to responsibility the officials who groundlessly prosecuted the media.

On 30 May 2016 the representatives of the occupying police authorities served Crimean Tatar journalist L. Budzhurova with a copy of a “Warning concerning the inviolability of the federal law on combating extremist activities and federal law on the media”. This action was obviously aimed at threatening the well-known local journalist who is associated with her pro-Ukrainian position.

Since the beginning of the occupation of Crimea by Russia the Ukrainian law enforcement authorities are investigating 27 cases on abuse of the rights of journalists, including 10 on obstruction of journalistic activities.

Education

Throughout the period of occupation of Crimea, the Federal Service for Supervision in Education and Science of the Russian Federation (Rosobrnadzor) has scrupulously controlled schools' curricula and plans at all levels, particularly in relation to teaching in the Ukrainian and Crimean Tatar languages, as well as changes in curricula and in assessment of the instruction system.

Currently, the education system in Crimea has been entirely changed over to the Russian language. The situation regarding teaching in the Ukrainian language has been continually worsening since the beginning of 2016 up to date.

There is only one school with instruction completely in Ukrainian out of seven that existed before occupation which continues to be operational in Crimea. The number of Ukrainian classes in schools has been reduced to one-six comparing to the quantity registered before occupation. The school curricula are being drafted the way that forces the Crimean schoolchildren to skip Ukrainian classes due to the fact that they are superimposed on the classes in mandatory subjects.

At present, the number of children of the primary and mid-level of Crimean secondary schools that study Russian constitutes 96.7% of the total of pupils, 2.76% of them are learning Crimean Tatar language, while only 0.5% of children currently have the possibility to learn Ukrainian. In accordance with forcefully imposed Russian legislation on education, in the higher grades of the secondary school Ukrainian and Crimean Tatar languages are not being taught at all.

Most of schools and classes with former instruction in the Ukrainian language were requalified into instruction in Russian. In connection with this the Ministry of Education and Science of the Russian Federation has undertaken a massive compulsory “re-education of teachers of Ukrainian language and literature” for teaching in Russian.

In March 2016 the State Duma of the Russian Federation established the special working group for reintegration of Crimea into Russian system of education. The meaning of the word “reintegration” is vividly demonstrated by the concrete actions of the occupying authorities in the sphere of education.

Yet another eloquent example of the intolerant approach of the occupying authorities to the issues of education is the school history course. In accordance with the “Guidelines on the specificities of teaching of history and social studies in 2015/2016 and the criteria of evaluation” elaborated by the Crimean Republican Institute of Postgraduate Education under occupation, the new history textbooks that are being mandatorily introduced into secondary school programs, are based on a largely politicized concept of history teaching developed by the Russian Historical Society. This concept envisages, in particular, that the course “The history of Russia” should seize at least 60-70% of world history class time throughout the secondary education period. No doubt, the course of history of Ukraine was reduced to zero.

Science

With the occupation of Crimea by the Russian Federation Ukraine has lost several unique science centers in Crimea. Among them are world-renowned Marine Hydrophysical Institute (MHI), the A.O. Kovalevsky Institute of Biology of the Southern Seas (IBSS) and Black Sea Center for Underwater Research, all three in Sevastopol. The first two institutes had over 150 scientists each working locally in the research facilities; they disposed of two research vessels each (among which the unique research vessel “Professor Vodyanytsky” which belonged to the National Academy of Sciences of Ukraine), as well as of laboratories, training courses and libraries with over a 100.000 items each, including the printed editions of the late eighteenth and early nineteenth centuries. All three were active participants of UNESCO programmes and conference activities. The Marine Hydrophysical Institute has been a part of the Black Sea Regional Programme in Marine Sciences and Services and of the Global Oceanographic Data Archaeology and Rescue Project, both within the framework of the Intergovernmental Oceanographic Committee. The Black Sea Center for Underwater Research, that has been continuously taking an active part in the implementation of the Convention on the Protection of Underwater Cultural Heritage, had to evacuate its scientists and facilities from Crimea to the city of Mykolaiv and restart their activities anew which took substantial time and funding.

The situation with A.O. Kovalevsky Institute of Biology of the Southern Seas is much worse. The facilities of the Institute have not been transferred to the continental part of Ukraine, and only a few members of personnel including its Director V. Yeremeev were able to move to Kiev without any research papers or equipment necessary for further scientific work. This, in particular, prevented V. Yeremeev from participation in the last two Assemblies of the Intergovernmental Oceanographic Commission (IOC) in 2015 and 2016, although he remains the official representative of Ukraine in its Executive Council, and throughout the last ten years has been actively taking part in IOC activities.

Ukraine has also been deprived of its unparalleled scientific facilities in astrophysics and space science situated on the peninsula. Ukrainian Academy of Sciences lost several invaluable assets with the annexation of Crimea. To name just a couple of them, the Crimean Laser Observatory, the Crimean Astrophysics Observatory which has a unique radio telescope, a powerful reflector telescope and a large solar telescope. The National Control and Test Center for Space Systems in the city of Evpatoria, which has the satellite flight control facility and one of the world's most powerful radio telescopes, as well as the Space Monitoring Center situated at Cape Chersonese were not only forcefully taken away from Ukraine but afterwards were immediately handed over to the Military Space Defense Command of the Ministry of Defense of Russia.

Ukraine desperately lacks the national facility of this type in order to continue its satellite program (in particular, the operation of the modern Ukrainian telecommunication satellite "Lybid" which is to provide the functioning of the national satellite communication system), and does its best to revive the National Control and Test Center for Space Systems in new locations, but this requires extensive investments and logistical efforts.

As a result of the occupation of Crimea and dispossession of premises and equipment, some areas of research are currently lost for the National Academy of Sciences of Ukraine, including those within the sphere of UNESCO programmes. Primarily, this concerns a comprehensive study of the basic processes of the modern evolution of the ecosystem of the Black and Azov seas and other regions of the oceans; fundamental and applied physics and climate research in marine environment; development of tools and methods of operational oceanography; the implementation of modern information technologies and systems for collecting, processing, analysis and use of oceanographic data; geomechanical study of stress-strain and gas-dynamic state of the rock mass to ensure the efficient and safe operation of mineral deposits; research of rock mass and the earth's surface, the impact of mining on groundwater and surface facilities and the development of measures to protect them; studies in the area of history and culture of Crimea from ancient times to the present, including archaeological excavations; experimental activities in centimetre- and millimetre-wavelength radio astronomy; laser ranging satellite research to address the problems of space geodynamics; development and modernization of methods and technology of laser-based geolocation.

Given the total absence of international control over the archaeological activities on the occupied peninsula and taking into consideration that Russia bears no obligations under the 2001 UNESCO Convention on the Protection of the Underwater Cultural Heritage, the situation in this sphere is non-transparent and causes great concerns as to potential looting of the underwater heritage and its illegal trafficking of the goods of the sunken cultural property.

Sports

Russia has expropriated a number of Ukrainian sports facilities situated in the Autonomous Republic of Crimea and the city of Sevastopol (Ukraine) thus depriving Ukrainian sportsmen of the possibility to use them for training and preparation for the international competitions, Olympic, Paralympic and Deflyampic games:

- Olympic Sport Centre "SPARTAK", city of Alushta (The Federation of Trade Unions of Ukraine).

- “National Centre of Paralympic and Deflyampic training and rehabilitation for people with disabilities”, city of Eupatoria (The National Committee of sports and people with disabilities).
- Training Centre “DYNAMO”, city of Feodosia (The Central Council of physical training).
- Olympic training centre “AVANGARD”, city of Sevastopol (The Federation of Trade Unions of Ukraine).
- The Centre for training of Olympic reserve “PARUS”, city of Sevastopol (Ukraine)
- State Municipal Company “Sport Recreative complex named after 200 year of Sevastopol”, city of Sevastopol (Ukraine).

Cultural heritage

The situation in the field of culture remains alarming, especially as for Ukrainian cultural heritage property, as well as for the cultural objects kept in the museums in the territory of the peninsula.

It is important to stress that any action undertaken by the Russian Federation in temporarily occupied Ukrainian territory seeking to modify jurisdiction in relation to Ukraine’s cultural, industrial and technical heritage sites is a direct violation of Ukraine’s sovereign rights and of universally recognized standards and principles of international humanitarian law, including the provisions of the Convention for the Protection of the World Cultural and Natural Heritage (1972), the Convention for the Protection of Cultural Property in the Event of Armed Conflict (1954), the Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property (1970) and the UNIDROIT Convention on Stolen or Illegally Exported Cultural Objects (1995).

Today, the law enforcement agencies of Ukraine are investigating the illicit trafficking of Ukrainian cultural property from Crimean museums. In particular, the Ukrainian Main Department of the National Police for Crimea and in the city of Sevastopol continues the pre-trial investigation in the criminal proceedings initiated on 11 November 2015 for the illicit trafficking of items from the museums located on the temporarily occupied territory of Crimea, in particular of Aivazovsky paintings, which constitute valuable objects of cultural heritage of Ukraine. The criminal proceedings have been initiated on the basis of a criminal offense under Art. 356 of the Criminal Code of Ukraine. In the framework of the pre-trial investigation in the above-mentioned criminal proceedings the law enforcement agencies are verifying the information on the illegal transfer of Aivazovsky paintings from the Feodosia museum to Russia.

The statement of M. Piotrovsky, Director of the State Hermitage (Saint Petersburg, Russian Federation) during the 386-th meeting of the Federation Council of Russia's about the recent replenishment of the museum with new exhibits from the Crimean peninsula demonstrates that illegal archaeological research, as well as illicit trafficking of cultural property originating from the temporarily occupied territory of Ukraine, have already become an everyday practice blessed at the highest state level in Russia.

According to the media, in March 2016, eight paintings were moved from the Aivazovsky National Art Gallery to the museums of the Moscow region for the exhibition. In addition, the Director of the Feodosia Art Gallery T.Hayduk has publicly announced, that the most famous Aivazovsky paintings are to be moved out for the exhibition to the Tretyakov State Gallery in Moscow in July 2016.

The mentioned transfers of valuable cultural property is highly alarming, since it is being undertaken without consent of Ukraine which is the only legitimate owner of these objects, and since their return into the territory of Ukraine is not guaranteed.

The latest developments with the state of conservation of cultural property, including Khan's palace of Bakhchisarai submitted to the World Heritage Tentative List in 2005 by Ukraine, demonstrate the negligence of the occupying authorities with regard to the preservation of cultural heritage in Crimea. Lately, according to many sources, the current state of conservation of the property has significantly deteriorated. In particular, the Khan mosque has been partially ruined, the palace roof has been slammed, many cracks have appeared both on the roof and on the walls. Moreover, over the last two years the CEOs of the Bakhchisaray Palace have been replaced three times, which did not enable any efficient control over the site.

There is also worrying situation with the state of conservation of the Genovese citadel in Feodosia, where the occupying authorities have created the military base.

With regard to the state of conservation of the World Heritage property “Ancient city of Tauric Chersonese and its Chora”, the local media recorded a number of examples of violations of regime of use of protected areas and their off-limits (buffer) zones within the ancient Chersonese Chora, as well as the illegal construction of a building there (Rubizhna str. near the Kazan bay, in Sarandinakiniy, Ushakov and Quarantine hollows), and the destruction of the ancient road between Kamyshovaya and Omega bays.

Another sensitive issue of the management of the property is the operation of the functioning Saint Vladimir's Cathedral within the protected area of Chersonese ancient settlement. The everyday activities of the parish of mentioned church is threatening the state of conservation of the property. There is also evidence of illegal barbaric destruction of the so-called Chersonese agora in the surrounding area of the cathedral.

In March 2016, as a result of negligent management of this World Heritage site, the property was left without an adequate protection: the illegal excavations, as well as the burning of wastes, were carried out in the immediate vicinity of the ancient city.

In addition to the risks that are envisaged in the dossier and management plan, the new unexpected risks have arisen, in particular the militarization of the environment of outstanding historic value, where the ancient chora is being partially used by the military forces. In particular, the restoration of the military airfield undertaken in 2015 and the construction of accompanying military camp were carried out within its most valuable area, without proper archaeological assessment or surveillance, thus leading to the destruction of ancient mansions, ancient plantage walls within one of the most valuable of its sites – the Mayachnyi peninsula near the so-called “Chersoneses of Strabon”.

Many cultural institutions of Crimean Tatars had been functioning in Crimea before the occupation of the peninsula. From the very first days to the present date, despite numerous pledges by occupying authorities, no new cultural institutions have been built.

Summary

Under illegal occupation of Crimea by the Russian Federation, the situation on the peninsula continues to deteriorate, leading to grave and systemic violations of human rights and fundamental freedoms, as reported by international human rights institutions, the United Nations, the OSCE, the Council of Europe, as well as by global, regional and Ukrainian national non-governmental organizations.

Under international law the Russian Federation bears full responsibility for human rights violations in the Autonomous Republic of Crimea and the city of Sevastopol as an occupying power in effective control of the Crimean peninsula, and is obligated to respect, protect and fulfil human rights and fundamental freedoms in Crimea in line with the international treaties to which the Russian Federation is party, as well as its commitments as UNESCO Member State to uphold those human rights and fundamental freedoms.

The violations of human rights and fundamental freedoms in the Crimean peninsula are marked in particular by increasing repression, violence, and discrimination against the Crimean Tatar indigenous people and ethnic Ukrainians, including abductions, killings, torture and ill-treatment, forced disappearances and harassment, arbitrary arrest, detention or incarceration.

The reprisals by the occupying authorities against the Mejlis of the Crimean Tatar People and its leaders, as well as the severe restrictions on the freedom of peaceful assembly and association, including the traditional events to commemorate the anniversary of deportation of Crimean Tatars in 1944 recognized by the Ukrainian Parliament as genocide of the Crimean Tatar people, are the evidence of a targeted repression against the indigenous ethnic community that opposes the occupation.

The education in and of the Ukrainian language is disappearing in Crimea through pressure on school administrations, teachers, parents and children to discontinue teaching in and of the Ukrainian language, which further limit the presence of the Ukrainian language and culture on the peninsula.

The occupying authorities continue to actively use administrative resource in order to transfer and redistribute the cultural property belonging to Ukraine to the Russian federal government, often with a lack of transparency. In the absence of external monitoring and supervision, the illicit trafficking of Ukrainian cultural property from Crimean museums for exhibitions has assumed significant proportions.

The severe limitations are being imposed by the occupying authorities on media freedom and freedom of expression in Crimea, where Ukrainian television channels are switched off and replaced with channels originating from the Russian Federation, Crimean Tatar media organizations are forced to close, and the journalists are threatened, intimidated, and persecuted.

This list of violations of basic human rights on the Crimean peninsula within the spheres of UNESCO's competence is definitely incomplete. The reason for this is the lack of meaningful and permanent independent monitoring of the situation on the ground and a total absence of transparency of Crimea under Russian occupation.

This is why it is, no doubt, of utmost importance to continue to collect and analyse information from all information sources, making proper use of reports presented by intergovernmental and non-governmental bodies engaged into collection of information concerning the developments in Crimea falling within UNESCO's mandate. At the same time, it becomes even more obvious that major amount of the violations of human rights in Crimea pertaining to the spheres of direct UNESCO's competence is not covered by the monitoring activities of other institutions, both intergovernmental and non-governmental, due to specificity of their mandates. The direct UNESCO monitoring of the situation on the peninsula is the only viable answer to this challenge, and there is no other alternative.

The scope of violations of United Nations and UNESCO fundamental documents in Crimea keeps growing at alarming rates within the atmosphere of total impunity. The decisions adopted at the 196th – 199th sessions of UNESCO Executive Board provide Organization with guidelines on creation of a comprehensive direct monitoring mechanism that should become a powerful tool in dealing with this challenge. Unfortunately, up to date the possibilities presented by these guidelines have not yet been used to full extent.

Considering the above-mentioned, Ukraine stands for complete and meaningful implementation of the Executive Board's decisions concerning the follow-up of the situation in the Autonomous Republic of Crimea (Ukraine) aimed at creation of result-oriented monitoring mechanism that will efficiently address the human rights violations in occupied Crimea within the scope of competence of UNESCO.

**Постійне
представництво
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№ 2031/29-194/087- 147

08 August 2016, Paris

Dear Madam Director-General,

I write to you with regard to the situation with the illicit trafficking of Ukrainian cultural property from the temporary occupied territory of the Autonomous Republic of Crimea (Ukraine).

As I have already informed you in my letter № 2031/194-087-132 of 11 July 2016 concerning the information on the latest developments in Crimea and the city of Sevastopol (Ukraine) in the fields of competence of UNESCO, the Director of the Feodosia Art Gallery T.Hayduk publicly announced, that the most famous paintings of Ivan Aivazovsky would be moved from Feodosia to Moscow for the exhibition at the Tretyakov State Gallery in July 2016.

The execution of this decision has been confirmed in the article in «Deutsche Welle» of 02 August 2016.

<http://www.dw.com/uk/%D0%BA%D0%B0%D1%80%D1%82%D0%B8%D0%BD%D0%B8-%D0%B0%D0%B9%D0%B2%D0%B0%D0%B7%D0%BE%D0%B2%D1%81%D1%8C%D0%BA%D0%BE%D0%B3%D0%BE-%D0%B7-%D1%84%D0%B5%D0%BE%D0%B4%D0%BE%D1%81%D1%96%D1%97-%D0%B2-%D0%BC%D0%BE%D1%81%D0%BA%D0%B2%D1%96-%D0%BD%D0%B5%D0%B1%D0%B5%D0%B7%D0%BF%D0%B5%D1%87%D0%BD%D0%B8%D0%B9-%D0%BF%D1%80%D0%B5%D1%86%D0%B5%D0%B4%D0%B5%D0%BD%D1%82/a-19442005?maca=ukr-rss-ukmet-ukr-all-3816-xml>

Thus, according to the media, regardless of the official protest of Ukraine (the relevant statement of the Ministry of Culture of Ukraine is attached herewith), and absence of reaction of UNESCO to this blatant violation of its fundamental standards, 10 paintings and 28 drawings of Ivan Aivazovsky were transferred from the Feodosia Art gallery to the Tretyakov State Gallery.

In this regard, I would like to stress, that Ukraine considers such actions of the Russian Federation in the temporarily occupied territory of the Autonomous Republic of Crimea as a direct violation of Ukraine's sovereign rights and of universally recognized standards and principles of international law, in particular of the provisions of the Hague Convention for the Protection of Cultural Property in the Event of Armed Conflict (1954), the Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property (1970), as well as the UNIDROIT Convention on Stolen or Illegally Exported Cultural Objects (1995).

In addition, I would like to inform you that we have also provided Mr. Francesco Bandarin, Assistant Director-General for Culture a.i., as well as Mrs Mechthild Rössler, Director of the World Heritage Centre, Secretary of the Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property 1970, with the afore-mentioned information and requested to include this item to

the provisional agenda of the upcoming meetings of the 20th session of the ICPRCP and the 4th session of the Subsidiary Committee of the Meeting of States Parties to the 1970 Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property (September 2016). In our view, these discussions should result in elaboration of concrete recommendations with regard to the possible application of the protection mechanisms of the UNESCO Conventions to this specific case without unnecessary delay.

In view of the above, I would expect public reaction on behalf of UNESCO concerning this flagrant act of violation by Russia of norms and principles of international law.

Given the significance of this case, the authorities of Ukraine consider it important to include the information hereon in your report to the upcoming 200th session of the Executive Board envisaged by the relevant Decision of the 199th session of UNESCO Executive Board.

Please, accept, Your Excellency, the assurances of my highest consideration.

Attachment: 1 page.



Oleh Shamshur
Ambassador, Permanent Delegate

H.E. Mrs Irina Bokova
Director-General

UNESCO

**Statement of the Ministry of Culture of Ukraine on the exposure of the paintings
of Ivan Aivazovsky from the collection of the Feodosia Art Gallery at the
exhibition «Ivan Aivazovsky. For the 200th anniversary of birth» at the Tretyakov
State Gallery**

Due to the gross violation by the Russian Federation of all norms of international law, including those, which are arising from the occupation of the part of the territory of Ukraine, our country has no possibility to control the state preservation of cultural property situated in the temporarily occupied territories, especially those that are part of the Museum Fund of Ukraine.

We would like stress once again, that, pursuant to Article 5 of the Hague Convention of 1954, the Occupying Power should take all measures to support the competent national authorities of the occupied country in safeguarding and preserving its cultural property.

Therefore, Ukraine calls upon the international community, the relevant institutions of foreign states and Member-States of international organizations to suspend the cooperation with Russian cultural institutions, which are receiving movable cultural property that are illegally being transferred from the territory of the Autonomous Republic of Crimea and the city of Sevastopol, as well as to suspend holding of exhibitions in such Russian museums and exhibitions of items of Russian museums abroad.

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4 July 2016

Dear Ms. Bokova,

Thank you for your letter of 20 May 2016, asking for the latest developments in “the Autonomous Republic of Crimea and the city of Sevastopol (Ukraine)” in the fields of UNESCO’s competence.

I am pleased to enclose a series of updated excerpts of our reports on the situation of human rights in Ukraine (May 2014 – May 2016) in line with UN GA resolution 68/262 on Territorial integrity of Ukraine. I hope you will find this information useful, and look forward to discussing this matter with you at the next opportunity.

Yours sincerely,

A handwritten signature in black ink, appearing to read 'Zeid Ra'ad Al Hussein'.

Zeid Ra'ad Al Hussein
High Commissioner for Human Rights

Ms. Irina Bokova
Director-General
UNESCO
Paris

Compilation of the fourteen Human Rights Monitoring Mission in Ukraine' public reports

Issued since 15 May, 2014 till 15 May 2016

Contribution on the situation of cultural rights in Crimea for UNESCO

Two years ago, the Russian Federation assumed control over Crimea after a "referendum", which was not authorized by Ukraine and had "no validity" according to UN General Assembly Resolution 68/262, was held on the peninsula. Since then, Crimean residents have witnessed a sharp deterioration of the human rights situation, including the imposition of a new legal framework restrictive of civil liberties, abductions and disappearances, the shutting down of opposition media outlets and the silencing of dissenting voices through the initiation of repressive measures, including abusive criminal proceedings, targeting mainly pro-Ukrainian activists and Crimean Tatar institutions.

Since March 2014, Crimean residents have faced serious challenges in realizing their rights under the International Covenant on Economic, Social and Cultural Rights (ESCR). This can be attributed, in part, to the complicated transition between two different legal systems, but also to the absence of appropriate reactions of the authorities in Crimea to human rights violations affecting certain communities. This concerns, in particular, the Ukrainian and Crimean Tatar communities who are being harassed, assaulted and prosecuted for speaking Ukrainian or Tatar languages in public places or using national symbols. Such conditions are also reflected in the diminishing possibilities to receive education in another language than Russian, particularly in Ukrainian.

Language and education

There are only two Ukrainian schools in Crimea: in Yalta and Simferopol. According to the head of the Department of Education in Simferopol, three out of four classes in the Simferopol gymnasium will now use the Russian language. The decision is motivated by the decision of 86 % of the parents who reportedly decided to switch to Russian-language studies. The director of the gymnasium was allegedly forced to resign. There is information that the local authorities in Sevastopol are planning to close the only Ukrainian boarding school/orphanage.

On 14 May, 2014, the press service of the Ministry of Education and Science of the Russian Federation reported that teachers of the Ukrainian language and literature of general educational institutions could be re-trained to become teachers of the Russian language and literature. The Presidential Council for Civil Society Development and Human Rights of the Russian Federation recommended to keep the study in the Simferopol Ukrainian gymnasium in Ukrainian language and to resume the work of the Faculty of Ukrainian and Crimean-Tatar Philology in the Tavrida National University.

According to preliminary information obtained in Yalta, Russian is the only language of instruction in that city. This is also true of the 'Ukrainian gymnasium' in Yalta, which used Ukrainian as the language of instruction before the March 'referendum'. Ukrainian language can still be taught as an option twice a week, although such optional teaching still violates the right of Ukrainians to study in their native language. The director of this school was dismissed from her post on 9 September 2014.

Since March 2014 there are out of the 600 secondary schools in the peninsula, only 20 teach Ukrainian language and literature three hours per week. Teachers of Ukrainian language and literature have been forced either to retrain on their own account or to resign. In the last six months, the number of high schools teaching Ukrainian has dropped from 96 to 12. According to Ms. Popovich, this would be explained by a cessation of funding to schools refused to join the newly created Crimean Federal University.

1 September 2015 marked the beginning of the new school year in Crimea where the education curriculum of the Russian Federation has continued to be applied. Information from the Crimean 'ministry of education' concerning the language of education confirms the trend already noticed last year that the overwhelming majority of children (96.4 per cent) use Russian language in their school curriculum.

Education in Ukrainian language dropped significantly in the past two years. In 2013, when the curriculum of Ukraine was last used, the number of children educated in Ukrainian was 12,694; in 2014, it was 2,154; and in 2015, it is 949. Twenty-two schools across the peninsula are currently providing teaching in Ukrainian but only two schools – in Alushta and Feodosiya – offer full primary and secondary education (grades 1 to 9) in that language. The number of children educated in Crimean Tatar language has remained relatively stable. In 2015, Crimean Tatar is the language of education of 5,334 children. In 2014 the figure was 5,146, and in 2013, it was 5,551. Currently, teaching is done exclusively in Crimean Tatar language in 15 Crimean schools.

Some Ukrainian and Crimean Tatar parents told HRMMU that the *de facto* authorities were discouraging the use of minority languages, notably by preventing the grouping of children by language preference and placing them in classes with Russian language education. This claim is disputed by the *de facto* authorities. The 'minister of education, science and youth' of Crimea stated in September that separate classes were opened for minority language education if at least seven parents would request it.

In light of Article 27 of the ICCPR, the HRMMU recalls that all the national communities in Crimea must be supported to preserve, develop and promote their identity, language and culture, and to use their mother tongue in education and daily life.

Violations of the right to freedom of opinion and expression

In April, 2014, some Crimean media outlets moved their editorial offices to mainland Ukraine due to fear for their personal safety and impediments they were facing in their work.

Examples of such moves are Internet portal "Blackseanews", TV channel "Chornomorka" and Internet portal "Events of Crimea".

The broadcasting of the Ukrainian TV channels in Crimea has been disconnected since early March, 2014, and is only available via satellite.

On 15 May, 2014, a photojournalist of the "Crimean telegraph" newspaper Maksim Vasilenko was briefly detained and ill-treated by members of the "self-defence of Crimea" in Simferopol while preparing a report about the training of the special police forces before the commemoration of the 70th anniversary of the Crimean Tatar Deportation. A cameraman of the "FM" television channel was also attacked; his phone was taken and his equipment was broken.

On 18 May, 2014, Osman Pashayev, Chief Editor of "Open Crimean Channel" internet project, and his crew (correspondent, cameraman and driver) were detained by members of the "Crimean self-defence" during the mourning events related to the anniversary of the Crimean Tatar Deportation. They were deprived of their equipment, phones and personal belongings, and subjected to physical and psychological pressure for four hours. No reasons were given for the detention. After being brought to the central district police station of Simferopol, they saw their lawyers and were released. Their money and personal belongings were not returned.

On 2 June, 2014, the Editor of the "Crimean Centre for Investigative Journalism", Sergey Mokrushyn, and his cameraman Vladien Melnikov were attacked by members of the "Crimean self-defence" in Simferopol, taken to their headquarters (on Kirova 26) and beaten. They were eventually transferred to the police station for questioning, and released without any explanation being given for their detention and or any protocol of detention having been drawn up by the police.

The HRMMU recalls that acts of aggression, threats and intimidation against journalists must be investigated, prosecuted and punished and victims provided with appropriate remedies.

Several Ukrainian and Crimean Tatar media outlets are under threat of closing. The editor's office of "Krymskaya Svetlitsa", the only Ukrainian language newspaper in Crimea, received an order from the Crimean authorities to leave the premises which they have been renting for years. The distribution network refuses to distribute the newspaper in its newsstands and it has not been included in the subscription catalogue.

The chief editor of the Crimean Tatar newspaper *Avdet* was summoned on 24 July 2014 by the Crimean FSB and informed that a complaint had been lodged against the newspaper by a media monitoring body, the Russian Federal Service for the Supervision of Communications, Information Technology and Mass Media (Roskomnadzor). The complaint relates to the publication of information about the decision of the Mejlis to boycott elections in Crimea scheduled for September 2014. A similar complaint has been made against another Crimean Tatar newspaper, Qirim. Since March 2014, no Ukrainian TV channels have been broadcast in Crimea and they were switched off by the Crimean cable operators as of 1 July 2014.

On 17 September 2014, *Avdet* editor, Shevket Kaibullayev, was given an official warning by the FSB for 'actions that might incite extremist activities'. A day earlier, the paper's offices in Simferopol were searched and on 18 September the FSB forced all tenants, including *Avdet's* staff, to vacate the premises.

On 12 September 2014, the 'Broadcasting Centre of Crimea' refused to return the equipment of Chornomorska TV Company, which it had previously confiscated despite the decision of the Commercial Court of Crimea. The confiscation of equipment had disabled the work of the channel.

On 1 October 2014, six editors and journalists of Crimean Tatar programmes on the Crimean State TV and Radio Company Krym were dismissed from their posts due to 'restructuring'. According to the former chief editor, the authorities in Crimea appointed a new editor, who announced the enrolment of new staff in order to change the content of the Crimean Tatar programs.

On 26 January 2015, armed masked men raided the premises of the Crimean Tatar TV channel ATR. Equipment was confiscated and some staff members were detained for several hours. According to Crimea's prosecution office, the channel had been warned against violating the Russian Federation law on extremist activities.

On 1 April 2015, the deadline for re-registration of all Crimean media outlets under the law of the Russian Federation expired. *Roskomnadzor*, the Russian Federation media registration agency, registered 232 media. The HRMMU has analysed the situation of the Crimean Tatar media and identified at least seven media outlets which were denied registration. They include the television channels *ATR* and *Lale*, radio stations *Meydan* and *Lider*, news agency *QHA*, the newspaper *Avdet* and the Internet site *15minut*. *Roskomnadzor* cited procedural violations as the main reasons for rejection. Some media were unsuccessful despite submitting several requests. On 30 and 31 March 2015, dozens of people gathered outside the ATR studio and several were briefly detained for trying to make a video clip in support of the channel.

The HRMMU notes that although some media outlets arguably continue operating in Crimean Tatar language, the TV channel mostly watched by the Crimean Tatar community (*ATR*) and the mostly read newspaper (*Avdet*) were denied licenses to continue their work. The HRMMU recalls that undue restrictions on the right to seek, receive and impart information and ideas of all kinds gravely undermine media pluralism and violate freedom of expression, which is protected under Article 19 of the Universal Declaration of Human Rights and Article 19 of the ICCPR.

Violations of the right to freedom of religion or belief

On 25 April, 2014, the Ukrainian Orthodox Church of Kyiv Patriarchate (UOC-KP) expressed deep concern that the authorities in Crimea did not comply with the written arrangements guaranteeing the safety of the Crimean diocese. In Sevastopol, the Temple of Martyr Clement of Rome, located on the territory of the Training Unit of the Ukrainian Navy,

has practically been taken away from the Ukrainian Orthodox Church of Kyiv Patriarchate. The Archimandrite Macarius (ethnic Russian) and the parishioners are not allowed into church by the Russian military men that guard the territory. The attempts of the Crimean diocese to meet with representatives of the current city authorities of Sevastopol on this and other issues failed. Similar situation occurred with the Temple of the Intercession of the Theotokos (Protection of Virgin Mary) in the village of Perevalny. The priest and parishioners report harassment by representatives of the Ukrainian Orthodox Church of the Moscow Patriarchate. For example, on 13 April 2014, during the Palm Sunday celebrations, some unidentified persons tried to prevent members of the congregation from entering the church, and attempted to provoke a conflict.

On 21 July 2014, a house in the village of Mramornoye (near Simferopol), which was the property of the UOC-KP, was burnt to the ground. A church and buildings, also belonging to the UOC-KP and located on the same land plot, were not damaged. In June, this church had been robbed. Four out of 12 churches of the UOC-KP have closed¹ since the March "referendum" and six out of 15 priests of the Orthodox Church of the Kyiv Patriarchate have left the peninsula

On 12 September 2014, Metropolitan Kliment of the Ukrainian Orthodox Church of the Kyiv Patriarchate stated that the FSB was exerting moral coercion against its priests who remained in Crimea. They were reportedly forced to sign papers on cooperation with the FSB and asked to report about various anti-Russian actions, as well as everything connected with Metropolitan Kliment himself.

On 22 April, 2014, the deputy head of the Jewish community "Hesed-Shahar", Borys Helman, reported that a memorial to the Holocaust victims in Sevastopol was desecrated by unknown persons. The inscriptions on the memorial were painted red, with signs of the "USSR" and Soviet symbols. The case was reported to the police, and is said to be under investigation.

A pastor of the Protestant Church from Simferopol and his family decided to leave Crimea after he was told by FSB officers that he could 'disappear' like the three pro-Ukrainian activists who went missing in May 2014. According to the pastor, it became dangerous even to wear clerical cloths since the "Russian Cossacks" and representatives of other 'pro-Russian' groups were very aggressive. The Bishop of the Ukrainian Orthodox Church (from the Kyiv Patriarchate) in Crimea reported about increasing pressure on believers and the church property being under threat.

A Polish citizen and the senior Roman Catholic priest in the Simferopol parish had to leave on 24 October, due to the non-renewal of Ukrainian residence permits. Most of the 23 Turkish Imams and teachers on the peninsula have left for the same reason. All religious communities had to seek registration in accordance with Russian legislation by 1 January 2015, in order to acquire legal status and continue operating.

¹ Two churches were located on the territory of the Ukrainian military units and were sieged by pro-Russians paramilitary and the other 2 were closed due to administrative pressure.

Growing pressure on the Muslim communities has also been reported. For example, the Islamic political group Hizb ut-Tahrir is banned in Crimea pursuant to Russian law, which has declared the group to be an extremist organisation. Hizb ut-Tahrir had been functioning in Crimea for over a decade, mainly being active in the spheres of education and politics. Reportedly, most of its members have fled Crimea due to fear of prosecution by the Russian Federation based on charges of terrorism. In addition, many Crimean Tatars, who openly practice Islam reported their fears that the Russian authorities will consider them members of this group and thus prosecute them.

On 8 May, 2014, the League of Muslim Women "Insaf" informed the HRMMU that some 150 persons from Kirovskoye and Stary Krym, including women, were being called in for interrogations. Reportedly, they were being invited to the local police stations for "a conversation". They were reportedly fingerprinted and photographed.

On 20 May, 2014, the Head of the Ukrainian Greek Catholic Church made a statement expressing concern for the safety of the Greek Catholic priests remaining in Crimea. He reported that all five Crimean parishes had experienced pressure, allegedly from the representatives of the Orthodox Church of the Moscow Patriarchate.

On 1 June, 2014, men in Russian Cossack uniforms reportedly broke into the local Orthodox church of the Kyiv Patriarchate in the village of Perevalnoe (Crimea), shouting and terrorizing churchgoers. The car of the priest was allegedly damaged. The "Cossacks" said they were seizing the building for the Moscow Patriarchate. After three hours, the "Crimean self-defence" arrived with assault rifles and sided with the attackers. The police were called but reportedly did not show readiness to properly investigate the incident. On 2 June, the local authorities of the city of Evpatoriya conducted a check of the church documentation and called it an "illegal building". In addition, the authorities in Crimea significantly raised the rent for the main Ukrainian Orthodox Cathedral in Simferopol. The rent increase has not affected Crimean Tatar mosques or Russian Orthodox churches. Mosques and Russian churches on the peninsula either belong to the religious communities (mosques) or to the Moscow Patriarchate (Russian churches) or are rented for a token fee.

Violations of the right to freedom of peaceful assembly

On 16 May, 2014, the authorities in Crimea issued a decree prohibiting all mass events until 6 June. A similar prohibition was issued in Sevastopol. The decrees were motivated by security developments in south-eastern Ukraine and the need to prevent "possible provocations of extremists which can penetrate into the Republic of Crimea".

The HRMMU recalls that under Article 4 of the ICCPR, derogation from the right to freedom of assembly and association is only permissible "in time of public emergency" and "to the extent strictly required by the exigencies of the situation" and would require immediate notification to the other State Parties to the ICCPR through the UN Secretary-General.

During 2014, the authorities in Simferopol rejected three proposals submitted by the representatives of the Crimean Tatar community concerning the location to celebrate the

Crimean Tatar Flag Day, a festive event celebrated since 2009. The authorities insisted that the event be held far from the city centre and in areas mainly populated by Crimean Tatars. The official celebration, with about 500 people, eventually took place on 26 June in the district of compact settlement of the Crimean Tatars instead of the central area of the capital of Crimea. The police controlled the perimeter of the gathering and people were searched. Several Ukrainian and Crimean Tatar media outlets are under threat of closing. The editor's office of "Krymskaya Svetlitsa", the only Ukrainian language newspaper in Crimea, received an order from the Crimean authorities to leave the premises which they have been renting for years. The distribution network refuses to distribute the newspaper in its newsstands and it has not been included in the subscription catalogue.

The authorities in Simferopol refused to grant permission for a Crimean Tatar assembly planned by the NGO Kardashlyk for 23 August 2014, near the memorial complex for the victims of the World War Two Crimean Tatar deportation. The official reason for this refusal was that the extremely high temperatures could negatively affect the health of participants. Other outdoor events went ahead as planned.

On 24 and 25 August 2014, Crimean local authorities, law enforcement agencies and the FSB took actions to prevent or limit participation in the Ukrainian Flag and Independence Day events in Sevastopol and Simferopol. This included banning rallies, and detentions and summons for 'preventive talks'. On 26 August, the police in Sevastopol prohibited the conduct of an anti-corruption meeting in the main square.

In the beginning of December 2014, the Committee on the Protection of the Rights of the Crimean Tatars, a Crimean NGO, was prohibited by the *de facto* authorities of the city of Simferopol from holding an event to mark Human Rights Day (10 December) on the grounds that it could block public transportation and access to public buildings as well as "constitute a real threat to the life and health of the population".

On 11 March 2015, a 'court' in Simferopol ordered 40 hours of corrective labour for three Crimean activists and 20 hours for another one after they unfurled a Ukrainian flag with the inscription "Crimea is Ukraine" during a rally, which had been authorized by the Simferopol 'city administration', to commemorate the 201st anniversary of the national poet of Ukraine Taras Shevchenko on 9 March 2015. The 'court' found that, by failing to mention the use of Ukrainian symbols in the request form for the event, the activists had violated "legal provisions regulating the conduct of mass events". On 11 March, the organizer of the event, Leonid Kuzmin, was dismissed from his job as teacher of history for behaviour "inconsistent with his position". On 17 April 2015, he was attacked by a group of young men, including one of his former students, who allegedly accused him of being a *Right Sector* member and hit him with a bottle. Mr. Kuzmin reported the case to the Crimean 'police'.

On 18 May 2015, commemorative events were held throughout Ukraine to mark the 71st anniversary of the deportation of the Crimean Tatars. In Crimea, the *de facto* authorities organized official ceremonies and visited the construction site of a future memorial complex dedicated to the victims of the deportation. However, they prohibited all rallies planned by the Crimean Tatar Mejlis, invoking the necessity to avoid political manipulation of the commemoration. In addition, about 60 Crimean Tatars taking part in an unauthorized

motorcade in Simferopol were arrested by the Crimean 'police', interrogated for several hours, and released after being fined.

Restrictions were also applied to the commemoration of the Crimean Tatar Flag Day on 26 June 2015. While Crimean Tatar organizations loyal to *de facto* authorities were able to organize a car rally and deploy a huge Crimean Tatar flag, 'pro-unity' activists and members of the Mejlis were formally warned by the Crimean 'prosecutor's office' not to organize any events dedicated to the celebration.

On 21 May 2015, four Crimean activists and three Ukrainian journalists of the Ukrainian TV channel *Inter* were arrested in relation to a flash mob on Ukrainian Embroidery Day, in the city of Armiansk, close to the ABL. The activists intended to take pictures of themselves clad in traditional Ukrainian clothes and post them on social networks. The Ukrainian TV crew arrived to film them in a separate car. The Crimean 'police' started searching the vehicles for "prohibited items". They did not find anything but took the journalists and Ukrainian activists to the police station where they were held for five hours, photographed and released after having their fingerprints taken. The protocol drawn up stated they had been detained "to establish their identity". This incident illustrates the difficulties that some groups in Crimea, particularly ethnic Ukrainians, face to maintain their culture and identity.

On 14 October 2015, the 'police' in Crimea prevented the head of the unregistered Ukrainian cultural centre in Simferopol and two other residents from paying tribute to Bogdan Khmelnytsky, a 17th century ruler of Ukraine. Before the men could lay flowers at the monument in Simferopol, they were approached by 'police officers' and men in civilian clothes who asked to check their documents and took them to the 'police centre for countering extremism'. They were questioned for two hours, allegedly for holding an unauthorized rally, told that the Ukrainian cultural centre was considered to be an extremist organization, and released without being charged with any offense. HRMMU observes that the actions of the 'police' seemed to be designed to intimidate and discourage what amounted to a peaceful public display of attachment to a national identity.

Minority and indigenous peoples' rights

On 9 April 2014, the memorial of Akim Dzhemilev, a famous Crimean Tatar choreographer, in the village Malorechenskoye (near Alushta) had been desecrated

On 21 April 2014, a group of unidentified men, describing themselves as members of the 'self-defence unit' broke into the building of the Parliament of the Crimean Tatar people and removed the Ukrainian flag, harassing verbally and physically female employees.

On 9 September 2014, the Crimean gymnasium in Tankove (Bakhchysarai district) was searched by people in civilian clothes. They searched the library and classes, looking for 'extremist literature'. Two Turkish language teachers were taken for questioning after 'prohibited literature' was found. Other teachers alleged such books had never been in the library and were planted as fake evidence by the FSB. Similarly, on 11 September, five

officers of Crimean Prosecutor's office searched the library of Crimean Engineering and Pedagogical University (CEPU) for banned literature.

The activities of the Crimean Tatar Mejlis were banned after a 'court' declared the Mejlis to be an extremist organisation. Thus, on 26 April, 2016, the 'supreme court of Crimea' declared the Mejlis - a self-governing body of the Crimean Tatar people - to be an extremist organization and banned its activities in Crimea. In addition to prohibiting any public activity and the use of bank accounts, the decision means that the estimated 2,500 members of the national and local Mejlis bodies can now incur criminal liability and could face up to eight years in prison for belonging to an organization recognized as 'extremist'.

Several 'police' operations targeted members of the Crimean Tatar community. A deputy head of the Mejlis was arrested. Court proceedings were held involving a Maidan activist. Freedom of expression contributed being curtailed as one journalist was accused under separatism charges and the Simferopol city authorities issued a decision to ban all public assemblies.

On 7 March 2016, the 'head' of the Simferopol city administration prohibited by decree all rallies and other public events on the territory of the city, with the exception of those organized by the *de facto* and local authorities. Restrictions to public events have been applied since 22 November 2015 due to the state of emergency proclaimed by the *de facto* authorities following the interruption of energy supplies from mainland Ukraine.

This blanket prohibition of public gatherings is the latest in a pattern of serious violations of the fundamental freedom to hold peaceful public assemblies. No recent deterioration of public order in Simferopol would justify such a drastic measure.

On 1 April 2016, during a search at the Department of All-Ukrainian Shevchenko Society "Prosvita" ("Enlightenment") in Sevastopol, Russian Federal Security Service (FSB) officers seized over 250 books. FSB officials stated that 18 copies of 9 editions figured in the federal list of extremist material, claiming the confiscated literature was meant to propagate "Ukrainian nationalism and separatist ideas among the inhabitants of Russia."

The 'police' arrested two Crimean Tatars in Krasnokamianka on 18 April 2016 and four in Bakhchysarai on 12 May 2016. They were charged for their alleged membership in the Hizb-ut-Tahrir organization. A pan-Islamic religious group that is considered an extremist organisation and banned in the Russian Federation but not in Ukraine. Fourteen people in total, mostly Crimean Tatars, are currently in custody in Crimea awaiting trial for their membership in the organization. Four were arrested in 2015, and so far ten have been detained in 2016.

The Office of the Commissioner for Human Rights, Council of Europe

Crimea: Commissioner urges a reversal of the ban on the Mejlis

Strasbourg 26/04/2016

I am very concerned about today's court decision in Crimea to ban the Mejlis by declaring it to be an extremist organisation. As the highest representative body of the Crimean Tatars, the Mejlis is indissociable from their aspirations to reestablish themselves in the peninsula after decades of exile during the Soviet era.

Concerns have also been expressed that a very wide range of persons associated with Mejlis structures at the local level could be exposed to possible criminal prosecution, as the local mejlis bodies would themselves fall within the ambit of the ban.

The Mejlis is an important traditional and social structure of the Crimean Tatar people. Equating it with extremism paves the way for stigmatisation and discrimination of a significant part of the Crimean Tatar community and sends a negative message to that community as a whole.

I strongly urge a reversal of this ban in the interests of human rights protection and social cohesion on the peninsula.

Nils Muižnieks
Commissioner for Human Rights
Council of Europe

Organization for Security and Co-operation in Europe
The Representative on Freedom of the Media
Dunja Mijatović

219/16

Vienna, 3 June 2016

Irina Bokova
Director-General
United Nations Educational, Scientific and
Cultural Organization

Dear Director-General,

Thank you for your letter of 20 May 2016 (Ref: DG/16/4184) with a request for a brief summary of the latest developments in Crimea.

My Office continues to closely monitor the media freedom situation in Ukraine and report on instances of serious violations. Regrettably, following the crisis in and around the country, the situation with journalists' safety and free media, including on the Crimean peninsula, remains worrisome.

Since the last UNESCO Information Meeting for Member States on 24 March, I had one public intervention regarding developments in Crimea.

On 19 April I expressed concern about the intimidation of journalist Nikolay Semena who had his apartment in Simferopol searched and equipment seized. The journalist was detained and released only after several hours of interrogation. Reportedly, he is subject to a travel ban. Similar intimidating actions took place on the same day against a number of other residents of Crimea, including photographer Lienara Abibulaeva and Ruslana Lyumanova.

In addition I would like to inform you that on 30 May senior representatives of Russian and Ukrainian journalists' unions at a meeting in my Office jointly appealed to me to urgently address the issues of journalists' rights in Crimea and facilitate a joint fact-finding mission there. More information on that please find at <http://www.osce.org/fom/243691>

Yours sincerely,



Dunja Mijatović

ICOMOS

INTERNATIONAL COUNCIL ON MONUMENTS AND SITES
CONSEIL INTERNATIONAL DES MONUMENTS ET DES SITES
CONSEJO INTERNACIONAL DE MONUMENTOS Y SITIOS
МЕЖДУНАРОДНЫЙ СОВЕТ ПО ВОПРОСАМ ПАМЯТНИКОВ И ДОСТОПРИМЕЧАТЕЛЬНЫХ МЕСТ

Mrs Irina Bokova
Director General
UNESCO
7, place de Fontenoy
75352 Paris 07, SP, France

Our Ref.: ML/GJ/34

Paris, 27 June 2016

Dear Director General,

I am writing to you in reply to your letter of 20 May 2016 (Ref. DG/16/4184), addressed to ICOMOS President Gustavo Araoz, and following on from ICOMOS' participation at the "Information meeting on the situation in the Autonomous Republic of Crimea (Ukraine) in the fields of UNESCO's competence" organised under your auspices by UNESCO on 24 March 2016, as well as following-up on the information provided by ICOMOS in its letter of 17 February 2016 addressed to the Director of the World Heritage Centre and in its letter to you dated 21 March 2016.

Despite its efforts, ICOMOS has been unable neither to verify the information included in the above mentioned letters nor to obtain new verifiable information.

Please be assured that ICOMOS will continue to closely follow the situation and that we will not fail to inform UNESCO should we have any further information.

Yours sincerely



Marie-Laure Lavenir
Director General

Ref: TIGO EUR 50/2016.001

Ms Irina Bokova
Director-General
United Nations Educational, Scientific and
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12 August 2016

Dear Ms Bokova,

Thank you for your letter of 5 July, and for your ongoing close attention to human rights situation in Crimea in areas of our common concern with UNESCO. I would also like to thank you for your kind invitation to attend and speak at the Information Meeting with UNESCO Member States on 30 September. Regrettably, existing commitments mean I will be unable to attend, but Amnesty International may be able to offer an alternative speaker if you are agreeable.

Amnesty International highly values your continuing interest in our work on Crimea. As you are doubtless aware, our work in this area constitutes a particular challenge at present. After the peninsula's occupation and illegal annexation by Russia, access to Crimea has become more difficult for human rights monitors, while at the same time independent reporting from Crimea has become considerably more difficult, and critical reporting often comes at the journalists and other reporters' personal risk.

My colleagues are currently considering a new research mission to Crimea that should enable us to update and deepen our understanding of the current human rights situation in the peninsula. In the meantime, Amnesty International's most recent report, based on our last research mission to Crimea, is: *Ukraine: One Year On: Violations of the Rights to Freedom of Expression, Assembly and Association in Crimea*, 18 March 2015, AI Index: EUR 50/1129/2015 (available at <https://www.amnesty.org/en/documents/EUR50/1129/2015/en/>).

My colleagues have been following up on the key developments identified in this report, and our updates have been presented by our representatives at the Information Meetings with Member States to which you referred in your letter.

Regrettably there have been no improvements in the areas covered. I have enclosed a summary of Amnesty International's key human rights concerns in Crimea, which includes updates on issues in UNESCO's remit, such as media freedom, education and culture.

My colleagues will be in touch with your office regarding attendance at the Information Meeting with Member States on 30 September, and would be glad to provide further updates as appropriate.

Yours sincerely,

A handwritten signature in black ink, appearing to read "Salil Shetty". The signature is written in a cursive style with a horizontal line underneath the name.

Salil Shetty
Secretary General



OVERVIEW OF AMNESTY INTERNATIONAL'S HUMAN RIGHTS CONCERNS IN CRIMEA

August 2016

Since the occupation and illegal annexation of Ukraine's autonomous Republic of Crimea by Russia, in February-March 2014, there has been a visible and progressive deterioration in terms of the rights to freedom of expression, peaceful assembly and association in the peninsula. These violations extend across a number of fields of UNESCO's competence, such as media freedom, education and culture. Unless this trend is reversed, and the past and ongoing violations are effectively addressed, the outlook for the people living on the peninsula is bleak.

FREEDOM OF EXPRESSION

The right to freedom of expression in particular has taken a severe blow in Crimea, which is particularly visible in the situation of the media. Prior to the peninsula's occupation and illegal annexation by Russia, the media in Crimea enjoyed considerably more freedom and demonstrated notable pluralism. All vestiges of this pluralism have since been lost, particularly with the forced closure of all of the most popular Crimean Tatar-language media outlets, including, amongst several others, the ATR TV channel.

1 April 2015 was the deadline given to local media outlets by the *de facto* Crimean authorities to re-register under Russian law or face heavy fines and criminal prosecutions, and was the date on which several media outlets were effectively forced to close. Prior to this deadline, the ATR TV channel and other Crimean Tatar-language media outlets attempted to secure timely re-registration, and relevant applications had been made in earnest, and often re-submitted repeatedly, but were nonetheless arbitrarily refused. The ATR's example in particular was quite telling. In January 2015, the TV channel's offices were raided and searched by members of law enforcement agencies, and had some equipment and archives seized. After its closure on 1 April 2015, it has relocated and re-established itself in the mainland Ukraine. It is now fighting to survive financially, while its reporters can no longer operate openly in Crimea. Its programmes can be watched by residents of Crimea via satellite receivers only. Since 3 August 2016, the ATR TV channel's materials are also no longer accessible in Crimea via the internet. Under the Russian legislation which allows the authorities to block access to specific websites arbitrarily and without prior court order, the channel's website was entered into the so-called Single Register of online resources which "contain information circulation of which is prohibited in the Russian Federation". Following this, internet providers are obliged to restrict access to its website, and internet users from Crimea have since reported that the channel's website is no longer accessible to them.

Other media outlets in Crimea have confronted similar challenges and been forced to close or relocate and lose their audiences in the peninsula.

Independent journalists have also faced harassment and persecution by the *de facto* authorities in Crimea. On 19 April 2016, member of the Federal Security Service (FSB) searched the house of freelance journalist Nikolay Semena and confiscated his computer. Nikolay Semena was detained for several hours and issued with travel restrictions that prevent him from leaving Crimea. He was questioned on the day, and on several occasions since, as a criminal suspect. He is suspected of "public calls for actions aimed at violation of the territorial integrity of the Russian Federation" (Article 280.1 of the Criminal Code of the Russian Federation) in connection with his journalist publications. If convicted he would face up to five years in prison.



FREEDOM OF PEACEFUL ASSEMBLY

The right to freedom of peaceful assembly has been severely curtailed with regards to both political protest and to cultural events that did not conform to the *de facto* authorities' agenda. Russian laws were promptly extended to Crimea after its illegal annexation, and their highly restrictive provisions were put to full use in the peninsula by the *de facto* authorities.

In Russia, public assemblies are effectively not allowed unless expressly authorised in advance by the local authorities (there are a couple of exceptions to this rule that are insignificant in practice). These regulations were promptly invoked in Crimea. This year, the *de facto* Mayor of the Crimean capital Simferopol went even further when, on 7 March 2016, he issued a decree banning all mass public, cultural, entertainment and other events except those organized by the authorities.

Since the occupation and illegal annexation of Crimea by Russia, political, cultural and other events have been disallowed by the local *de facto* authorities in Crimea – street protest, but also traditional commemorative and cultural events held by Crimean Tatars and gatherings to celebrate Ukrainian culture, among them. There have been rare exceptions when such gathering have been allowed, but in remote locations and under very restricted conditions. As a result, public gatherings have progressively and visibly decreased since 2014.

Once again, the Crimean Tatar community has been particularly affected by these changes. For instance, for years, its members had been holding annual commemorative events throughout the peninsula on 18 May. On that date, in 1944, the entire Crimean Tatar population was deported to remote parts of the USSR, following which its members were not allowed to return to their homeland until the late 1980s. Members of the community were allowed to assemble for the 18 May commemoration in 2014 in just one, remote, location, and in the presence of a large law enforcement force. This year, no assemblies were authorised on that date.

FREEDOM OF ASSOCIATION

The right to freedom of association has also suffered a severe blow in Crimea since its occupation by Russia. This has never been felt more keenly than this year. And whilst this has affected various groups in Crimea, including religious communities, advocates of Ukrainian language and culture, and others, this has once again affected disproportionately the Crimean Tatar community. The epitome of the clampdown on the right to freedom of association and its effect on the Crimean Tatars came earlier this year with the banning of the Mejlis of the Crimean Tatar People. This body, elected at an informal Crimean Tatar assembly (Kurultai), for years performed a representative role on behalf of the community and played a central role in the cultural, educational and other aspects of life of the community ever since it began re-establishing itself in the peninsula in the late 1980s.

On 15 February 2016, the *de facto* Prosecutor of Crimea filed an unfounded case against the Mejlis alleging that it was an “extremist” organization. Prior to this, the Mejlis' leader, Refat Chubarov, had been forcibly exiled from Crimea, as had been his predecessor, Crimean Tatar veteran activist and informal leader Mustafa Jemiliev. The Mejlis was forced out of its building in the capital Simferopol, and several of its members, all of them dissenting voices, faced harassment from the *de facto* authorities and, as in the case of Akhtem Chygoz, criminal prosecution, arrest and politically-motivated trial. On 17 March, the Supreme Court of Crimea began hearing a case brought against the Mejlis by the *de facto* Prosecutor's Office. The hearing was concluded on 26 April resulting in the Mejlis's final closure and banning. However, already on 13 April the *de facto* Prosecutor of Crimea ruled to suspend the Mejlis's activities while on 18 April the Russian Ministry of Justice included it in the official register of extremist organisations. The closure of the Mejlis will have a profound and lasting effect on the Crimean Tatar community across a number of fields of UNESCO's competence, including education and culture.

There have been numerous other instances of a clampdown on the right to freedom of association in Crimea after its occupation by Russia. Several prominent local independent NGOs had to close down or relocate to the mainland Ukraine in response to harassment and reprisals against their members. In an effort to address the visible gap in terms



of human rights work in Crimea and of human rights reporting from the peninsula, prominent Russian and Ukrainian human rights NGOs came up with a joint initiative which they called the Crimean Human Rights Field Mission. However, in July 2015 the Council of Federation (the upper house of the Russian federal parliament) adopted the so-called “patriotic stop-list” – a list of 10 organisations which, in the view of its proponents, should be branded “undesirable” under a newly adopted Russian law thereby making their continued operation, as well as any cooperation with these organisations illegal. The Crimean Human Rights Field Mission – although not an organisation as such but an initiative of several NGOs – was included in this “patriotic stop-list” which was submitted to the Prosecutor General’s Office. Among the effects of this ongoing clampdown on the right to freedom of association in Crimea has been the significant reduction in terms of independent reporting on human rights from the peninsula.

OTHER GRAVE HUMAN RIGHTS VIOLATIONS IN CRIMEA

There have been other numerous and grave human rights violations in Crimea since its occupation by Russia, including criminal prosecution of dissenting voices, as well as several cases of abductions and enforced disappearances, of ethnic Crimean Tatars and other activists. Some of the individuals targeted through harassment, criminal prosecution and enforced disappearance, have been prominent voices in the cultural and media life of the peninsula, thus also being cases in the fields of UNESCO’s competence. Among them is the most recent enforced disappearance of Ervin Ibragimov, an ethnic Crimean Tatar, former member of the local Bakhchysarai Town Council and a member of the World Congress of Crimean Tatars, an international organisation aimed at promoting the rights of Crimean Tatars and their cultural heritage which was set up after the peninsula’s occupation by Russia in 2014.

Shortly before his disappearance, Ervin Ibragimov told his friends that on 17 May he had noticed a car waiting outside his house, which later followed him during the day. He did not report further incidents. On 25 May, he was due to travel to the town of Sudak to attend a court hearing on the case of a group of Crimean Tatars arrested by the *de facto* Crimean authorities for holding an “unauthorized” gathering on 18 May to mark the Crimean Tatar Deportation Remembrance Day. Ervin Ibragimov last spoke to his father on the phone at around 11 pm on 24 May. His father later found his car abandoned outside their home, with the doors open and the key left in the ignition. CCTV footage from a camera at a nearby shop shows a group of men stopping Ervin Ibragimov’s car. He is seen briefly speaking to the men before trying to escape. The men are seen apprehending and forcing him into their van and immediately driving away. On 25 May, Ervin Ibragimov’s father went to the offices of the Russian Federal Security Services (FSB) in the Crimean city of Simferopol to file a complaint and provide the CCTV footage. FSB officers refused to file the complaint and told him to send it by post. The family also reported his abduction to the *de facto* Prosecutor’s Office of Crimea, on the same day. Police in Bakhchysarai opened an investigation into the incident and inspected the car. However, his fate and whereabouts have still not been established or revealed by the *de facto* authorities.

This is just the latest in a series of enforced disappearances of ethnic Crimean Tatars since the peninsula’s occupation by Russia, none of which has been effectively investigated. While families of the missing have received assurances from the *de facto* authorities that the disappearances would be effectively investigated, there have been no signs of any genuine inquiries.

These all remain very pertinent issues.

LIST OF AMNESTY INTERNATIONAL PUBLICATIONS ON CRIMEA

For more information and further details on the above-mentioned and other issues and cases, please consult the following publications:

“Ukraine: Human rights monitors urgently needed as journalists and activists face wave of attacks in Crimea”, 7 March 2014, available at <https://www.amnesty.org/en/latest/news/2014/03/crimea-human-rights-monitors-urgently-needed-journalists-and-activists-face-wave-attacks/>

“Journalists at Risk of Abduction in Crimea”, Urgent Action, 11 March 2014, available at <https://www.amnesty.org/en/documents/eur50/015/2014/en/>



“Ukraine: Clashes and abductions ahead of disputed Crimea vote”, 14 March 2014, available at <https://www.amnesty.org/en/latest/news/2014/03/ukraine-clashes-and-abductions-ahead-disputed-crimea-vote/>

“Three further Disappearances in Crimea”, Urgent Action, 14 March 2014, available at <https://www.amnesty.org/en/documents/eur50/016/2014/en/>

“Activists Released from Hostage Situation”, Urgent Action update, 20 March 2014, available at <https://www.amnesty.org/en/documents/eur50/017/2014/en/>

Crimean Tatars: At risk of persecution and harassment in the new Crimea, 23 May 2014, available at <https://www.amnesty.org/en/latest/news/2014/05/crimean-tatars-risk-persecution-and-harassment-new-crimea/>

“Ukrainian Men Unlawfully Detained in Russia”, Urgent Action, 30 May 2014, available at <https://www.amnesty.org/en/documents/eur50/026/2014/en/>

“Crimean Tatar Leader Banned from Homeland: Refat Chubarov”, Urgent Action, 9 July 2014, available at <https://www.amnesty.org/en/documents/eur50/035/2014/en/>

Ukraine: One Year On: Violations of the Rights to Freedom of Expression, Assembly and Association in Crimea, report, 18 March 2015, available at <https://www.amnesty.org/en/documents/EUR50/1129/2015/en/>

“Crimea: One year on from annexation; critics harassed, attacked and silenced”, 18 March 2015, available at <https://www.amnesty.org/en/latest/news/2015/03/crimea-annexation-critics-attacked-and-silenced/>

“Crimea: Peninsula of fear”, blog by Bogdan Ovcharuk, Crimea, 18 March 2015, available at <https://www.amnesty.org/en/latest/news/2015/03/crimea-peninsula-of-fear/>

“Crimean Tatar media will shut down as arbitrary registration deadline expires”, 31 March 2015, available at <https://www.amnesty.org/en/latest/news/2015/03/crimean-tatar-media-will-shut-down-as-arbitrary-registration-deadline-expires/>

“Ukraine: Crimea: Proposed Closure of the Mejlis Marks Culmination of Repressive Measures against the Crimean Tatar Community”, 17 March 2016, available at <https://www.amnesty.org/en/documents/eur50/3655/2016/en/>

“Crimea: Ban on ethnic Crimean Tatar assembly aimed at snuffing out dissent”, 13 April 2016, available at <https://www.amnesty.org/en/latest/news/2016/04/ban-on-ethnic-crimean-tatar-assembly-aimed-at-snuffing-out-dissent/>

“Crimean Tatar Activist Forcibly Disappeared: Ervin Ibragimov”, Urgent Action, 26 May 2016, available at <https://www.amnesty.org/en/documents/eur50/4121/2016/en/>

V. PROPOSED DECISION

18. In light of the above, the Executive Board may wish to adopt the following draft decision:

The Executive Board,

1. Having examined document 200 EX/5 Part I (H),
2. Takes note of the information provided therein;
3. Invites the Director-General to report thereon at the 201st session of the Executive Board.



United Nations
Educational, Scientific and
Cultural Organization

Executive Board

Two hundredth session

200 EX/5 Part I Add.

PARIS, 30 August 2016
Original: English

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

ADDENDUM

REPORT ON THE IMPLEMENTATION OF THE STRATEGY FOR THE REINFORCEMENT OF UNESCO'S ACTION FOR THE PROTECTION OF CULTURE AND THE PROMOTION OF CULTURAL PLURALISM IN THE EVENT OF ARMED CONFLICT

SUMMARY

The present document is submitted to the consideration of the Executive Board, pursuant to 38 C/Resolution 48 on the "Reinforcement of UNESCO's action for the protection of culture and the promotion of cultural pluralism in the event of armed conflict", as well as to 199 EX/Decision 5 (I, D) on the "Report on UNESCO's Action for the Protection of Culture and the Promotion of cultural Pluralism in the Event of Armed Conflict".

It presents a draft Action Plan for the "*strengthen[ed] cooperation between UNESCO, relevant United Nations partners, and other concerned institutional stakeholders, for the implementation of this strategy*" (199 EX/Decision 5 (I, D), para 10), as well as a proposal concerning "*practical ways for implementing a mechanism for the rapid intervention and mobilization of national experts*" (38 C/Resolution 48, paragraph 4).

Action expected of the Executive Board: Proposed decision in paragraph 10.



Background

1. At its 38th session, the General Conference adopted 38 C/Resolution 48, concerning a strategy for the reinforcement of UNESCO's action for the protection of culture and the promotion of cultural pluralism in the event of armed conflict (see document 38 C/49).
2. The Resolution invited the Director-General to elaborate, in coordination with Member States and relevant actors, an Action Plan in order to further refine and implement the Strategy, in accordance with UNESCO's mandate (para. 2); invited Member States to support the elaboration of the action plan for the implementation of the Strategy, by defining mechanisms of rapid response and mobilization of national experts, as well as by contributing to the Heritage Emergency Fund (para. 3); and invited the Director-General to explore, in collaboration with Member States, practical ways for implementing such mechanism for the rapid intervention and mobilization of national experts (paragraph 4).
3. By its decision 199 EX/Decision 5 (I, D), the Executive Board moreover "*request(ed) the Director-General to further strengthen cooperation between UNESCO, relevant United Nations partners, and other concerned institutional stakeholders, for the implementation of this strategy, together with the Action Plan, and to submit a report thereon, at its 200th session*". An open consultation process was launched, including an online questionnaire, to prepare the Action Plan which is presented in this document, together with a proposal concerning practical ways for implementing a mechanism for the rapid intervention and mobilization of national experts (Annexes I and II to this document). A report on the progress accomplished since the 199th session of the Executive Board in the implementation of the strategy, on the other hand, is presented separately in document 200 EX/5 Part I (F).
4. The draft Action Plan defined which specific activities – within the overall framework of the Strategy contained in document 38 C/49 – the Organization intends to focus on during the coming six years, identifying at the same time short- and mid-term priorities. These activities reflect the two main objectives and various priority areas of action identified in the Strategy (paras. 16-36). All activities are mutually reinforcing, as they should be seen as part of the integrated Strategy. Many activities include both local and global components, as they foresee the piloting in a limited number of countries to be followed by an expansion globally. Many of the activities are specifically related to the Conventions and will be implemented in consultation with the relevant governing bodies and their associated mechanisms, in the framework of the relevant statutory processes. In general, the implementation of the Action Plan will require cooperation with many actors, most notably UNESCO's institutional partners.
5. The cost estimates indicated in the Action Plan for each activity should be considered as approximate and to be refined based on actual needs and specific conditions of implementation. The estimated costs for many of the activities reflect the needs for their implementation in the short term, with additional budget foreseen for their continuation, if appropriate and following an evaluation, in the mid and long terms. A human resources component is also provided, which is critical to ensure the actual implementation of the proposed activities. In terms of resources, the Action Plan indicates for which activities funding has been secured, in full or partially, based on the currently available budget and an initial prioritization by the Secretariat. It can be seen that for most of the planned activities full funding is still not available. The overall cost of the Action Plan (\$25 million) reflects the needs identified in the Strategy as adopted by the General Conference, not actual resources available, which would need to be mobilized. Indeed, despite initial contributions to the Heritage Emergency Fund by various Member States, and most notably by the State of Qatar, it is clear that are needed to fully implement the Strategy adopted by the General Conference. In this context, fundraising efforts are actively pursued by the Secretariat and are also reflected in the Director-General's preliminary proposals for the Draft 39/C5. The main purpose of this Action Plan, at this stage, is therefore to identify a set of agreed, desirable activities that would be necessary to implement the adopted Strategy, and which would guide the efforts of the Organization in mobilizing resources and carrying out its activities.

6. Regarding the mechanism for the rapid mobilization of national experts (activity No. 9 in the Action Plan), the proposal developed by the Secretariat, and provided in Annex II to this document, reflects consultations undertaken with various relevant actors, including the United Nations Department of Peacekeeping Operations and potential Stand-By Partners, as well as the legal and administrative framework under which UNESCO operates. While operational details are provided in the proposal, it is important to state here that the aim and scope of the activities of this Rapid Response Mechanism will always be fully aligned with the mandate of the Organization as defined in its Constitution and its six cultural Conventions, referring to the building of peace in the minds of men and women, in particular through culture, and specifically through the safeguarding and promotion of cultural heritage.

7. As per the decision of the General Conference, the Action Plan was to be elaborated “in coordination with Member States and relevant actors”. For this reason, the Secretariat presented initial elements of the Plan at the First Inter-sessional meeting of the Executive Board on 19 February 2016. The outcomes of the debate at this inter-sessional meeting, as well as at the 199th session of the Executive Board, at several meetings of the Group of Friends “Unite4Heritage”, as well as the online consultation of Member States (which took place between 24 June and 22 July 2016), have considerably informed the development and further refining of the Action Plan and of the proposal concerning a Rapid Response Mechanism (also presented at a meeting of the Group of Friends on 24 May 2016), which are presented in this document.

8. The Secretariat welcomes the wealth of suggestions, comments and best practices shared by a total of 25 Member States so far regarding the activities proposed in the draft Action Plan and the proposal for the Rapid Response Mechanism, and welcomes a continued consultative process in this regard. Of great value, in particular, were suggestions concerning possible partners in the implementation of the Action Plan, including civil society organizations, as well as the need to give adequate consideration to the legal, administrative and financial modalities for the setting up of the proposed Rapid Response Mechanism. It is to be noted that the electronic consultation is part of a broader and ongoing consultation process taking place in formal settings such as the Executive Board session to allow Member States for more extensive discussion and additional contributions. Comments were taken into account through relevant revisions of the Action Plan and of the proposal for the Rapid Response Mechanism. It should be also noted that, by definition, the details for the implementation of many of the proposed activities depend on their actual feasibility (for example in relation to security conditions) and specific conditions. The full comments provided by the Member States in the context of the online consultation are accessible online¹ in their original language.

9. The Secretariat welcomes new contributions to further strengthen and update the Action Plan, which should be understood as a living document, which will be adjusted and enriched over time, in coordination with Member States, according to changing needs and conditions and based on the identification of new opportunities and partners. In this respect, the Executive Board might wish to endorse the Action Plan and the proposal for a Rapid Response Mechanism as described in Annexes I and II to this document, it being understood that it will review periodically the progress made and any adaptation required.

Proposed decision

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

The Executive Board,

1. Recalling 38 C/Resolution 48, as well as 199 EX/Decision 5 (I, D),
2. Having examined document 200 EX/5 Part I Add. and its two Annexes,

¹ http://en.unesco.org/sites/default/files/results_web-heritage_at_risk.pdf

3. Welcoming the substantial contributions provided by Member States in response to the online consultation to enrich the proposed Action Plan,
4. Recognizing that the Action Plan for the implementation of the Strategy for the reinforcement of UNESCO's action for the protection of culture and the promotion of cultural pluralism in the event of armed conflict, as described in Annex I to document 200 EX/5 Part I Add., should be understood as a living document, to be adjusted and enriched over time, in coordination with Member States, according to changing needs, conditions and based on the identification of new opportunities and partners,
5. Endorses the Action Plan as well as the proposal concerning practical ways for implementing a mechanism for the rapid intervention and mobilization of national experts, as described in Annex II to 200 EX/5 Part I Add.;
6. Further welcomes the contributions provided so far by Member States to the Heritage Emergency Fund, as well as through other financial modalities, in support of UNESCO's action to prepare for and respond to emergencies affecting cultural heritage;
7. Calls on all Member States to support the implementation of the Strategy and its Action Plan, including by making additional voluntary contributions to the Heritage Emergency Fund, as well as providing in-kind contributions as appropriate;
8. Requests the Director-General to start the implementation of the activities proposed in the Action Plan, including the establishment of the proposed rapid response mechanism, compatibly with the available resources, and to report on the implementation of the Strategy at its 201st session.

ANNEX I

Action Plan for the Implementation of the Strategy for the Reinforcement of UNESCO's Actions for the Protection of Culture and the Promotion of Cultural Pluralism in the event of armed conflict

NOTE: The activities included in this Action Plan refer to the two main objectives and to all the priority areas of action of the Strategy for the Reinforcement of UNESCO's Actions for the Protection of Culture and the Promotion of Cultural Pluralism in the event of armed conflict, adopted by the General Conference of UNESCO at its 38th session (38 C/Resolution 48). Activities are grouped according to their short, medium and long term priority, with long term extending to the end of the foreseen time span of the Strategy (i.e. until 2022). The estimated costs are approximate and will need to be confirmed or adjusted subject to actual needs and the specific conditions of implementation. It is also indicated in green, orange or red whether funding for each activity is fully, partially or not secured, respectively.

#	§ in 38C/49	Activity	Estimated Costs (\$)	Funding secured	Preparedness	Response	Recovery
Objective 1:							
Strengthen the ability of Member States to prevent, mitigate and recover the loss of cultural heritage and diversity as a result of conflict							
Short-term							

1	§§20, 25	<p>Development of training tools and piloting of trainings for national law enforcement, armed forces and legal sectors on cultural property protection and illicit trafficking of cultural objects</p> <p>This activity will build on pilot materials developed in cooperation with the UNESCO Chair on Heritage and Peace at Newcastle University (UK), as well as on the Military Manual on the Protection of Cultural Property elaborated by the International Institute of Humanitarian Law (Sanremo, Italy). It will also take into account the ongoing cooperation with UNIDROIT, INTERPOL, the World Customs Organisation (WCO) and specialized police forces such as the Carabinieri (Italy) or the Spanish specialized security forces (Guardia Civil and Policía Nacional), including in the framework of the implementation of United Nations Security Council Resolution 2199. It will see the development of toolkits, manuals, user-friendly material and other items for increasing the knowledge and capacities of military personnel, custom officers and police forces. In addition, through the development of materials and conducting tailor-made trainings, the project will enhance the knowledge of how to prevent illicit trafficking and of the relevant international instruments and build capacities of legal professionals – in particular judges, prosecutors and lawyers - as well as heritage managers, law enforcement agencies, civil servants, actors of the art market, police, customs and the financial sphere. E-learning and other innovative methods will be used in order to facilitate the sustainability of this action. These activities will be piloted in at least 5 countries in Africa and the Middle East. This activity is closely linked to activity 25.</p>	250.000				
2	§20	<p>First Aid training for the culture sector</p> <p>Building on ICCROM’s successful international course on “First Aid to cultural heritage in times of crisis” and successful experiences through UNESCO’s Libya programme, this activity will include conducting practical trainings at local level on evacuation, protection, safeguarding and recovery of cultural heritage during emergencies in partnership with ICCROM. These trainings will be conducted in at least 8 countries in Africa and the Middle East. In addition, a first aid tool box (apps, infographics, short videos, etc.) will be developed for rapid damage assessment, which will be pilot tested in these 8 countries, and later on made widely available for heritage professionals and authorities globally. UNESCO’s Movable Heritage Outreach Programme handbooks for museums will also be widely disseminated.</p>	500.000				
3	§20	<p>Development of Inventorying, Monitoring and Assessment tools using ICT and social media for recording, reporting and documenting events impacting heritage in all its forms</p> <p>This will include a coordination meeting with relevant actors on technologies already mapped by UNESCO, as well as the identification of needs and possibilities. Building on this, policy guidance and concrete tools will be developed in view of better preparedness, as well as to contribute to post-conflict rehabilitation and transition, as foreseen in activities 8, 10, 11, 13, 15 and 23. These will include – amongst others - innovative models for heritage - tangible and intangible - databases using crowd-sourcing, social media, mobile applications and satellite imagery, as well as strengthening database systems of police and related actors to prevent looting and study trafficking routes, including through monitoring of the internet. These tools will be piloted in at least 3 countries, and will later on be made widely available. They could be used in activity 13, together with other existing tools.</p>	100.000				

4	§20	<p>Risk assessment and emergency plans in areas at risk</p> <p>A comprehensive tool for the analysis and risk assessment of the cultural sector in relation to emergency preparedness and response, including the identification of gaps and opportunities, will be developed and piloted in 3 priority countries (possibly Afghanistan, Pakistan and Sudan, as a start). Tailored strategies and action plans will be developed accordingly, to mitigate risks for culture and seize opportunities to harness its potential to contribute to resilience and stability. Cooperation in the implementation of this activity will be sought from ICOM, ICCROM and the ICOMOS International Committee on Risk Preparedness (ICORP).</p>	200.000				
5	§§21, 23, 25, 34	<p>Campaign for the global ratification of UNESCO Conventions</p> <p>This will include organizing and participating in international fora, such as the Un Treaty Event in 2017, the development of policies and models, as well as country-specific diplomatic initiatives. Such advocacy will draw attention to State obligations and the importance of ratifying and implementing, in times of peace and through the appropriate legal and institutional measures at national level, relevant international standards as embodied in UNESCO Culture Conventions and the 1995 UNIDROIT Convention, and promote the International Declaration of Human Rights and other relevant instruments. Particular attention will be given to regions with low ratification rates, specifically of the 1954 Convention for the Protection of Cultural Property in the Event of Armed Conflict and its two Protocols (1954 and 1999) and of the 1970 Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property. The initiative will continue advocating for the full respect, by all parties concerned, of international humanitarian law pertaining to the protection of cultural property in the event of armed conflict, and will therefore build on the partnerships with the ICRC and the Office of the Special Rapporteur on Cultural Rights.</p>	75.000				
6	§§22, 25, 36	<p>Reinforcement of the #Unite4Heritage campaign using international, regional, and national media as well as social networks</p> <p>Building on the achievements of the global #Unite4Heritage campaign, which focused so far mainly on social media and was targeted at young people from the Middle East, communication and outreach material will be developed through a number of innovative partnerships and creative initiatives. These will have a more global scope, to foster a counter narrative to hatred and harness heritage to promote tolerance and mutual understanding. They will target countries not directly affected by armed conflict, and involve the tourism, media, art, and other industries, as well as museums and private collectors, to expand the reach of the campaign while promoting its core values of cultural pluralism and appreciation for tangible and intangible heritage in its diversity, including in relation to the issues of looting and illicit trafficking.</p>	275.000				

7	§24	<p>Comprehensive review of legal and policy frameworks on safe havens for cultural property</p> <p>Based on a needs assessment conducted in consultation with Member States, and in order to address the current lack of a legal and policy framework for the implementation of safe havens, a comprehensive legal review concerning their setting up and operationalization will be undertaken, as well as case studies examined from which principles and best practices will be drawn. Building on the work already carried out by the International Law Association and other initiatives, these findings will then be compiled into specific guidelines. In parallel, it is proposed to promote institutions ready to temporarily host movable heritage evacuated during armed conflict in respect of national law and relevant international Conventions. This activity is closely linked to activity 16.</p>	75.000			
8	§24	<p>First aid and mitigation measures</p> <p>This activity includes the emergency stabilization of damaged monuments, the creation of emergency inventories and salvaging of cultural artefacts as well as their conservation, and enhanced security at museums and sites. Whenever possible, a capacity-building component targeting local personnel will be integrated in this activity.</p>	300.000			
9	§24	<p>Establishment and maintenance of a Rapid Response Mechanism (Roster "Unite4Heritage")</p> <p>Based on the provisions of 38 C/Resolution 48 (§§ 3 and 4), and building on the "Unite4Heritage" task force established by Italy, this activity will include preparatory consultations with potential operational partners and staff- or fund-contributing Member States, the establishment and maintenance of a roster of cultural heritage experts, the organization of induction and training courses for pre-selected members of the roster, as well as the deployment of rapid assessment and advisory missions to affected countries, as needed.</p>	400.000			
10	§26	<p>Formulation and coordination of international efforts for country-based Emergency Response</p> <p>Pursuant to its coordination mandate, UNESCO will continue ensuring technical coordination among all stakeholders to formulate Emergency Action Plans for the Safeguarding of Culture in affected countries, as well as for the implementation of new and existing Action Plans, with a view to review progress, identify emerging challenges and determine the appropriate response.</p>	300.000			
11	§§27, 28	<p>Development of recovery plans</p> <p>Subject to the improvement of security in the concerned areas, this activity involves working with relevant authorities and stakeholders in at least 3 countries in the Middle East to plan for heritage rehabilitation or restitution in selected locations and to have these efforts integrated as a part of peacebuilding and reconciliation strategies. Activities will include all relevant preparatory work, such as collecting documentation, convening stakeholders, and planning. This activity will build the basis for the mid- to long-term implementation of programmes for cultural heritage rehabilitation and preservation, again subject to enabling security conditions.</p>	300.000			

12	§§30, 33	<p>Post-Conflict and Post-Disaster Needs Assessments (PCNAs and PDNAs)</p> <p>In the framework of UN-wide PCNA (to be possibly renamed “Recovery and Peace Building Assessment”) and PDNA exercises, this activity aims at strengthening their culture component and training UNESCO staff, NGOs in the cultural sector and relevant government officials in their methodology and implementation, through 5 dedicated regional workshops, as well as supporting UNESCO's participation for culture in an estimated 3-4 PDNAs and 2 PCNAs (RPBAs) exercises per year.</p>	350.000			
Mid-term						
13	§20	<p>Preparatory documentation, risk assessment and emergency plans for heritage in peripheral zones</p> <p>As a preventive measure, inventory and documentation work will be undertaken in countries affected by conflict or potentially at risk, including the development of community-based inventories (notably for intangible cultural heritage). This will include the development of no-strike maps. In at least 3 countries, these activities will develop comprehensive inventories and the related documentation of tangible and intangible heritage (these countries will also receive the First aid training under activity 2), which will include the use of digitization, 3D-scanning and related methodologies, such as those developed in the framework of activity 3. They will also introduce tools such as the object ID for movable heritage as a preventive measure, which is promoted by UNESCO and ICOM, as well as the development of comprehensive risk preparedness plans for sites and cultural institutions.</p>	350.000			
14	§§22, 36	<p>Learning through heritage: promoting cultural pluralism and enhancing youth engagement around culture</p> <p>This activity will contribute to the larger "Learning through heritage: enhancing youth engagement" project, specifically through educational activities, including informal ones, promoting cultural pluralism and the respect for cultural heritage, with an aim to build more tolerant and inclusive societies. Building on the World Heritage in Young Hands Programme and jointly with UNESCO's Education and Communication and Information Sectors, relevant partners, and the NET-MED Youth and Youth 2.0 projects, the larger project foresees the development of a comprehensive programme for heritage education, with a long-term view to strengthening the protection of heritage in all its forms, facilitating access to and enjoyment of heritage among the younger generation as related to the development of their self-identities, including through history and commemoration. This will contribute to improved learning outcomes through two intertwined steps: 1) At the global level, UNESCO will develop a generic “teacher’s resource pack on using all forms of heritage in education”. 2) At the local level, pilot countries will use these resources to train a team of facilitators, which will then work with teacher-training institutions on developing adapted educational resource materials (teacher training materials, lesson plans, sample curricula and content) to fit their respective contexts. In countries affected by crises, this may involve working together with local actors operating in refugee and IDP camps, including national Red Cross and Red Crescent movements, and specifically those managing child-friendly spaces and similar child- and youth-oriented efforts. This activity will be closely linked to activity 27, and will concentrate initially on the current Syrian refugee crisis, but will also develop activities for communities of at least 4 other countries.</p>	1.200.000			

15	§24	<p>Establishment of a Global Observatory of Cultural Heritage to monitor and document attacks against cultural heritage sites</p> <p>This activity will build on the experience with the EU-funded Syria Observatory, and aim to collect systematic, reliable and verified data on damage, destruction, looting and misappropriation of cultural property, essential to define priority mitigating measures, prevent further loss and engage in longer-term planning for recovery. On the basis of the collected data, regular reports will analyze the situation on the ground. In partnership with UNOSAT and other relevant research projects, data and documentation of deliberate attacks on cultural heritage will also be collected, which are critical to address impunity and ensure that perpetrators of such acts are held accountable, while systems and tools will be developed to maximize the value of documentation efforts for transitional justice purposes. This activity will be piloted in 3 countries and then expanded to global scale. It will feed into activity 23.</p>	400.000			
16	§24	<p>Facilitate the creation of safe havens for cultural property</p> <p>Based on activity 7 concerning a comprehensive legal review regarding the setting up and operationalizing of safe havens, the development of specific guidelines, and the establishment of an international roster of institutions ready to temporarily host movable heritage evacuated during conflict in respect of national legislation and relevant international Conventions and agreements, this activity will facilitate the actual evacuation of cultural assets from sites, museums and other cultural repositories to domestic safe havens or abroad, if and when requested by the countries concerned. To this end, UNESCO may, if and when requested, assist by liaising between source and host countries, developing agreements, and where required, providing coordination and technical support for moving collections.</p>	500.000			
17	§§22, 28	<p>Community-based recovery projects</p> <p>Whenever possible, and within the framework of broader UN-led peacebuilding efforts, it is proposed to implement a number of relatively small, but empowering, culture rehabilitation or recovery initiatives owned and implemented by local communities at their request. Such efforts will aim to reconcile communities, foster dialogue or contribute to enhancing conditions for return through cultural rehabilitation, tangible or intangible – linked to broader peacebuilding efforts. This activity could complement activity 11 as part of the overall recovery effort.</p>	300.000			
18	§22	<p>Culture creation for inclusion and peaceful societies</p> <p>This will involve working with artists and the performing art sector in post-conflict situations and with displaced communities in at least 5 countries to ensure greater inclusion and social stability, as an enabling factor for other activities related to transition and peacebuilding efforts. This activity is linked to activities 11 and 17.</p>	250.000			

19	§§20, 21, 23, 24, 25, 26, 27, 28, 30, 33, 34, 36	Evaluation and continuation of short-term activities Following an evaluation, relevant elements (e.g. trainings, awareness-raising, advocacy, etc.) of short-term activities 1, 2, 4, 5, 6, 8, 9, 10, 11 and 12 will be continued in the mid-term as well, as appropriate.	1.975.000				
Long term							
20	§19	Strengthen Conventions' operational guidelines and build synergies in their implementation Building on ongoing initiatives within the relevant statutory processes, this activity involves the analysis, in consultation with all relevant actors and in particular the Governing Bodies of the Conventions and associated mechanisms, of the gaps and opportunities – specifically related to the protection of culture in armed conflict - associated with all the Conventions and with their possible synergies, which would lead to proposals for strengthening the effectiveness of the Conventions. This would include, for example, exploring options for strengthening reporting and monitoring the implementation of the 1954 Hague Convention and its two (1954 and 1999) Protocols within their statutory processes.	100.000				
21	§§20, 21, 22, 23, 24, 25, 26, 27, 28, 30, 33, 34, 36	Evaluation and continuation of short and mid-term activities Following an evaluation, relevant elements (e.g. trainings, awareness-raising, advocacy, etc.) of short-term activities 1, 2, 4, 5, 6, 8, 9, 10, 11 and 12, as well as mid-term activities 13, 14, 15, 16, 17 and 18 will be continued in the long term as well, as appropriate.	3.825.000				
Objective 2: Incorporate the protection of culture into humanitarian action, security strategies and peacebuilding processes by engaging with relevant stakeholders outside the culture domain.							
Short-term							

22	§§25, 33	<p>Strengthened cooperation in the fight against illicit trafficking</p> <p>In the framework of the implementation of UN Security Council Resolution 2199, this activity will aim at reinforcing on-going cooperation with INTERPOL, the World Customs Organization, UNODC, national specialized police units, research initiatives, university networks and other partners, including from the cultural sector such as UNIDROIT and ICOM, for the tracking, authentication, seizure, conservation and restitution of objects stolen and illegally exported, including the joint development of tools and international as well as domestic policies. This activity is closely linked to activities 1, 3, 6, 7, and 16.</p>	100.000				
23	§29	<p>Cooperation and exchange of information with the International Criminal Court (ICC)</p> <p>Based on the data collected via the Global Observatory of Cultural Heritage (activity 15), UNESCO will support the ICC in the investigations concerning perpetrators of attacks against cultural heritage, if and when a legal case is opened, by sharing relevant factual information, including gathered and analyzed in cooperation with partners from the IT sector.</p>	100.000				
24	§§33, 34	<p>Cooperation and exchange of information with the Human Rights Council and the UN Special Rapporteur on Cultural Rights</p> <p>In order to mainstream culture into Human Rights policies, in particular in the context of armed conflicts, this activity could include research, assessments, the development of guidelines, and the organization of special advocacy events in the framework of the Human Rights Council and in cooperation with the UN Special Rapporteur on Cultural Rights. It could also involve cooperation with the Special Representative of the UN Secretary-General for the Prevention of Genocide for the development of tools that would take consideration of violations of cultural rights and attacks against culture for early warning of possible genocidal processes.</p>	150.000				

25	§§33, 35	<p>Integration of the protection of cultural heritage and diversity in military notably UN peace-keeping operations (including their police and civilian components)</p> <p>This activity will include training and sensitization activities, building on the experience of UNESCO in working with MINUSMA in Mali but also with other UN peacekeeping missions in Lebanon, Haiti and the Democratic Republic of the Congo (DRC), as well as on the work carried out in the past by the International Blue Shield Committee and the International Committee of the Red Cross (ICRC), pilot training materials developed in cooperation with the UNESCO Chair on Heritage and Peace at Newcastle University (UK), as well as the Military Manual on the Protection of Cultural Property prepared by the International Institute of Humanitarian Law (Sanremo, Italy). These will be adapted to the specificities of armed forces (national or regional, e.g. NATO) and peacekeeping forces that could be deployed or mandated by the UN Security Council and have a mandate for the protection of cultural heritage. The training modules will be tested in pilot capacity-building initiatives in cooperation with UNDPKO and UNITAR. They are aimed at enhancing, among mission personnel, awareness of the basic principles of International Humanitarian Law related to cultural property and more in general of the importance of culture and heritage and the need to safeguard them.</p> <p>Furthermore, also building and expanding on the MINUSMA precedent, this activity will include the exchange of information (e.g. provision of no-strike lists) and advising on cultural property protection, as well as, if and when explicitly foreseen within their mandate as determined by the UN Security Council, cooperation with UN peacekeeping missions on the ground for the protection of cultural and natural heritage, through the deployment of technical experts under UNESCO's coordination. This activity is closely linked to activity 1.</p>	400.000				
26	§35	<p>Promoting the protection of cultural property in the event of armed conflict of a non-international character - as part of International Humanitarian Law - among non-State armed groups</p> <p>In the context of an increase in armed conflicts of a non-international character with strengthened engagement of non-State armed groups, this activity will aim at raising these groups' awareness and promoting their respect of basic principles of International Humanitarian Law related to cultural property and more in general of the importance of culture and heritage and the need to safeguard them, in line with expressed priorities of the UN Secretary-General and in full application of UN rules and regulations. This will involve the preparation, in cooperation with the NGO Geneva Call, of a scoping study and the development of capacity-building and awareness-raising materials, which could be used by relevant NGOs and other humanitarian actors having interaction with non-State armed groups.</p>	100.000				
Mid-term							

27	§§33, 34	<p>Integration of culture into humanitarian relief efforts related to displacement</p> <p>This will include research, promotional materials, assessments, development of guidelines, training and the organization of special events with the relevant UN Agencies (Inter-Agency Standing Committee (IASC), UNHCR, IOM) and selected humanitarian actors at global and grassroots levels. A particular focus – as a priority - will be on displacement and migration, addressing access to culture in situations of displacement, including through the development of dedicated tools (such as the IOM’s Displacement Tracking Matrix) with a view to a possible return. With a pilot effort focusing in particular on the Syrian refugees, assessments will be conducted for the safeguarding and importance of intangible cultural heritage for community resilience during humanitarian crises, leading to the development of concrete tools. This activity will be closely linked to activity 14.</p>	200.000				
28	§§33, 34	<p>Integration of culture into peacebuilding efforts</p> <p>Against the background of the ongoing review of the UN Peace architecture, as decided by the UN General Assembly, this activity will aim at integrating a culture component into policies and tools used by UN actors involved in peacebuilding efforts. This will involve the development of research, promotional materials and guidance, for example for UNDP/PA Advisors and Peace Building Support Office staff; the inclusion of culture into vulnerability assessments tools (such as the Conflict and Development Analysis (CDA) recently elaborated by the UN Working Group on Transition); the organization of thematic meetings (e.g. at the Peace Building Council’s sessions); and ultimately the elaboration of proposals for projects to be supported under peacebuilding funding mechanisms. This will be done at a global level, and subject to the availability of funds, piloted in at least 5 countries in cooperation with the relevant humanitarian actors.</p>	200.000				
29	§§33, 35	<p>Protected cultural zones</p> <p>Building on the legal bases provided within the 1954 Convention and its Second Protocol, as well as on the right of initiative granted to UNESCO therein, the activity will explore, through consultations with UNDPKO and UNDP/PA, the legal framework for the possible establishment of protected cultural zones in conflict-affected countries, as well as the practical implementation modalities on the ground, including through UNESCO partners such as the ICRC.</p>	75.000				
30	§§25, 29, 33, 34, 35	<p>Evaluation and continuation of short-term activities</p> <p>Following an evaluation, relevant elements (e.g. trainings, awareness-raising, advocacy, etc.) of short-term activities 22, 23, 24, 25 and 26 will be continued in the mid-term as well, as appropriate.</p>	750.000				
Long term							
31	§§25, 29, 33, 34, 35	<p>Evaluation and continuation of short and mid-term activities</p> <p>Following an evaluation, relevant elements (e.g. trainings, awareness-raising, advocacy, etc.) of short-term activities 22, 23, 24, 25 and 26, as well as mid-term activities 27 and 28 will be continued in the long term as well, as appropriate.</p>	1.250.000				
General							

32	§51	Management and promotion of the Heritage Emergency Fund				
		This will include the development of procedures and assessment and evaluation mechanisms, the coordination of the implementation of activities, the reporting as well as initiatives for outreach, fund-raising and communication. These activities may include the preparation of promotional and fund-raising materials, the organization of information meetings and the development and maintenance of a comprehensive webpage – within the website of UNESCO - on the programme with updated information on current activities.	250.000			
Human Resources (over 6 years)						
		1 (P3) Coordination of Heritage Emergency Fund and of Rapid Response Mechanism - CLT/HER/EPR	1.103.976			
		1 (P3) Development and implementation of innovative partnerships and tools - CLT/HER/EPR	1.103.976			
		1 (P1/P2) Research, Knowledge management and Communication - CLT/HER/EPR	725.976			
		1 (P2) 1970 - Project Officer - CLT/HER/MHM	936.000			
		1 (P2) 1954 - Project Officer - CLT/HER/CHP	936.000			
		1 (P2) 1972 - Project Officer - CLT/HER/WHC/ARB	936.000			
		3 (P3) Project Officers - Field Offices covering priority areas (e.g. Iraq, Syria, Libya)	3.576.024			

GRAND TOTAL 24.917.952

ANNEX II

PROPOSAL FOR THE ESTABLISHMENT AND MAINTENANCE OF A MECHANISM FOR THE RAPID INTERVENTION AND MOBILIZATION OF NATIONAL EXPERTS (ROSTER “UNITE4HERITAGE”)

Introduction

Resolution 48 adopted by the General Conference at its 38th session (38 C/Resolution 48) calls, in its paragraph 3, on Member States to define mechanisms for the rapid mobilization of national experts, as a way to support the elaboration of the Action Plan for the implementation of the Strategy on the reinforcement of UNESCO's action to protect culture and promote cultural pluralism in the event of armed conflict. In its paragraph 4, moreover, the resolution invited the Director-General to explore, in collaboration with Member States, practical ways for implementing such mechanism for the rapid intervention and mobilization of national experts.

The Secretariat welcomes the wealth of suggestions, comments and best practices shared by Member States in the context of the online consultation put in place. The comments received point to the need to carefully assess various legal and financial implications. In further developing the concept for the establishment and maintenance of a mechanism for the rapid intervention and mobilization of national experts, the Secretariat will give these issues careful consideration.

The following describes how such mechanism could be set up within UNESCO, resulting from preliminary consultations both with Member States as well as potential partner organizations.

Establishment and operation of the rapid response mechanism

In order to ensure effectiveness and efficiency of the response, the proposed mechanism for the rapid intervention of national experts should be based on a roster that UNESCO would establish, containing pre-selected experts in fields related to the protection and safeguarding of culture, ready to be deployed.

Experts of the Roster would be used to assist in the protection and safeguarding of cultural heritage from threats that may arise in emergency situations associated to possible armed conflicts and/or natural disasters. To this end, they might be employed at anyone of the three stages of the emergency management process, that is before, during and after, to contribute to preparedness, immediate response and recovery initiatives.

The members of the Roster, when deployed on mission, will assist in the protection and safeguarding of cultural heritage by exercising their relevant professional expertise of a legal or technical nature, i.e. not by enforcing laws and security (e.g. ensuring the physical protection of people, a heritage site or Museum).

Among the possible activities that the experts of the Roster might be asked to undertake, always in full consultation with and at the request of the concerned national authorities, are the following:

- Rapid assessment of damage and other needs related to cultural heritage and in line with relevant national legislation, and identification of urgent safeguarding measures;
- Technical support to the implementation of urgent safeguarding measures, including emergency documentation, stabilization of structures at risk, salvaging and storage of collections, transport of movable cultural properties at risk to safe havens, legal counselling;
- Capacity building, including through training of relevant staff from national authorities, NGOs and volunteers;

- Legal advisory services to national authorities on measures to strengthen the protection of cultural property;
- Culture-related activities in support of internally displaced and refugees, such as psycho-social and educational programmes, vocational training, etc.

Candidatures would be screened against a set of pre-determined profiles and qualifications, drawn from past experience, and selected with the help of an advisory panel established on purpose. Desired competencies will not be limited to knowledge and skills within a specific area of knowledge related to the protection of culture, but also include the ability to work under stress and within a multicultural environment in emergency situations with security challenges, when applicable. Special attention would be put to ensure diversity in profiles, regional experience, language skills, and gender. In selecting and deploying experts of the Roster, moreover, the United Nations-agreed humanitarian principles of humanity, neutrality, impartiality and operational independence will also be applied. Within UNESCO, the roster would be managed by the Unit for Emergency Preparedness and Response of the Culture Sector.

The selected experts will become members of the roster and will be asked to guarantee, and reconfirm every two years, their readiness to be deployed within a short period of time and provide their services, possibly in areas affected by a critical situation. Once selected, the expert members of the roster will be required to undergo an induction course and specific training programme, possibly drawing from existing practices. These will be aimed at providing them with relevant information on the context in which they may be deployed, focusing on institutional and security arrangements, but also on culture-related processes to which they may be asked to contribute, such as the Post-Disaster Needs Assessment (PDNA) for Culture. In addition, as customary for all UNESCO experts, the members of the Roster will be required to undertake – and maintain updated – the standard online security training courses provided by the United Nations, and will receive specific country-briefings when deployed. The quality of their contribution to the mission will be evaluated after the latter's completion, in view of a future redeployment on behalf of UNESCO.

The actual deployment of the members of the Roster will be subject to the granting of security clearance by the United Nations Department of Safety and Security (UNDSS) and require the formalization of certain legal and administrative arrangements, to comply with United Nations established standard procedures. There exist different options, depending on the timeframe and the funding source, but in all cases the deployed experts will have to sign some form of individual contractual arrangement with UNESCO and, when on mission, will have the status of “UNESCO experts”, not UNESCO staff. These options may include:

- UNESCO taking complete charge of the deployment;
- UNESCO relying on a governmental organization to deploy its national experts, through various arrangements (loans or stand-by agreement); or
- UNESCO relying on an external Stand-by Partner.²

Experts from the roster could be also deployed in the framework of a United Nations mission, whether led by the United Nations Department of Peacekeeping Operations (UNDPKO) or the United Nations Department of Political Affairs (UNDPA), which would include in its mandate the protection of cultural property and which would request UNESCO to assist in implementing this particular aspect of its mandate. In such circumstances, and based on the specific terms establishing the United Nations Mission, UNESCO may wish to define specific arrangements with UNDPKO or UNDPA whereby the experts of the roster, would cooperate with the United Nations

² Stand-by Partners are organizations which maintain large rosters of qualified personnel that can be deployed rapidly to field offices on UNESCO's request. The related procedures are outlined in the User guide: “The Stand-by Partnership Users' Guide”, accessible online from: http://www.unesco.org/new/fileadmin/MULTIMEDIA/HQ/BSP/pdf/standby_partnerships.pdf

mission in protecting cultural and/or natural heritage. Such arrangement would require further formal agreements to be completed between UNESCO and UNDPKO/UNDPA in accordance with the rules and regulations of both parties and in consultation with the authorities of the concerned country. The terms of the arrangement would depend on various factors, including the required scope of work, the presence of a UNESCO Office in the country hosting the Headquarters of the United Nations mission and the availability of funds to support the deployment of the experts. The contribution by the UNESCO experts might focus on training and awareness-raising of the mission personnel (notably police and military) on cultural property protection; capacity-building of national authorities and local communities; and technical support for assessment and urgent protection and safeguarding measures. The United Nations Mission could, as was the case for MINUSMA in Mali, contribute by ensuring logistics and security support, as well as in monitoring the situation related to cultural heritage, through its military and police personnel.

Similarly, the deployment of experts on the Roster could also be considered in the framework of missions carried out by other international organizations such as the EU, OSCE or NATO.

The establishment and operationalization of the roster would require significant resources for UNESCO, on a structural and permanent basis. Ideally, these should be foreseen within the regular programme and budget of the Organization, at least to maintain its basic capacity to manage the roster. Extrabudgetary contributions, however, will be also critical. Interested donors could contribute through the recently established Heritage Emergency Fund or through specific Funds-in-Trust agreements.



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

PART II

PERIODIC REPORT ON INTERNAL OVERSIGHT SERVICE (IOS) EVALUATIONS

SUMMARY

In accordance with 186 EX/Decision 6 (VI), this report provides summaries of recently completed evaluations, namely:

- Evaluation of the Education for All (EFA) Global and Regional Coordination Mechanisms;
- Evaluation of the UNESCO Associated Schools Project Network (ASPnet);
- Evaluation of UNESCO's regional conventions on the recognition of qualifications in Higher Education;
- Joint Evaluation/Audit of UNESCO's role in Education in Emergencies and Protracted Crises, and
- A Review of Evaluative Evidence on Teacher Policy.

Action expected of the Executive Board: Proposed decision in paragraph 26.



INTRODUCTION

1. At its 186th session, the Executive Board requested the Director-General to continue to report periodically on evaluations completed (186 EX/Decision 6 (VI)). The Internal Oversight Service (IOS) herewith presents a summary of five recently-completed evaluations in the field of education. The detailed findings, conclusions and recommendations are presented in the full evaluation reports, which are available along with management responses on the IOS website: www.unesco.org/ios. The specific action points proposed in the evaluations shall help the respective stakeholders in implementing the recommendations to take their work forward in the future. IOS recently finalized an evaluation of UNESCO's Institute for Water Education, the results of which are also found at the IOS website.

2. All five evaluations indicated satisfactory performance as well as critical relevance to the 2030 SDG agenda. However, a number of cross-cutting weaknesses of a systemic nature also emerge and need to be addressed in order to ensure programme relevance and effectiveness: (a) more formalized Organization-wide strategies and policies need to be developed, or updated in some cases, in order to bring greater operational coherence and to more effectively guide programming; (b) coordination mechanisms, both internal and external, are in need of strengthening; (c) too often the available human and financial resources do not align with expectations and/or programme needs which highlights the need for *inter alia* greater use of fundraising/partnership strategies; (d) diverse networks and partnerships provide a unique comparative advantage but the key challenge is how to better leverage these relationships.

3. The following evaluations are foreseen for late 2016: (1) Evaluation of Science, Technology and Innovation (STI) Policy and Governance, (2) Evaluation of UNESCO's role and action to protect and safeguard cultural heritage and to promote cultural pluralism in crisis situations, (3) Evaluation of UNESCO's programme in Bioethics and Ethics of Science and Technology, and (4) International Convention Against Doping in Sport. IOS continues to provide backstopping to evaluations managed by sectors and field offices, as per the UNESCO Evaluation Policy. A training programme for Decentralized Evaluation is being developed to strengthen decentralised evaluation quality.

EVALUATIONS COMPLETED

(1) EVALUATION OF THE EDUCATION FOR ALL (EFA) GLOBAL AND REGIONAL COORDINATION MECHANISMS

Background and purpose

4. The Dakar Framework for Action, adopted at the end of the World Education Conference in Dakar in 2000, stated that UNESCO would "continue its mandated role in coordinating EFA partners and maintaining their collaborative momentum" and that, in doing so, the Organization would 'refocus its education programme in order to place the outcomes and priorities of Dakar at the heart of its work'. Aware of the significance of its entrusted role to lead and coordinate the newly adopted Global Education Agenda adopted by 184 countries in November 2015 (hereinafter referred to as SDG4-Education 2030) and cognizant of the need for adapting the existing global and regional education coordination architecture to the continuously evolving international education landscape, UNESCO commissioned an evaluation of the EFA coordination mechanisms established at the global and regional levels between 2000 and 2015.

5. The purpose of the evaluation was to assist UNESCO in refining and improving the coordination structures and processes established to facilitate the implementation of the SDG-4 Education 2030 Framework for Action.

Findings

6. The evaluation identified the following main achievements:

SDG4-Education 2030 Agenda shaped by UNESCO's commitment to holistic and inclusive EFA agenda

- (a) UNESCO is the international organization that demonstrated the steadiest commitment to the coordination of the holistic EFA agenda between 2000 and 2015. In particular, UNESCO's coordination focused on ensuring the quality, social equity and inclusiveness of education systems in all its Member States within a new and more encompassing lifelong-learning perspective. In this way, UNESCO's advocacy efforts have been successful in influencing the SDG4-Education 2030 Agenda and garnered support among its partners to introduce otherwise neglected aspects of education in the global sustainable development agenda.

Intellectual leadership through generation and dissemination of EFA-related knowledge

- (b) UNESCO's strategies for coordinating and promoting the generation and dissemination of EFA-related knowledge were effective. UNESCO liaised with category 1 institutes; organized global and regional meetings to facilitate the development or dissemination of UNESCO knowledge products in a number of EFA-related areas; fostered regional exchanges on EFA-related good practices; and coordinated the development of technical publications. The in-house production and wide dissemination of cutting-edge research work and specialized literature on education topics enhanced the credibility of the Organization's intellectual leadership, amply recognized in fields such as youth and adult literacy, planning, teachers and statistics.

Successful advocacy for increased funding for education and for a more effective use of the existing education funds

- (c) UNESCO's efforts to coordinate the mobilization of resources to support the implementation of the EFA agenda consisted of advocating for increased funding for education, and promoting a more effective use of the existing education funds. At the global level, UNESCO successfully pushed for public-private partnerships and an increase in extra-budgetary support for EFA-related programming and coordination in particular towards the end of the second phase of EFA coordination.

Leadership role in the tracking of EFA goals and statistical capacity-building

- (d) As confirmed by its pivotal role in establishing the SDG4-Education 2030 targets, UNESCO played a strong leadership role in the tracking of EFA goals, at the global level through the production of the *EFA Global Monitoring Report (GMR)*, and at the regional level through statistical capacity-building conducted in close cooperation with the UNESCO Institute for Statistics' regional advisers. The GMR was recognized over the years as the most comprehensive statistical publication on national education systems' progress in relation to the six EFA goals, providing funders and national policy-makers with the strongest evidence available on what education areas and topics needed to be addressed the most.

7. The evaluation also identified the following main challenges:

Lack of coherence in coordination and limited clarity of roles and accountability for each EFA partner weakening relevance of coordination

- (a) The lack of a strategic framework and limited clarity of the role of each EFA partner and convening agency at global, regional and country level, aggravated by the absence of

well-defined accountability mechanisms, made UNESCO's coordination work more challenging than expected. With regard to coherence, the lack of a clear division of in-house coordination tasks and responsibilities between UNESCO regional and national offices, along with the paucity of resources allocated by the Organization to the implementation of projects at the country level, undermined the relevance of UNESCO's coordination with other development partners on the ground. Moreover, EFA Coordination itself was neither monitored nor evaluated on a continued basis, mainly due to the absence of a theory of change or a results-based coordination strategy.

Uneven financial and human resources dedicated to EFA coordination compromising quality and predictability of coordination

- (b) The uneven allocation of UNESCO's financial and human resources to EFA coordination over the last 15 years had a negative impact on the quality and predictability of UNESCO's related tasks and responsibilities. Furthermore, UNESCO did not have the adequate resources to provide sufficient technical support at national level to assist countries in operationalizing the Dakar Framework for Action. The numerous changes in leadership within the EFA coordination team over the last 15 years were not responsive to the need for a solid and continued stewardship of the EFA agenda within the Organization.

Varying levels of engagement of other Convening Agencies and emerging parallel funding mechanisms undermining the effectiveness in coordinating the EFA agenda

- (c) The quality of EFA Coordination was also uneven, due to varying levels of engagement over time among the other EFA Convening Agencies;¹ the divide between the six holistic EFA Goals and the Millennium Development Goals); and the emergence of donors' interventions (e.g. programme- and sector-wide approaches) and parallel funding mechanisms for education² established outside of UNESCO and supporting only a few specific goals of the broader EFA agenda, while UNESCO advocated for a universal and holistic agenda. The proliferation of well-resourced global education initiatives as well as the strengthening of analytical research capacity on education-related issues within universities and private foundations also gradually undermined UNESCO's effectiveness in generating and disseminating EFA-related knowledge.

Way forward

8. On the basis of its findings, the evaluation recommends the following:
- (a) *Improving planning and monitoring of coordination:* Develop a detailed and results-oriented Coordination Strategy and Theory of Change and regularly monitor the effectiveness of the SDG4-Education 2030 coordination structures as well as the quality of the corresponding processes.
- (b) *Shifting to a cohesive way of coordination:* Move from a "Traditional Coordination" model to a more cohesive "Shared Coordination" by acknowledging and aligning partners' capacities, resources and initiatives to contribute to the SDG-4 Education 2030 coordination, in line with the principles of universality, harmonization and mutual accountability.
- (c) *Consolidating UNESCO in-house Coordination:* Communicate coordination as a "One UNESCO" corporate responsibility for leading and coordinating the SDG4-Education 2030 Agenda and define a clear coordination accountability framework as well as a

¹ UNDP, UNFPA, UNICEF and World Bank.

² Such as the Fast Track Initiative (FTI) earlier and the Global Partnership for Education (GPE) later on.

regular information-exchange mechanism to identify synergies and complementarities among Headquarters, field offices and the respective cooperation partners.

- (d) *Strengthening the Steering Committee's Role: Develop* a multi-year work plan for the SC that contributes to (i) maintaining the global consensus around the SDG 4-Agenda 2030's holistic and universalistic vision; (ii) enhancing the timely dissemination and use of global/regional education data and trends to facilitate evidence-based discussions.
- (e) *Balancing global, regional and national coordination efforts:* Strike a better balance between UNESCO's global mandate and responsive coordination at the regional and national levels, in particular, by seeking a stronger regional and national coordination role in areas where UNESCO has a comparative advantage, such as knowledge generation and dissemination in areas like adult literacy, teachers, non-formal education and skills development for youth and adults.
- (f) *Aligning funding for Education with SDG4-Education 2030 priorities:* Advocate increased coherence of funding for education – both from national governments as well as from other national and international funders – with the holistic SDG4-Education 2030 targets and closely coordinate with the Commission on Financing Global Education Opportunities as well as the Global Partnership for Education.
- (g) *Strengthening knowledge generation and dissemination:* Reinforce UNESCO's role in generating and disseminating knowledge on good practices in education by applying a more targeted and integrated approach. Furthermore, explore opportunities for joint publications on topics identified as key by the Steering Committee and maximize the use of social media.

(2) EVALUATION OF THE UNESCO ASSOCIATED SCHOOL PROJECT NETWORK (ASPNET)

Background and purpose

9. The UNESCO Associated School Project Network (ASPnet) is a large and unique global network of schools committed to promote the principles and values of UNESCO through developing innovative educational contents, pioneering new teaching and learning methods and approaches and linking millions of teachers and students across the world. It aims to contribute to improving the quality of education in practice in pursuit of peace and sustainable development and is often promoted by UNESCO as a powerful tool to achieve its goals and to increase the Organization's visibility on the ground. The programme was launched in 1953 in 33 secondary schools in 15 countries, and currently estimates more than 10,000 educational institutions in 181 countries as its members – ranging from nursery and pre-schools to primary and secondary schools as well as teacher training institutions.

10. The purpose of the evaluation was to help UNESCO more effectively manage and better utilise one of its largest and potentially most powerful global networks. The evaluation is expected to inform UNESCO's Senior Management and Governing Bodies, as well as national level stakeholders on the most appropriate way forward, especially with regard to its contribution in implementing the SDG 4 – Education 2030 Agenda.

Findings

11. The evaluation identified the following main achievements:

Broad agreement on high relevance

- (a) While underutilized in the past, ASPnet is recognized by Member States as highly relevant and an effective implementation mechanism for increasing the quality of education in practice in the framework of the SDG4-Education 2030 agenda, in particular for reaching target 4.7 of the Education 2030 agenda.

Effective channel for transmitting innovation

- (b) The ASPnet has demonstrated its effectiveness for improving the quality of education in practice by putting innovative teaching and learning approaches into practice at the school level. When intra- or cross-sectoral cooperation successfully occurred,³ the ASPnet effectively fulfilled its potential as a channel for disseminating UNESCO's educational resources and for applying innovative teaching and learning practices, in addition to being a vehicle for international exchange and collaboration. The celebration of International Days, participation in flagship initiatives and online global platforms have also demonstrated their value as drivers for learning and exchange among schools, teachers and students.

Strong stakeholder commitment is a key strength

- (c) Despite a significant decrease in human and financial resources dedicated to international coordination, ASPnet has proven resilient in many countries through the firm commitment of its stakeholders and the continuous engagement for implementation at the national and school levels. In particular, when a "Whole-School-Approach" is applied or where individual stakeholders act as "multipliers", ASPnet initiatives demonstrated sustainability and potential for replication. Furthermore, where partnerships have been established with stakeholders in the local community these significantly increased the outreach of the school level activities.

Decentralized structure and networking function make it a cost-efficient programme

- (d) ASPnet can be considered as a cost-efficient programme for UNESCO. Through its decentralized structure and networking function, it mobilizes large numbers of various actors to a great extent on a voluntary basis. It triggers numerous initiatives and their replication at a relatively minimal cost. Furthermore, it holds a great potential for attracting extrabudgetary resources.

Innovative ICT tools empower its working mechanisms and global identity

- (e) The recent introduction of innovative ICT tools and social media, both at management and implementation level, has been empowering the interactive working mechanism of the ASPnet and consolidating its global identity. In particular, the development and launch of the Online Tool for ASPnet (OTA)⁴ has been a driver for (re)connecting ASPnet members to each other and stimulating exchange across all levels.

³ Such as in the case of Education for Sustainable Development (ESD), and in the framework of flagships such as World Heritage Education, Sandwatch, and Transatlantic Slave Trade.

⁴ OTA is an on-line platform based on Microsoft SharePoint, which can be used to store, organize, share and access information on several formats (pictures, videos, texts, documents, chats, etc.). It is also a management tool that can reinforce the communication between the different coordination levels. The majority of OTA solutions cover aspects of network management, whereas about one third is dedicated to sharing educational contents.

12. The evaluation also identified the following main challenges:

Limited visibility in UNESCO's strategic documents

- (a) While the relevance of ASPnet has remained significant over years, its positioning in the Medium-Term Strategy and visibility within UNESCO has more recently been diminishing. At the programme level, UNESCO global commitments on Gender Equality and Priority Africa have not been found particularly reflected in ASPnet. Furthermore, ASPnet responsibilities at the field level are not well defined and its intersectoral potential is not fully capitalised upon.

Weaknesses in governance

- (b) ASPnet faces several challenges in its governance due to the uneven application of the current provisions for membership. The proliferation of a variety of national implementation mechanisms, such as non-homogenous or non-equally respected procedures for selection and membership, resulted in potential reputational risks for the Organization that are currently not sufficiently managed. Established global membership procedures for ASPnet are often not exercised as intended and are insufficiently incorporated into national guidelines, which is eventually leading to a loss of global identity and decreased manageability.

Effectiveness hampered by limited resources (or investment)

- (c) The means (human and financial resources) allocated to international coordination in the period 2010-2015 decreased, and at the national level the programme is often implemented with minimal resources. Simultaneously, the scale and complexity of the network increased steadily, resulting in uncontrolled growth with uneven level of activity and quality. The programme's potential for establishing partnerships and attracting external resources has remained largely underutilised over the last biennia. The programme is currently under-resourced to ensure effective minimum operations, while with only few more core resources a lot more could be achieved.

Results are scattered and of mixed quality

- (d) Despite the examples of success, overall a mixed picture emerges in terms of results. The variety of ASPnet's activities has not expanded in a coordinated and systematic manner across the whole network. A scattered approach also applies to the "teaching and learning" component. The capacity-building component has been sub-optimal and consisted mainly in ad-hoc workshops and seminars for a limited number of participants. The networking among ASPnet schools primarily occurred at the national level. Rather than a global network, the ASPnet has turned into a network of national networks of schools with differing degrees of activity levels and varying quality.

Greater national ownership needed to ensure sustainability

- (e) Sustainability at the national level has been uneven among countries. Evidence shows that factors to ensure sustainability or for increasing the outreach of the school level activities through local partnerships are not systematically present and capitalized upon. A lack of communication and visibility of the ASPnet was found among the reasons why the ASPnet is often not sufficiently known or understood beyond the network and rarely found influential at the national policy level.

Way forward

13. On the basis of its findings and conclusions, the evaluation recommends the following:
- (a) *Strengthening governance*: Strengthen network identity and cohesion, by building a community and improving and reinforcing the ASPnet rules and regulations concerning membership, quality assurance, reporting and monitoring as well as providing incentives for complying with the rules and regulations.
 - (b) *Improving programming and planning*: Revise the current ASPnet Strategy and develop a Plan of Action, with the aim to revitalize the ASPnet with realistic intermediate objectives in explicit alignment with the SDG4 – Education 2030 Agenda, to ensure a sound linkage between the strategic vision of ASPnet goals and their implementation.
 - (c) *Increasing means*: Ensure an adequate level of core resources (in terms of HR, regular budget, allocation of Participation Programme funds) that allow the network to be effectively coordinated, managed and animated in pursuit of an increase in overall quality of processes and mechanisms, as well as to strengthen fundraising efforts for animating the network.
 - (d) *Promoting utilization*: Promote ASPnet more actively within UNESCO and among Member States, to capitalize upon the ASPnet more effectively as a test-bed and dissemination channel of innovative education material and approaches; and to make better use of its inter-sectoral dimension, and potential cross-linkages with other relevant UNESCO initiatives⁵, networks and partners.
 - (e) *Facilitating utilization*: Apply a more programmatic, structured and coordinated approach to build momentum for joint initiatives and networking for Associated schools, such as flagship initiatives linked to priority thematic areas and to mutually re-enforce the three working mechanisms (creating, teaching and learning and interacting).
 - (f) *Strengthening communication*: Develop a communication strategy targeted to different audiences with the aim to enhance visibility and understanding of the key aspects and potential impact of the ASPnet, including through different ways of disseminating good practices beyond the network to stimulate interest, replication and the potential consideration in policy debate, as well as to attract partnerships and funding.

(3) EVALUATION OF UNESCO'S REGIONAL CONVENTIONS ON THE RECOGNITION OF QUALIFICATIONS IN HIGHER EDUCATION

Background and purpose

14. As the only United Nations agency with a mandate in higher education, and recognizing the challenge that recognition poses for mobility, UNESCO has a long history of engagement with this issue. Efforts to create a global convention on recognition eventually resulted in six regional conventions in the 1970s and 1980s, which established a unique legal framework for allowing the recognition of qualifications in higher education between States Parties at a regional level. In 1993 a UNESCO Recommendation on the topic was adopted after further attempts for a global convention did not succeed. More recent revised regional conventions now exist for Europe, the Asia-Pacific region, and for Africa, although the latter two do not yet have sufficient States Parties to enter into force. UNESCO's Member States recently agreed to also revise the convention for Latin America and the Caribbean, and to develop a possible global convention on recognition.

⁵ In coordination with programme sectors, category 1 and 2 institutes, field offices and extrabudgetary projects.

15. The purpose of the evaluation was to generate findings and recommendations that will inform the development, management and implementation of the new generation of regional recognition conventions, and that will potentially also feed into the development and implementation of a future global convention.

Findings

16. The evaluation identified the following key findings:

Increased importance and role of the higher education recognition conventions

- (a) With significant improvements in access to basic and secondary education, an increase in students crossing borders to pursue higher education, a desire for more mobility within economic regions, the changing nature of the global economy, and the increase in trade agreements that incorporate provisions on recognition, the issue of recognition has become increasingly important. The special consideration given by the revised conventions to the recognition of qualifications of refugees has increased their relevance given large and increasing flows of refugees between countries. While the conventions are not the only tool available to address recognition, they are unique in their scope and scale, and the only legal instruments on recognition available at regional levels.

Mostly ineffective governance and management mechanisms of the conventions

- (b) With the exception of the 1997 Lisbon Convention, and to some extent the 1983 Bangkok Convention, none of the governance mechanisms for the regional recognition conventions are currently functional (and therefore also not effective). The 1997 Lisbon Convention's governance mechanism is strong, and provides an example of a number of good practices, such as creating supplementary texts to guide convention implementation.

Largely insufficient monitoring and reporting pose a challenge for recognition

- (c) Monitoring and reporting on the implementation of the first generation of conventions has been largely insufficient and one of the main challenges encountered in the standard-setting work on recognition. There is also a need to sustain efforts between convention Committee meetings to ensure that the decisions taken by the Committees are followed up. The involvement of key stakeholders in Committee meetings and other relevant events has also been identified as an important way to increase the effectiveness of the governance and management of the conventions. Last but not least, there is a need to better ensure that the conventions remain relevant in their specific regional contexts. One way to ensure continued relevance would be for the Committees to develop operational guidelines / directives for the conventions that reflect new concepts, knowledge and experiences as the contexts evolve, and that are continuously updated in line with Committee decisions.

Fragile effectiveness of UNESCO's support activities

- (d) Although it is ultimately the responsibility of Member States to ratify and implement the conventions, UNESCO's advocacy and support to this end are essential at this point in time. A significant challenge is that the Secretariats of the Conventions suffer from lack of capacities to various degrees, especially since significant budget cuts affected UNESCO in 2011, and were unable to sustain the momentum with Member States. With this in mind, and expecting that the workload of the Secretariats will increase as remaining conventions are revised and more signatories join, and as implementation is pushed forward, future work needs to be considered with a more strategic lens.

Way forward

17. On the basis of its findings, the evaluation recommends the following:
- (a) *Communicating an evidence-based rationale for regional conventions:* There is a need for UNESCO to communicate more compelling narratives about the importance of the regional conventions that are tailored to the specific regional contexts. These efforts need to be evidence-based, i.e. supported by reliable data on the problems to be addressed by the conventions, and on the results achieved and the benefits derived from recognition so far. This type of data is lacking in most of the regions. Information on the gender dimensions of recognition and on any potential gender-based discrimination related to recognition is also scarce.
 - (b) *Engaging stakeholders in advocacy for ratification of the conventions:* The emphasis of UNESCO's support should be on activities that help multiply UNESCO's reach and engage other stakeholders so that these can also undertake the work of informing and advocating for the conventions. Clear goals and indicators for supporting ratification and implementation should be developed, and supported by adequate human and financial resources both in headquarters and in Convention Secretariats. A wider engagement of stakeholder groups in the work to advance ratification and implementation appears necessary. These include Government institutions outside the education sector, such as Foreign Affairs and Labour, as well as public and private higher education institutions, and regional economic organizations.
 - (c) *Sustaining momentum through external funding and partnerships:* Developing a long-term fundraising strategy will be needed to enable long-term planning, and to ensure sustaining momentum over time through continuity of UNESCO's support activities. The exploration of new types of partnerships, increased engagement with existing networks, cooperation with champion countries, and the increased use of ICTs should also be considered.
 - (d) *Adopting a more strategic corporate approach for managing the conventions:* Overall, both in headquarters and in the field, the evaluation observed a significant discrepancy between UNESCO's standard-setting mandate on one hand, and its capacity to support ratification and implementation at regional and global levels on the other. The current reality of fiscal restraint, combined with an increasing workload, calls for creative solutions and requires a more strategic approach.

(4) UNESCO'S ROLE IN EDUCATION IN EMERGENCIES AND PROTRACTED CRISES

Background and purpose

18. Emergencies and protracted crises currently disrupt education opportunities and quality for more than 75 million children and youth.⁶ More than half of these are female and girls are more likely than boys to remain completely excluded from education.⁷ This figure also does not include the millions of adults living in crisis-affected countries who are denied basic literacy skills and lifelong learning opportunities. The global sustainable development agenda, adopted by the United Nations General Assembly in 2015 stresses the importance of education in mitigating disaster and conflict, as well as in protecting people in vulnerable situations.⁸ The Incheon Declaration for

⁶ Nicolai, S. et. al. 2016. Education Cannot Wait: proposing a fund for education in emergencies. London: ODI.

⁷ UNESCO GEM and UIS. Policy Paper 27/Fact Sheet 37. Leaving no one behind: How far on the way to universal primary and secondary education? July 2016.

⁸ The importance of education in crises is also reflected in a number of specific targets, particularly under SDG4: target 4.5 speaks of providing equal access to education "for the vulnerable, including persons with disabilities, indigenous peoples and children in vulnerable situations"; target 4.7 emphasizes the role of education for the

Education 2030 and its corresponding Framework for Action also specifically address the issue of education in emergency situations. Finally, the recent World Humanitarian Summit recognized education as an important priority on par with other humanitarian sectors. As UNESCO embarks upon leading and coordinating the Education 2030 agenda, this exercise aims at assessing UNESCO's work in education in emergencies and protracted crises and clarifying its role in this important field.

19. This joint evaluation and internal audit exercise by IOS included mapping of UNESCO's work in education in emergencies and protracted crises, analysing its strategic positioning, and assessing the level and nature of UNESCO's participation in international and national coordination mechanisms within the United Nations and beyond. The internal audit component also focused on assessing the frameworks, procedures and capacities underpinning UNESCO's emergency response work at Headquarters and in field offices.

Findings

20. IOS identified the following findings:

UNESCO has some level of activity in a majority of crisis-affected countries

- (a) Among 52 crisis-affected countries⁹ identified during 2012-2016, UNESCO has had some level of education activity in 50 of them. The Organization has a physical presence in 16 countries, covers 34 countries with its multisectoral regional or cluster offices, and has no presence in two countries.

UNESCO has responded to four out of six Level-3 emergencies, mainly where it has offices

- (b) Since 2012, UN-OCHA has declared six Level-3 emergencies in the Central African Republic, Iraq, the Philippines, South Sudan, Syria, and Yemen. UNESCO has responded to the crises in Iraq and South Sudan where it has national offices and has implemented projects in the Philippines and Syria, through temporary antennas. UNESCO is also implementing a large scale education response to the Syria crisis in neighbouring Lebanon, Jordan and Iraqi Kurdistan. The Organization has however been absent from the Central African Republic and Yemen where it does not have a field presence.

Funding for education in crisis-affected countries is limited, especially in Africa

- (c) UNESCO's portfolio¹⁰ in crisis-affected countries represents nearly a quarter (US \$144 million of which 98% is from extrabudgetary sources) of its total operational budget in education. Half of crisis-affected countries are in Africa, but these have received only 28% of UNESCO's education budget allotted to all crisis-affected countries and just 6% of the Education Sector's total allotted operational budget. During 2012-2015 UNESCO allotted nearly \$33 million to Level-3 emergencies of which \$7.5 million was raised through appeals and strategic response plans. Overall, funding for education accounts for under 2% of all humanitarian aid, and UNESCO's share of education-related appeals represents just 1% of all those funded during the past five years.

"promotion of a culture of peace and non-violence"; and, target 4.a underlines the necessity for "safe, non-violent, inclusive and effective learning environments for all".

⁹ Identified from three sources: World Bank Harmonized List of Fragile Situations of 35 countries; the International Network for Education in Emergencies (INEE) Education Spotlight Series on 17 countries; and, 26 countries subject to international appeals and humanitarian response plans through UN-OCHA.

¹⁰ These figures represent the Education Sector's allotments to crisis-affected countries during two biennia: 2012-2013 and 2014-2015.

UNESCO can claim a number of niche areas

- (d) UNESCO's activities in crisis-affected countries focus on preparedness and reconstruction, rather than on immediate relief. The Organization is recognized for its expertise in strengthening education systems that bridge short- and long-term needs: capacity-development of government officials such as through training in the INEE Minimum Standards¹¹ (e.g. in Iraq); crisis-sensitive planning (e.g. in South Sudan); and information management such as the development of Education Management Information Systems (e.g. for Syrian refugees in Jordan). In some countries UNESCO is the only United Nations organization working on adult literacy (Afghanistan), certification of non-formal education (Lebanon), policies for higher education (Myanmar), and in the development of manuals in psychosocial support for secondary-school teachers (Philippines). Partners do not expect UNESCO to be involved in the direct delivery of educational services, which the Organization is not able to bring to scale. They do, however, expect UNESCO to more actively contribute its specific expertise to post-conflict or post-disaster needs assessments.

There are many opportunities for intersectoral work, but efforts are too fragmented

- (e) UNESCO's work in education in emergencies is not limited to the Education Sector and its category 1 institutes. Many initiatives in disaster risk reduction (DRR) are coordinated out of the Natural Sciences Sector such as teacher training in DRR (e.g. in Haiti) and providing tools for safe schools (e.g. in Indonesia). Other educational programmes are run by the Communication and Information Sector, such as strengthening media capacities to report on DRR and natural disasters in the Caribbean and the use of radio for transmitting curriculum-based education and strengthening peacebuilding in Afghanistan and South Sudan. The Culture and Social and Human Sciences Sectors also focus on peacebuilding through education. Overall, UNESCO's work in education in emergencies is fragmented and there is very little information-sharing among programme sectors.

Gender equality is an area of focus, but more could be done to mainstream it

- (f) A portfolio analysis of UNESCO's education work in ten crisis-affected countries shows that one third of the Organization's interventions have a gender-specific focus, targeting young girls and women who are most likely to miss out on education opportunities in crisis contexts. Only half of all crisis-related interventions show some evidence of gender mainstreaming. Two thirds target disadvantaged groups, including refugees, internally displaced persons and others.

Participation in needs assessments positions UNESCO to be part of the response later on

- (g) The Organization has participated in education needs assessments in a number of countries, contributing specific expertise and covering themes such as non-formal education (post-earthquake in Nepal) and higher education (post-conflict in Gaza). Participation in needs assessments allows UNESCO to advocate for data collection in specific fields in order to inform the longer-term planning of the response to various crises. If UNESCO is absent at the onset of a crisis, it is very difficult for it to be part of the response later on.

¹¹

The International Network for Education in Emergencies (INEE) developed *Minimum Standards for Education: Preparedness, Response, Recovery* in 2010 to help achieve a minimum level of educational access and quality in emergencies.

Lack of an organizational strategy indicates that “Education in Emergencies” is not a priority

- (h) UNESCO does not have a global strategy for its work in education in crisis settings. Furthermore, its strategic documents (Education Strategy, C/4, C/5) do not contain specific objectives for such work, contrary to the previous C/4 which had a specific Strategic Programme Objective for Post-Conflict Post-Disaster contexts. Consequently, this sends a signal that education in emergencies does not constitute a priority for the Organization and leads to a lack of clarity for partners as to what UNESCO can offer in such situations. UNESCO staff also cannot count on any guidance for their programmes. As a result, UNESCO’s response is often ad hoc, fragmented and without a longer-term approach. This also leads to missed opportunities to more strategically engage in key humanitarian efforts.

Timeliness of response is hampered by lack of fast-track processes

- (i) In the absence of a strategy, UNESCO also lacks frameworks for emergency response and its guidelines are outdated. Furthermore, capacities and resources are limited and the lack of training in fundraising, project management and contracting for field staff impairs the timeliness and efficiency of project delivery. There is also no roster of staff with experience in emergency response and the deployment of people for surge support is very slow. Since the abolishment of a specialized unit in the Education Sector, as well as of the Intersectoral Platform for Post-Crisis Post-Disaster, UNESCO’s participation in flash appeals has nearly halved. Support to field staff from Headquarters has also been limited. A one-person Education in Emergency desk was set up only in late 2015 after several years of no formal coordination. Consequently, urgent needs of field offices in countries in crisis and transition are not met, often severely delaying implementation of projects and leading to missed critical opportunities to contribute much needed expertise.

Uneven and limited engagement in global coordination

- (j) UNESCO’s contribution to coordination mechanisms in the field of education, at the global level has been mixed, and at the national level often depends on whether the Organization has a field presence. Over the past five years, with the exception of the International Institute for Educational Planning, UNESCO has been absent from the Global Education Cluster, the main inter-agency forum for overall collaboration and coordination of activities supporting education response. At the country-level, however, UNESCO is an active member of Education Clusters and Working Groups where it has offices. Partners say that UNESCO has an important role to play in these groups by advocating longer-term approaches to crisis responses and therefore bridging the humanitarian-development divide. They also indicate that UNESCO’s participation in education in emergencies is largely due to the personal initiative of its staff, rather than to an institutional commitment.

Way forward

21. On the basis of its findings and conclusions, the joint evaluation/audit exercise presents the following main recommendations:

- (a) *Strategic positioning:* UNESCO should develop a global intersectoral strategy for its work in education in emergencies and protracted crises in order to clearly indicate its technical capacity and expertise and reaffirm its role in the field. It should also clearly embed education in emergencies in its planning documents.
- (b) *Coordinating an intersectoral response:* UNESCO should establish a community of practice of all staff working in education in emergencies across sectors. The

coordination of this network by the Education in Emergencies desk would not only facilitate the sharing of best practices, but would help the Organization mobilize critical expertise to areas where they are needed most. When a Level-3 emergency or other crisis is declared, this group should meet on a regular basis to determine what type of intersectoral response is to be provided by UNESCO in order to become more relevant in UN-OCHA coordinated appeals.

- (c) *Leveraging expertise:* UNESCO should respond to crises from their onset by contributing its specific expertise to needs assessments. To enable the Organization's participation in such exercises, the Field Support Coordination Unit should create and maintain a roster of qualified staff and external experts. Mechanisms to enable these staff to participate in needs assessments on short notice should be established.
- (d) *Improving efficiency of response:* UNESCO should introduce a trigger mechanism with fast track procedures to respond to crises and revise its administrative guidelines accordingly. Training should be offered to field staff, with priority given to those in crisis-affected countries.
- (e) *Fundraising for emergencies:* UNESCO should establish a revolving fund for its work in education in emergencies and encourage Member States to donate to it. Such a fund would enable the Organization to participate in emergency response from the onset, for example by providing expertise to needs assessments or supporting smaller field offices. In parallel, UNESCO should strengthen resource mobilization mechanisms for crisis and transition response in order to minimize delays in the implementation of projects. For instance, a portfolio of potential intersectoral interventions where UNESCO has demonstrated successful results should be developed and communicated to potential donors.
- (f) *Engaging in global coordination mechanisms:* UNESCO's Education Sector should ensure its regular representation in the Global Education Cluster, so that the Organization is able to contribute to both the Cluster's Strategy and its work in supporting preparation and transition phases in crisis-affected countries.

(5) A REVIEW OF EVALUATIVE EVIDENCE ON TEACHER POLICY

Background and purpose

22. While Universal Primary Education remains a global priority, the international community's attention is becoming more concerned with improving education quality. The 2030 Agenda for Sustainable Development, Sustainable Development Goal (SDG) 4, which aims to "ensure inclusive and quality education for all and promote lifelong learning", echoes this shift. With teachers as one of its means of implementation, SDG4 reinforces the widespread recognition that education quality has to do, first and foremost, with the availability of qualified teachers.

23. The purpose of the review was to support UNESCO and partner agencies by providing constructive inputs to the development of future policies and programme for the 2030 Agenda for Sustainable Development. The review identified and synthesized key lessons from relevant education-related evaluations undertaken by United Nations agencies, bilateral and multilateral organizations and NGOs working areas relevant to UNESCO's mandate in education.

Key policy messages

24. Addressing the twin challenges of teacher supply and quality as a means of improving education quality is an ambitious agenda for even the most well-intentioned of governments. Not only are national budgets a constraining factor, but many developing countries also lack the capacity to design and implement complementary and sustainable policies to address teacher

reform. UNESCO, along with partner agencies, has an important role to play by providing technical assistance, monitoring normative instruments, supporting innovative evidence-based responses and promoting platforms for knowledge exchange.

25. The review identified the following three key lessons learned:

- (a) As the link between teacher quality and student performance becomes increasingly apparent, education leaders are focusing attention on upgrading teacher quality. Unfortunately, chronic teacher shortages remain a serious issue and many governments continue to struggle with the first order problem of sufficient staffing. Given the amount of time it takes to train new teachers, it is essential to think creatively about policy combinations that address the shortage issue in the short-term while keeping an eye on maintaining quality over the long-term. Importantly, while ensuring representation from all groups is critical when discussing teacher supply, institutionalizing gender sensitive recruitment and retention policies requires urgent consideration not least because evidence shows that the presence of female teachers can significantly improve girls' enrolment and attendance.
- (b) It is clear that effective teacher development is an ongoing process which requires considerable investment. It also demands a holistic view which balances content knowledge with pedagogical skills, practical experience and *in-situ* support with particular attention to creating child-friendly and gender-sensitive teaching and learning environments. While what works to improve teaching quality varies by context, innovative approaches do exist and can be mainstreamed into national teacher development policies. However, despite the plethora of teacher training programmes, evaluative evidence of which innovations work at scale in developing countries and research into what context specific adjustments are required is thin. This is an area that requires substantial ongoing investment.
- (c) Many partner agencies have invested substantially in capacity-building of national governments for teacher reform with some very positive results. To maximize the impact of these investments, agencies can (i) continue promoting existing policy development resources and building the capacity of teacher training institutes/resource centres, (ii) build their own staff capacity to implement policy development resources locally, (iii) encourage the involvement of teachers in policy reform, and (iv) identify and attempt to narrow the evidence gap on teachers by encouraging more evaluation as well as periodic systematic reviews of existing data.

Proposed decision

26. The Executive Board may wish to adopt a decision along the following lines:

The Executive Board,

1. Recalling 186 EX/Decision 6 (VI),
2. Having examined document 200 EX/5 Part II,
3. Welcomes the evaluations and invites the Director-General to implement the recommendations, except those recommendations that require a decision by the Executive Board and/or General Conference, in which case the relevant issue shall be submitted to the Executive Board for its consideration.



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PART II

PERIODIC REPORT ON INTERNAL OVERSIGHT SERVICE (IOS) EVALUATIONS

CORRIGENDUM

On page 10, paragraph 20. (a) should read as follows:

UNESCO has some level of education activity in a majority of crisis-affected countries and territories

(a) Among 52 crisis-affected countries and territories⁹ identified during 2012-2016, UNESCO has had some level of education activity in 50 of them. The Organization has a physical presence in 20 of them, covers 30 others with its multisectoral regional or cluster offices, and has no presence in two of them.

Footnote No. 9 that is referred to in this paragraph should read as follows:

Identified from three sources: World Bank Harmonized List of Fragile Situations; the International Network for Education in Emergencies (INEE) Education Spotlight Series; and, international appeals and humanitarian response plans through UN-OCHA.





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PART III

MANAGEMENT ISSUES

SUMMARY

This report is intended to inform the Members of the Executive Board of the progress achieved in the follow-up to the decisions and resolutions adopted by the Executive Board and the General Conference at their previous sessions.

Part III contains information on the following management issues:

- A. Sustainability of the field network**
- B. Invest for Efficient Delivery**
- C. UNESCO Security and Safety Action Plan**
- D. Comparative report: The UNESCO Ethics policies and those of the United Nations Secretariat**
- E. Implementation of the action plan for improved management of extrabudgetary funds**
- F. Review of Cost recovery policy**
- G. Implementation of the Participation Programme and Emergency Assistance**





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

PART III

MANAGEMENT ISSUES

SUMMARY

A. Sustainability of the field network

Pursuant to 199 EX/Decision 5 (II, C), the Director-General presents herein a report on proposed basic principles of sustainable decentralization, criteria for UNESCO's field presence and mechanisms for improvements to the field network in Africa.

Action expected of the Executive Board: Proposed decision in paragraph 29.



A. Sustainability of the field network

INTRODUCTION

1. The Executive Board at its 199th session reconfirmed the importance of responsive and sustainable field network as an essential mechanism for implementation of UNESCO's mandate and its capacity to efficiently assist Member States in their endeavours to achieve the Sustainable Development Goals (SDGs) consistent with their national and regional priorities.
2. The Executive Board adopted decision 199 EX/Decision 5 (II, C) requesting the Director-General to report to it at its 200th session, after a participatory consultative process with Member States, on proposed "basic principles of sustainable decentralization", criteria for UNESCO's field presence and mechanisms for monitoring improvements to the field network in Africa, including their preliminary cost analysis. This constitutes the first phase of the process of review of the sustainability of the field network.

PROGRESS OF WORK

3. The Executive Board also recognized that the main objectives of the comprehensive reform initiated in 2009, as adopted by the General Conference at its 36th session, remain relevant and valid as they aim to enhance the quality and efficiency of service delivery to Member States, ensure a more flexible and visible presence at the regional and country levels, and contribute to a greater United Nations system-wide coherence.
4. In response to the direction provided by the Executive Board, the Director-General established on 12 May 2016 (DG/Note/16/09) a Task Team for the Review of the Sustainability of the Field Network chaired by the Assistant Director-General for Africa (ADG/AFR) and composed of representatives of programme sectors, corporate services and directors of multisectoral regional/cluster offices. It is mandated to develop tools and processes to enable a consistent, solid and operational field structure. The work of the Task Team is supervised by a steering group under the chairmanship of Deputy Director-General, as a subset of the Programme Management Committee (PMC).
5. In its first phase of work until mid-July 2016, the Task Team concentrated its efforts on developing the three proposals as requested by the Executive Board through a consultative process involving the appointed members of the Task Team as well as Directors and Heads of national offices and representatives of corporate services including the Division for Gender Equality and the Division of Knowledge Management and Information Systems.
6. A consultation meeting with Member States was organized on 8 July 2016 with a view to collecting guidance and advice from Member States on the content and orientation of the proposed basic principles for decentralization, criteria for field presence and improvements to the Africa field network. Member States largely confirmed that delivery on UNESCO's mandate can only be effective by working at the field level and that it therefore requires a strong field presence. They confirmed that Agenda 2030 provides great opportunities for UNESCO to deliver policy support and related capacity development activities. The impact of the field network should be considered as one of main criteria for field presence and the tools to monitor such impact should be improved.
7. Member States were reminded that the second phase of the review process foresees a full analysis of the relevance and performance of the field network as a whole, specifically in light of its role in the implementation of 2030 Agenda, and in parallel to the preparation of draft document 39 C/5 to be presented to the Executive Board at its 201st session.

8. The Executive Board may wish to consider establishing an advisory group to provide guidance to the Secretariat on the optimal architecture for a field network taking account of the complex strategic, political, financial and operational considerations and various expectations and needs of Member States.

AREAS COVERED BY THE PROPOSAL

9. The present document includes the Secretariat's proposal for:

- A. Basic principles of a sustainable decentralization;
- B. Criteria for UNESCO's field presence;
- C. Mechanisms for monitoring improvements to the field network in Africa.

10. Once approved by the Executive Board, they will form the basis for the discussion of the options for achieving a more sustainable, relevant and effective field network, in line with the request of the Executive Board for its consideration at its 201st session.

A. Basic principles of a sustainable decentralization

11. The principles of the sustainable decentralization describe the essential elements for positioning UNESCO closer to the field and enhancing the efficiency and effectiveness of the field network.

12. The principles will frame the way as to how UNESCO establishes and maintains its field presence and will guide the formulation of options for making the decentralized network more sustainable, relevant and effective. Furthermore, they will set the framework for defining precise financial and programmatic performance targets for field offices and measures to test the continuing efficiency and effectiveness of the field network.

13. The following eight principles have been identified (see Table in Annex I):

I. Effective subsidiarity

This principle includes the respect of defined roles and functions of Headquarters (HQ), category 1 institutes and field offices, the recognition of the complementarity of centralized and decentralized activities, appropriate delegation of authority and clear accountability lines.

II. Flexibility

This principle includes the flexible use of staff resources to adapt to evolving needs and the possibility to review structures and location to respond to emerging needs.

III. Effective programme planning, implementation and monitoring/evaluation

This principle includes the systematic application of evidence-based analysis of development needs of Member States for the planning of UNESCO's activities at the national and regional levels. It also includes the alignment of UNESCO strategies with national/regional development goals with a strong sector-sensitive programmatic focus on UNESCO's contribution to the implementation of Agenda 2030 and Agenda 2063 (for the Africa region). It further includes a strong results-based management approach, the recognition of the special needs of countries in crisis, post-conflict and transition, the resolve to leverage partnerships and networks in programme planning and implementation. Another aspect of the principle is the recognition of the importance of

resource and knowledge sharing among field offices in activity planning and implementation and the importance of effective reporting, monitoring and evaluation of results.

IV. Adequate financial and human resources

This principle includes the recognition of the importance of the provision of adequate, predictable and stable resources, by UNESCO and respective host governments, that are commensurate with the expectations from the field network and its responsibilities.

As regards financial resources, the principle includes the recognition of the importance of adequate allocation of regular budget, sufficient capacity and mechanisms to raise extrabudgetary resources and the availability of financial and in-kind support from host governments.

As regards human resources, the principle includes an effective mobility of staff between duty stations including from Headquarters (“managed mobility”) including effective knowledge transfer, sufficient critical mass and know-how of staff in evolving areas, timely recruitment and effective succession/career planning, effective performance management and optimization of use of local professional capacities.

V. Efficient administrative frameworks, support systems and infrastructure

This principle includes the recognition of the importance of administrative and finance frameworks and procedures, availability of adequate infrastructure including IT and security, availability of a framework for risk management and adequate knowledge management capacity and strong national/host country support.

VI. Effective contribution to implementing the goals of regional groupings

This principle refers to the importance of UNESCO’s capacity to contribute to development agendas of regional socio-economic groupings as relevant to its mandate.

VII. Alignment with United Nations coordination mechanisms

The principle includes the efficiency of UNESCO’s full alignment with policy orientations as regards effectiveness, recognition of UNESCO’s involvement, coherence and impact of United Nations operational activities as foreseen in the Quadrennial Comprehensive Policy Review (QCPR) and other United Nations global commitments. It would require an active UNESCO’s engagement in regional and national United Nations coordination mechanisms (i.e. UNDG).

VIII. Visibility for UNESCO’s action

This principle includes the recognition of the importance of adequate communication (outreach) capacity.

B. Criteria for UNESCO’s field presence

14. As outlined in document 199 EX/5 Part II.C, the definition of criteria for presence at regional and national levels needs to be addressed with a view of maximizing impact and value-added, strengthening working through and with partners and minimizing transaction costs in favor of programme funds spent in country.

15. At present, the UNESCO field network is composed of a number of decentralized organizational units (Annex V). They are an integral part of the UNESCO Secretariat and serve the same objectives and functions as the units based at Headquarters.

16. At the subregional level, there are presently two parallel structures:

In Africa

- Multisectoral regional offices serve a group of Member States in all of UNESCO's areas of competence. They supervise national offices under their coverage.

In other regions

- Cluster offices serve a group of Member States in all of UNESCO's areas of competence. They do not supervise national offices under their coverage.

17. At the national level, the types of presence are the same in all regions.

- National offices implement programmes in countries, where the situation warrants special attention.
- Project antennas implement one or several projects funded by extrabudgetary resources. They are set up as long as extrabudgetary resources are available.
- Desks identify opportunities for raising extrabudgetary resources. They are set up for a limited duration and are replaced by project antennas, only when substantial extrabudgetary resources are secured.

18. The eight regional bureaux, which continue to exist in other regions, serve as hubs for expertise in one of UNESCO's areas of competence and support Member States in one of the four regions either directly or through cluster/national offices.¹ Some regional bureaux function as national² or as cluster offices³.

19. The existence of two different structures at the regional level – one for Africa, and another one for the other regions – is a consequence of the precarious financial situation that since 2011 has been impacting the work of the Organization. The accountability and reporting weaknesses resulting from this parallel structures and the insufficient clarity in mandates and operational scope of cluster offices and regional bureaux have been frequently pointed out, including by the External Auditor and Internal Oversight Service (IOS)

20. Consequently, the criteria (Annex II) are geared towards a harmonization of the structure across all regions, in line with 36 C/Resolution 107.

At the regional/subregional level

Multisectoral regional offices, across the regions, would provide the core structure of UNESCO's field presence. Their main function would be to serve as sources of expertise in all of UNESCO's areas of competence for all Member States in the countries of the subregion covered by the office.

¹ Cf. UNESCO Administrative Manual, Item 1.7

² For example, the Regional Bureau for Education in Latin America and the Caribbean in Santiago is also the national office for Chile.

³ For example, the Regional Bureau for Science in Jakarta is also the cluster office for Brunei Darussalam, Indonesia, Malaysia, Philippines, and Timor-Leste in all UNESCO fields of competence.

Some multisectoral regional offices may be attributed the function of a regional pole of expertise in one or two areas of UNESCO's competence. By grouping human and financial resources, the poles of expertise would be able to more effectively respond to Member States' needs, in particular as regards the implementation of the SDGs and to respond to sector strategies in this regard⁴.

At the national level

National offices, project antenna and desks would keep their main functions as described in paragraph 16 above and their establishment and maintenance would be subject to the strict application of the criteria proposed in Annex II.

21. Overall, the field network in all regions should be aligned with the agreed principles and criteria. However, the network must react flexibly to the changing needs of Member States, programmatic priorities and availability of resources. Hence the criteria must be adaptable and measures must be in place to enable the necessary adjustments as appropriate, in particular at the national level by allowing rapid shifts of the types of presence (national office, project antenna or desk).

C. Proposals for improvements to the functions, responsibilities and accountabilities of the field network in Africa

22. The new field network was established following 36 C/Resolution 107. However, the implementation of the reform was limited to the Africa region. As a result of the financial crisis, the Organization was not able to timely implement a number of the elements of the reform in Africa, in particular staffing of multisectoral regional offices (MROs) and national offices (NOs), the implementation of a staff rotation policy and the establishment of administrative and PCPD platforms. While programme sectors and corporate services have made efforts to decentralize resources and appoint staff in MROs, the issue of ensuring an adequate level of staff remains critical. In addition, coordination mechanisms between MROs and NOs would benefit from further improvement.

23. These challenges have also been stressed in the review by Internal Oversight Service (IOS) "Lessons learned from UNESCO's Field Reform in Africa" (September 2015) and "Audit report on the UNESCO field network reform" and the "Consolidated report on field office audits (2011-2015)" by UNESCO's External Auditor presented to the Executive Board at its 199th session (199 EX/15.INF.5 and 199 EX/15.INF.7).

24. In order to address these challenges, the Executive Board requested the Director-General in 199 EX/Decision 5 (II, C) to propose mechanisms for monitoring the improvements to the field network in Africa. Consequently, the Task Team identified the following eight key areas of improvement to the current field network in Africa corresponding, to a large extent, to the challenges highlighted by IOS and the External Auditor:

- I. Respect of the principle of subsidiarity and effective delivery at field level
- II. Coordination between Headquarters/FOs and among FOs
- III. Financial resources for effective implementation of programmes
- IV. Human resources for effective implementation of programmes
- V. Administration and financial management at field level

⁴ Unless otherwise decided by the Member States, Regional Bureaux would be phased out as foreseen in 36 C/Decision 107.

- VI. Adequate support from Member States
- VII. Functional representation and liaison and geographical alignment of Africa FOs according to the four main regional groupings (Regional Economic Communities – sub-Saharan Africa)
- VIII. Contribution to a greater United Nations system-wide coherence

25. The table in Annex III includes proposed measures for improvement, targets, means of monitoring and cost implications, if any. They should allow the Organization to better respond to the implementation of Agenda 2030 and Agenda 2063.

26. The proposed measures have no direct cost implications as they either imply management decisions, or would benefit from resources already earmarked for that purpose as is the case of training.

27. The Task Team has not been mandated to review the architecture of UNESCO's presence in Africa. However, based on the outcomes of the internal and external evaluations of the reform, it appears that some adjustments (i.e. alignment with regional groupings and coordination with United Nations regional coordination mechanisms) could already be suggested at this stage (Annex IV).

28. The principles of subsidiarity and criteria for field presence proposed in this document are also applicable to the field network in Africa.

Proposed decision

29. The Executive Board may wish to adopt a decision along the following lines

The Executive Board

1. Recalling 199 EX/Decision 5 (II, C),
2. Having examined document 200 EX/5 Part III (A) on the sustainability of the field network,
3. Recognizes the importance of the responsive and sustainable field network for the implementation of UNESCO's mandate;
4. Further recognizes that the national context of the implementation of the Agenda 2030 calls for UNESCO's presence close to Member States;
5. Welcomes the establishment of the Task Team to review the sustainability of the field network;
6. Endorses the proposed principles of sustainable decentralization;
7. Also endorses the proposed criteria for UNESCO's field presence;
8. Further endorses the improvement measures of the field network in Africa and requests the Director-General to report to the 201st session on their implementation;
9. Decides to establish an advisory group of Member States to provide direction to the Secretariat on the optimal architecture of the field network;
10. Requests the Director-General, in line with 199 EX/Decision 5 (II, C), paragraph 13, and taking account of the recommendations of the advisory group, to report to it at its

201st session on the outcome of the review of the relevance and performance of the field network as a whole and to propose concrete, action-oriented and costed options for a more sustainable, relevant and effective field network bearing in mind strategic programmatic and operational field presence in support of implementation of Agenda 2030.

ANNEX I

PRINCIPLES OF SUSTAINABLE DECENTRALIZATION

Principle	Element of the principle
<p>1. Effective subsidiarity</p>	<p>Clear definition and respect of roles and functions of Headquarters, category 1 institutes and field offices</p> <p>Complementarity of centralized and decentralized activities</p> <p>Appropriate delegation of authority and clear accountability lines</p>
<p>2. Effective programme planning, implementation and monitoring/evaluation</p>	<p>Availability of evidence-based analysis of development needs of Member States</p> <p>Alignment with national/regional development goals with strategies at appropriate levels</p> <p>Programmatic focus to respond to Agenda 2030/Agenda 2063</p> <p>Special focus on countries in crisis, post conflict and transition</p> <p>Effective leveraging of partnerships and networks</p> <p>Resource and knowledge sharing among field offices</p> <p>Effective reporting, monitoring and evaluation of results</p>
<p>3. Flexibility</p>	<p>Procedures to allow flexible use of staff resources to adapt to evolving needs</p> <p>Measures to review structures and location to reply to emerging needs</p>
<p>4. Adequate financial and human resources</p>	<p>Availability of resources commensurate with expectations and responsibilities</p> <p>Financial resources</p> <ul style="list-style-type: none"> • Allocation of seed money from regular budget • Capacity and mechanisms to raise extrabudgetary resources • Availability of financial and in-kind support from host governments <p>Human resources</p> <ul style="list-style-type: none"> • Effective mobility of staff between duty stations including between Headquarters and field offices (“managed mobility”) accompanied by effective knowledge transfer

Principle	Element of the principle
	<ul style="list-style-type: none"> • Sufficient critical mass and know-how of staff in evolving areas • Timely recruitment and effective succession/career planning • Effective performance management • Optimization of use of local professional capacities
<p>5. Efficient administrative frameworks, support systems and infrastructure</p>	<p>Flexible administrative and finance frameworks and procedures</p> <p>Availability of adequate infrastructure including IT and security</p> <p>Availability of a framework for risk management</p> <p>Adequate knowledge management capacity</p>
<p>6. Effective contribution to the implementation of the goals of regional groupings</p>	<p>Capacity to contribute to development agendas of regional socio-economic groupings</p>
<p>6. Alignment with United Nations coordination mechanisms</p>	<p>Full participation in implementation of QCPR and in regional and national United Nations inter-agency mechanisms</p>
<p>7. Visibility of UNESCO's action</p>	<p>Adequate communication (outreach) capacity</p>

ANNEX II

CRITERIA FOR FIELD PRESENCE

Subregional level (core structure)	
Multisectoral regional office (<i>criteria also apply to present regional bureau</i>)	
(a)	Existence of strategic subregional opportunities for programme implementation
(b)	Presence of United Nations regional offices/Regional Economic and Social Commissions/Regional UNDGs
(c)	Presence of regional/subregional intergovernmental (non-United Nations) organizations
(d)	Host country agreement, financial support and in-kind contribution from the host Member State and other Member States covered by the office
(e)	Easy accessibility (access to transportation facilities to the countries that it covers and to international destinations)
(f)	Adequate level of physical infrastructure, safety and security
(g)	Critical mass of technical expertise for backstopping to UNESCO presence at national level in the subregion
(h)	Presence of representations of professional networks in the areas of competence of UNESCO (for designation of poles of expertise)
(i)	small island developing States (SIDS) groupings

National level (flexible structure)		
All		
<p>Countries with special need for advice on policy development and implementation and developing institutional and human capacities as defined by critical challenges for the implementation of Agenda 2030</p> <p>Post-crisis and post-disaster (PCPD) countries including those with strong hub function for operations in humanitarian crisis and for recovery and reconstruction</p>		
National Office	Antenna	Desk
<p>(a) Balanced proportion of operating and activity (RP and EXB) funding</p> <p>(b) Host country agreement with significant level of support as regards funding, office infrastructure and in-kind contribution</p> <p>(c) Least developed country (LDCs)</p> <p>(d) Highly populated country with specific development challenges in UNESCO's areas of competence</p> <p>(e) Middle income/developed country/developing economy only if accompanied by:</p> <ul style="list-style-type: none"> • significant level of social inequity • significant volume of extrabudgetary resources (self-benefitting funds) • full financial self-sufficiency • clearly established demand for UNESCO's expertise 	<p>(a) Availability of sustainable extrabudgetary resources including full funding of the operations of the antenna</p> <p>(b) Opportunity for engagement in UNCT activities and common programming exercises</p> <p>(c) Possibility to operate with a light infrastructure (possibility of co-location within the United Nations Resident Coordinator (RC) Office, a United Nations resident agency office, etc.)</p> <p>(The antenna is time-bound and may be preceded by the establishment of a "Desk")</p>	<p>(a) Requirement to provide inputs to United Nations common programming exercises in particular as regards to achieving SDGs</p> <p>(b) Opportunities to develop project proposals and identify extrabudgetary resources</p> <p>(c) Possibility to operate with a light infrastructure (possibility of co-location within the United Nations Resident Coordinator (RC) Office, a United Nations resident agency office, etc.)</p> <p>(d) Availability of pre-defined and agreed objectives and results (i.e. prospects/development of concrete projects) for deciding on continuation of phasing out of a desk</p> <p>(The desk is time-bound and may be transformed into an antenna if sizeable extrabudgetary resources are secured to enable full financial self-sufficiency, or be closed)</p>

ANNEX III

IMPROVEMENTS TO THE FIELD NETWORK IN AFRICA

Areas of improvement	Proposed measures for improvement	Target	Means of monitoring	Cost implications
Respect of principle of subsidiarity and effective delivery at field level	<p>Convey greater responsibility to FOs for implementation of activities at national/regional levels including decision level (appropriate delegation of authority, empowerment and accountability)</p> <p>Increase decentralized activities and operational projects implemented by FOs</p> <p>Ensure that the extrabudgetary projects are fully decentralized</p> <p>Enhance respect of delegation of authority</p> <p>Decentralize the coordination of large scale projects to FOs (subject to availability of technical expertise)</p> <p>Review of the current delegation of authority conducted by December 2016 and adjustments made where needed by July 2017</p>	<p>Minimum 50% of the extrabudgetary projects (including large scale projects) related to Africa (regional, subregional and national) presently implemented by HQ decentralized and implemented by MROs/NOs by June 2017</p> <p>By December 2017, an updated version of the "Enhanced Delegation of Authority to UNESCO field offices and revised reporting lines" (DG/Note/14/3 of 3 January 2014) issued taking into account the implementation of the proposed measures</p>	<p>Regularly monitoring of the implementation of decisions related to decentralization</p> <p>Regular analysis of SISTER on effective decentralization of regional/national activities to FO</p> <p>Regularly monitoring of the implementation of Delegation of Authority</p>	No additional cost
Coordination between Headquarters/FOs and among FOs	<p>Redefine distribution of responsibilities between MROs and NOs with enhanced coordination among them</p> <p>Strengthen coordination between FOs and AFR, BSP and programme sectors including category 1 institutes, in particular as regards the Flagship Programmes</p> <p>Develop a monitoring and evaluation framework related to</p>	<p>Document reflecting distribution of responsibilities between Headquarters, MROs and NOs including clarification of supervisory roles of MROs over NOs</p> <p>Terms of reference of coordination mechanisms developed and issued by January 2017 At least one physical all staff meeting of each MRO and the NOs under its coverage per year</p>	<p>Instructions issued by HQ clarifying distribution of responsibilities between Headquarters, MROs and NOs by October 2016</p> <p>Reports of regional meetings</p> <p>Reports on joint initiatives resulting from increased coordination</p> <p>Sectors' and AFR's quarterly monitoring of programmes, especially of Flagship Programmes</p>	No additional cost (budget for meetings to be included as part of Regular Programme and Budget)

Areas of improvement	Proposed measures for improvement	Target	Means of monitoring	Cost implications
	<p>coordination and implementation of joint activities</p>	<p>At least one videoconference/month between the Director of MROs and heads of NOs under his/her coverage (joint programming and planning)</p> <p>One global coordination meeting each biennium organized by sectors (FO and Headquarters programme staff and AOs)</p> <p>Number of joint initiatives resulting from enhanced coordination between MROS and NOs increased by 50% by December 2017</p>		
<p>Financial resources for effective implementation of programmes</p>	<p>Decentralize an adequate level of funds to FOs in Africa and ensure that the decentralization exercise continues with appropriate and adequate RP resources towards the FOs</p> <p>Establish coherent decentralization and harmonization mechanism across sectors</p> <p>Enhance MROs/NOs capacity to raise extrabudgetary funds</p> <p>Update guidelines for extrabudgetary resources mobilization</p>	<p>Percentage of activity funds decentralized to AFR raised</p> <p>Training programme in resource mobilization for all MRO/NO staff implemented by December 2017</p> <p>Increase by at least 25% of resources mobilized for projects implemented by FOs</p> <p>New guidelines for extrabudgetary resources mobilization developed with more responsibility given to MROs and NOs</p>	<p>Relevant reports reflecting the decentralization rate</p> <p>Relevant reports reflecting the volume of resources mobilized</p> <p>All MRO/NO programme staff are trained in resource mobilization by December 2017</p>	<p>No additional cost (already foreseen)</p>
<p>Human resources for effective implementation of programmes</p>	<p>Develop a staffing plan for Africa to enhance MROs and NOs capacity in terms of management of staff</p> <p>Redefine staffing structure of FOs in line with expectations and functions of MROs/NOs</p> <p>Strengthen capacity of MRO staff to provide adequate technical expertise to MS (including</p>	<p>Staffing plan for Africa developed by December 2017</p> <p>Adequate number of senior staff in MROs with expertise from each Programme area</p> <p>Number of loans/secondments of qualified national experts to MROs and NOs increased by December 2017 (specific agreements between</p>	<p>Detailed reports issued on a regular basis: statistics on recruitments, vacancy rate by office; statistics on distribution of programme staff between MROs and NOs; number of senior staff in MROs with expertise in each programme area</p>	<p>No additional cost</p>

Areas of improvement	Proposed measures for improvement	Target	Means of monitoring	Cost implications
	backstopping of NOs) Enhance secondments/loans of qualified national experts Optimize use of local professional capacities	host countries and MROs/NOs developed) Reduced vacancy rates		
Administration, human resources and financial management at field level	Enhance capacity of MROs in administration, human resources and financial management	Administrative staff trained by December 2017	Report of trainings	No additional cost (already foreseen)
Adequate support from Member States	Engage Member States to support operating costs of offices Share costs of MROs between host countries and countries under MRO coverage	Number of field offices currently receiving in-kind contributions from governments raised from 11 (2014/2015) to 15 by December 2017	Provisions in host country agreements (financial and in-kind contributions) BFM reports on contributions received from Member States	Costs to be determined (subject to negotiations with Member States)
“Functional representation and liaison” and geographical alignment of Africa FOs according to the four main regional groupings (Regional Economic Communities – sub-Saharan Africa)	Formalize representative function of MROs/NOs to regional groupings (ref. Annex IV)	Representative function of MROs/NOs to regional groupings formalized to instructions from HQ by October 2016 Alignment with regional groupings effective as of December 2017	Availability of terms of reference and clearly defined reporting lines and responsibilities	No additional cost
Contribute to a greater United Nations system-wide coherence	Ensuring better functional alignment and engagement with the UN at the regional level	Responsibilities of Directors of MROs in Regional undg mechanisms defined by December 2016 DIRs/MRO fully empowered members of Regional undg, including participation in the annual performance assessments of RC/UNCTs	Mission Reports of Directors of MROs undg Reports undg meetings records	No additional cost (Participation funded from RP travel budget if necessary)

ANNEX IV**REGIONAL ORGANIZATIONS FOR AFRICA
REPRESENTATIONAL RESPONSIBILITIES OF FIELD OFFICES**

African Union Regional Economic Communities (Recs)	Membership	Headquarters	Field office (rep. function)
Economic Community of West African States (ECOWAS)	Benin, Burkina Faso, Cabo Verde, Côte d'Ivoire, Gambia, Ghana, Guinea, Guinea-Bissau, Liberia, Mali, Niger, Nigeria, Senegal, Sierra Leone, Togo	Abuja	Abuja
East African Community (EAC)	Burundi, Kenya, Uganda, Rwanda, United Republic of Tanzania	Dar es Salaam	Dar es Salaam
Intergovernmental Authority on Development (IGAD)	Djibouti, Eritrea, Ethiopia, Kenya, Uganda, Somalia, Sudan, South Sudan	Djibouti	Nairobi
Southern African Development Community (SADC)	South Africa, Angola, Botswana, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Democratic Republic of Congo, Seychelles, Swaziland, United Republic of Tanzania, Zambia, Zimbabwe	Gaborone	Harare
Common Market for Eastern and Southern Africa (COMESA)	Burundi, Comoros, Djibouti, Egypt, Eritrea, Ethiopia, Kenya, Libya, Madagascar, Malawi, Mauritius, Uganda, Democratic Republic of Congo, Rwanda, Seychelles, Sudan, South Sudan Swaziland, Zambia, Zimbabwe	Lusaka	Harare
Economic Community of Central African States (ECCAS)	Angola, Burundi, Cameroon, Congo, Central African Republic Democratic Republic of Congo Equatorial Guinea, Gabon, Rwanda, Sao Tomé and Príncipe, Chad	Libreville	Libreville
Community of Sahel-Saharan States (CEN-SAD)	Benin, Burkina Faso, Comoros Côte d'Ivoire, Djibouti, Egypt, Eritrea, Gambia, Ghana, Guinea, Guinea-Bissau, Kenya, Liberia, Libya, Mali, Morocco, Mauritania, Niger, Nigeria, Central African Republic, Senegal, Sierra Leone, Sao Tome and Principe, Somalia, Sudan, Chad, Togo, Tunisia	Tripoli	Cairo

Arab Maghreb Union (UMA)	Algeria Libya, Morocco, Mauritania, Tunisia	Rabat	Rabat
Other Regional Communities			
West African Economic and Monetary Union (UEMOA)	Benin Burkina Faso, Côte d'Ivoire, Guinea-Bissau, Mali, Niger, Senegal, Togo	Ouagadougou	Dakar
Indian Ocean Commission (IOC)	Comoros, Madagascar, Mauritius, La Reunion, Seychelles	Port-Louis	Nairobi
Central African Economic and Monetary Community (CAEMC)	Cameroon, Congo, Gabon, Equatorial Guinea, Chad	Yaounde	Yaounde

ANNEX V

LIST OF FIELD OFFICES BY REGION AS OF JULY 2016

Region/Office	Office type	Country coverage
Africa		
Abuja	Multisectoral Regional Office (West Africa)	Benin, Côte d'Ivoire, Ghana, Guinea, Liberia, Nigeria, Sierra Leone, Togo
Abidjan	National Office	Côte d'Ivoire
Accra	National Office	Ghana
	Antenna/Desk	Cotonou (Benin)
	Antenna/Desk	Monrovia (Liberia)
	Antenna/Desk	Conakry (Guinee)
Dakar	Multisectoral Regional Office (West Africa (Sahel))	Burkina Faso, Cabo Verde, Gambia, Guinea Bissau, Mali, Niger, Senegal
Bamako	National Office	Mali
Harare	Multi Sectoral Regional Office (Southern Africa)	Botswana, Lesotho, Malawi, Mozambique, Namibia, South Africa, Swaziland, Zambia, Zimbabwe
Maputo	National Office	Mozambique
Windhoek	National Office	Namibia
	Antenna/Desk	Gaborone (Botswana)
	Antenna/Desk	Lilongwe (Malawi)
	Antenna/Desk	Johannesburg (South Africa)
	Antenna/Desk	Lusaka (Zambia)
Nairobi	Multi Sectoral Regional Office (East Africa)	Comoros, Djibouti, Eritrea, Ethiopia, Kenya, Madagascar, Mauritius, Rwanda, Seychelles, Somalia, South Sudan, Uganda, United Republic of Tanzania
Addis Ababa	National Office Liaison Office	Ethiopia Liaison Office to the African Union and the United Nations Economic Commission for Africa
Juba	National Office	The Republic of South Sudan

Region/Office	Office type	Country coverage
Dar-es-Salaam	National Office	United Republic of Tanzania
	Antenna/Desk	Moroni (Comoros)
	Antenna/Desk	Djibouti
	Antenna/Desk	Antananarivo (Madagascar)
	Antenna/Desk	Kigali (Rwanda)
	Antenna/Desk	Kampala (Uganda)
Yaoundé	Multi Sectoral Regional Office (Central Africa)	Angola, Burundi, Cameroon, Central African Republic, Chad, Congo, Democratic Republic of the Congo, Equatorial Guinea, Gabon, Sao Tome and Principe
Brazzaville	National Office	Congo
Kinshasa	National Office	The Democratic Republic of the Congo
Libreville	National Office	Gabon
	Antenna/Desk	Luanda (Angola)
	Antenna/Desk	N'djamena (Chad)
	House of Peace	Bujumbura (Burundi)
Arab States		
Beirut	Regional & Cluster Office	Regional Bureau for Education in the Arab States; Cluster Office to Lebanon, Syrian Arab Republic, Iraq, Jordan, Palestine
Baghdad	National Office	Iraq
Amman	National Office	Jordan
Ramallah	National Office	Palestine
Cairo	Regional & Cluster Office	Regional Bureau for Sciences in the Arab States; Cluster Office for Egypt, Libya, Sudan
Khartoum	National Office	Sudan
Doha	Cluster Office	Bahrain, Kuwait, Oman, Qatar, Saudi Arabia, United Arab Emirates, Yemen
Rabat	Cluster Office	Algeria, Mauritania, Morocco, Tunisia

Region/Office	Office type	Country coverage
	Antenna/Desk	Algiers (Algeria)
	Antenna/Desk	Tunis (Tunisia)
Asia and the Pacific		
Almaty	Cluster Office	Kazakhstan, Kyrgyzstan, Tajikistan, Uzbekistan
Tashkent	National Office	Uzbekistan
Apia	Cluster Office	Australia, Cook Islands, Fiji, Kiribati, Marshall Islands, Micronesia (Federated States of), Nauru, New Zealand, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu, Vanuatu, Tokelau (Associate Member)
Bangkok	Regional & Cluster Office	Regional Bureau for Education in Asia and the Pacific; Cluster Office for Thailand, Myanmar, Lao People's Democratic Republic, Singapore, Viet Nam, Cambodia
Phnom Penh	National Office	Cambodia
Hanoi	National Office	Viet Nam
	Antenna/Desk	Yangon (Myanmar)
Beijing	Cluster Office	Democratic People's Republic of Korea, Japan, Mongolia, China, Republic of Korea
Jakarta	Regional & Cluster Office	Regional Bureau for Sciences in Asia and the Pacific; Cluster Office for Brunei Darussalam, Indonesia, Malaysia, Philippines, Timor-Leste
	Antenna/Desk	Timor-Leste (Dili)
New Delhi	Cluster Office	Bangladesh, Bhutan, India, Maldives, Nepal, Sri Lanka
Dhaka	National Office	Bangladesh
Kathmandu	National Office	Nepal
Tehran	Cluster Office	Afghanistan, Iran (Islamic Republic of), Pakistan, Turkmenistan
Kabul	National Office	Afghanistan

Region/Office	Office type	Country coverage
Islamabad	National Office	Pakistan
Europe and North America		
Brussels	Liaison Office	European Union and its subsidiaries bodies in Brussels
Geneva	Liaison Office	United Nations in Geneva
New York	Liaison Office	United Nations in New York
Venice	Regional Bureau	Regional Bureau for Sciences and Culture in Europe
	Antenna/Desk	Sarajevo (Bosnia and Herzegovina)
Latin America and the Caribbean		
Havana	Regional & Cluster Office	Regional Bureau for Culture in Latin America and the Caribbean; Cluster Office for Cuba, Dominican Republic, Haiti, Aruba (Associate Member)
Port-au-Prince	National Office	Haiti
	Antenna/Desk	Santo Domingo (Dominican Republic)
Kingston	Cluster Office	Antigua and Barbuda, Bahamas, Barbados, Belize, Dominica, Grenada, Guyana, Jamaica, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Suriname, Trinidad and Tobago as well as Anguilla, British Virgin Islands, Cayman Islands, Curaçao, Sint Maarten (Associate Members)
Montevideo	Regional & Cluster	Regional Bureau for Sciences in Latin America and the Caribbean; Cluster Office for Argentina, Brazil, Chile, Paraguay, Uruguay
	Antenna/Desk	Buenos Aires (Villa Ocampo) (Argentina)
Brasilia	National Office	Brazil
Santiago de Chile	Regional Office National Office	Regional Bureau for Education in Latin America and the Caribbean Chile

Region/Office	Office type	Country coverage
Quito	Cluster Office	Bolivia, Colombia, Ecuador, Peru, Venezuela
Lima	National Office	Peru
San José	Cluster Office	Costa Rica, El Salvador, Guatemala, Honduras, Mexico, Nicaragua, Panama
Guatemala	National Office	Guatemala
Mexico	National Office	Mexico



United Nations
Educational, Scientific and
Cultural Organization

Executive Board

Two hundredth session

200 EX/5 Part III (B)

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

PART III

MANAGEMENT ISSUES

SUMMARY

B. Invest for Efficient Delivery

The purpose of this document is to inform the Members of the Executive Board on the progress achieved in the follow-up to the decision adopted by the Executive Board at their 199th session, on the learning and development initiatives to be funded under the “Invest for Efficient Delivery” Plan.

Action expected of the Executive Board: Proposed decision in paragraph 4.



B. Invest for Efficient Delivery

(Follow-up to 199 EX/Decision 5.II.D)

1. Pursuant to 199 EX/Decision 5.II.D, the Director-General submits to the Executive Board this information note on the progress made on “Learning and Development” initiatives (Annex I) and on the “Knowledge Management and Information Technologies” initiatives (Annex II) for which funding has been approved under the “Invest for Efficient Delivery” Fund.
2. All initiatives/projects, notably those under Knowledge Management and Information Technologies, follow a professional project management methodology including project governance modalities and evaluation of risks, impacts and mitigation strategies. As the 199 EX/Decision 5.II.D also called for reporting on the establishment of a global risk register, a separate INF document (200 EX/5.INF.2) on Risk Management has been elaborated.
3. Given that work is still in progress on sustainable decentralization, no concrete proposals on the strategic area 6 of the Invest for Efficient Delivery plan on “Sharpened delivery modalities and appropriate mechanisms and tools”, including those based on the concept note provided previously under Annex IV (199 EX/5 Part II (D)), are being submitted at this stage.

Proposed decision

4. In the light of the above, the Executive Board may wish to adopt the following decision:

The Executive Board,

1. Recalling 199 EX/Decision 5.II.D,
2. Takes note of the information provided by the Director-General on the progress made on implementing the “Learning and Development” initiatives (Annex I) and on the “Knowledge Management and Information Technologies” initiatives (Annex II);
3. Invites the Director-General to further implement the initiatives as noted in paragraph 2 above;
4. Requests the Director-General to submit an updated report on the implementation at its 201st session;
5. Appeals to Member States to consider providing voluntary contributions to complement the available budget resources.

ANNEX I

LEARNING AND DEVELOPMENT INITIATIVES

1. Pursuant to 199 EX/Decision 5.II.D, the Director-General submits to the Executive Board this information note on the progress made on the learning and development initiatives for which funding has been approved under the “Invest for Efficient Delivery” Plan.

2. The first allocation of funds under the “Invest for Efficient Delivery” Plan was received by HRM on 1 July 2016.

3. As of 1 July 2016, progress has been made particularly on the following Learning Initiatives:

- Improve Resource Mobilization
- Enhance Professional Competencies for Programme Delivery
- Strengthen the Management and Accountability Culture
- Enhance Programme Delivery at Country Level with the United Nations System
- Strengthen Leadership Skills
- Maximize use of Internal Tools for Increased Productivity
- Strengthen UNESCO’s Decentralized Evaluation

4. Improve Resource Mobilization

4.1 Progress: Several meetings have taken place with colleagues on Resource Mobilization, to review and propose content of learning modules and on the structure of the programme. A draft “learning pathway” is under review, to ensure there is a logical flow and appropriate synergies between the various elements.

4.2 Budget: A budget allotment of \$49,000 was made in June for the implementation of this activity in 2016. No financial commitment has been made yet.

4.3 Planning: We are well within schedule for this project. Progress has been made on the Train the Trainer aspect, with a pilot workshop delivered over four sessions. Feedback will be used to shape future Train the Trainer sessions. Design and development of the ELearning modules will start in September.

5. Enhance Professional Competencies for Programme Delivery

5.1 Progress: Existing learning materials have been reviewed to identify which need to be replaced and which can be updated. Contact has been made with external training providers, to identify possible sources for content update and creation of modules. In addition, a structure for the Gender e-learning modules has been discussed.

As part of the HR strategy initiative, several meetings have taken place with colleagues to present the Competency Framework, and gather informal feedback from colleagues on development needs.

5.2 Budget: Under this activity, budget allotment has been received in June for three sub-activities for which implementation will be start in 2016. Programme/Project Management – \$100,000, Communication and Interpersonal skills – \$75,000, Gender Equality and Gender

Mainstreaming \$35,000. No budget commitment has been made yet although procurement processes have been initiated.

5.3 Planning: The project is within schedule. Providers for e-learning modules for communication and interpersonal skills are being identified and the content of their training are being assessed with regard to its relevance to UNESCO's needs. Companies involved in the development of e-learning are also being shortlisted and an RFP will be issued for a long-term agreement for the development of our e-learning courses

6. Strengthen the Management and Accountability Culture:

6.1 Progress: To complement the existing learning content on financial accountability, input has been sought and provided by colleagues on the human resources topics to be covered under this initiative. An initial pilot of the additional topics and materials was carried out during a workshop in April 2016, in coordination with BFM and BSP.

6.2 Budget: For 2016, a budget allotment for three sub-activities will be requested for this project (1) Human Resources Management – \$70,000, (2) Financial Management – \$70,000, (3) Management Competency Development \$70,000.

6.3 Planning: The activity is on schedule. Initial consultation and development is being done in-house. The first key management skill to be targeted is on selection interviewing for panel members, with a combination of an e-learning package and live workshops. The draft structure and content for the e-learning package has been prepared and is currently under review.

7. Enhance Programme Delivery at Country Level with the United Nations System:

7.1 Progress: HRM has liaised with colleagues in FSC to identify criteria and prioritize attendance at the UNSSC programmes, with the intention of the first wave of colleagues attending the Staff College programmes in October and December 2016. Three participants will be sent for each session.

7.2 Budget: In June budget allotments were made for two sub-activities to be implemented in 2016 under this project: (1) UNSSC Leadership Programmes \$70,000, (2) Effective Negotiation and Communication \$94,000. No budget commitment has been made yet.

7.3 Planning: The project is on schedule and arrangements are being made for at least six Director of Field Offices to attend the United Nations Country Team Leadership programme in 2016.

8. Strengthen Leadership Skills:

8.1 Progress: A pilot leadership programme took place at Headquarters from 18 to 22 July 2016. The programme was facilitated by Professor Mark Brennan of Pennsylvania University and attended by 25 colleagues from Programme Sectors and Corporate Services at Director and P-5 level. The five-day workshop will be followed by a series of leadership video-conference tutorials to coach managers in the application of the learned leadership skills.

8.2 Budget: A budget allotment of \$54,500 was received in June for activities to be implemented in 2016, of which 10% has been spent.

8.3 Planning: The project is on schedule for 2016.

9. Maximize use of Internal Tools for Increased Productivity:

9.1 Progress: Potential providers for developing the learning modules have been identified and a detailed Terms of Reference is currently under preparation.

9.2 Budget: For 2016, a budget allotment of \$54,500 will be requested.

9.3 Planning: The implementation of this project is on track for 2016.

10. Strengthen UNESCO's Decentralized Evaluation:

10.1 Progress: Programme sectors and field offices, including category 1 institutes, have nominated evaluation focal points. Evaluation training materials from other United Nations agencies are being compiled to inform the development of UNESCO's evaluation management training programme. Various scenarios are being considered for the training programme including, an online web-based training interface, direct hands-on training in all geographical regions, and an IOS help desk function. The recently updated United Nations Evaluation Group (UNEG) Norms and Standards will be used to adjust and develop a customized set of evaluation management guidance materials.

10.2 Budget: A budget allotment of \$100,000 will be requested for the implementation of this project in 2016.

10.3 Planning: The project is on schedule. Internal consultation and planning has been done in UNESCO as well as among other United Nations agencies in preparation for the implementation of this activity.

Invest for Efficient Delivery - Approved Budget				
TITLE		USD		
		2016 *	2017	Total
		Allocated		
1. Improve Resource Mobilisation		49 000	49 000	98 000
2. Enhance Professional Competencies for Programme Delivery		210 000	239 000	449 000
	<i>Programme/Project Management</i>	100 000	100 000	200 000
	<i>Communication and Interpersonal Skills</i>	75 000	104 000	179 000
	<i>Gender Equality and Gender Mainstreaming</i>	35 000	35 000	70 000
3. Strengthen the Management and Accountability Culture		210 000	228 000	438 000
	<i>Human Resources Management</i>	70 000	70 000	140 000
	<i>Financial Management</i>	70 000	88 000	158 000
	<i>Management Competency Development</i>	70 000	70 000	140 000
4a. Enhance Programme Delivery at Country Level with the UN System (HRM)		164 000	164 000	328 000
	<i>UNSSC Leadership Programmes</i>	70 000	110 000	180 000
	<i>Effective Negotiation And Communication</i>	94 000	54 000	148 000
4b. Enhance Programme Delivery at Country Level with the UN System (BSP)		109 500	109 500	219 000
5. Strengthen Leadership Skills		54 500	54 500	109 000
6. Maximise use of Internal Tools for Increased Productivity		54 500	54 500	109 000
7. Strengthening UNESCO's Decentralised Evaluation (IOS)		100 000	100 000	200 000
TOTAL APPROVED BUDGET		951 500	998 500	1 950 000

* Expenditure in the pipeline as indicated under progress

ANNEX II

KNOWLEDGE MANAGEMENT AND INFORMATION TECHNOLOGIES

Project 1: Redesign core systems

Contributing to Strategic Result 6: Improved program/project management & Risk mitigation (as per document 199 EX/5 Part II, Annex I)

Progress

- Assessment by an external consulting company (Capgemini) to establish a roadmap for the implementation of the core systems redesign undertaken to identify benefits, risks, solution direction, overall planning and estimated effort required.
- Workshops with representatives from programme sectors and central services conducted, focusing on high-level requirements, such as integration of extrabudgetary and regular budget processes, enhanced reporting and improved support for workplan planning to execution.
- Significant risks identified related to business participation, budget required and the solution direction (use of new technology).
- Two alternative scenarios are being prepared in more detail, as well as a Request for Proposal with a flexible setup.
- The work to merge the financial (FABS) and HRM (STEPS) systems is progressing according to plan.

Budget

So far, \$270,000 out of the total budget of \$3,414,000 has been committed, including \$172,000 for the assessment and \$98,000 for the merge of the systems. The remaining funds are to be used for the blueprinting and implementation of the new solution(s).

Planning

The updated high-level project planning as shown below is revealing a slight delay (one to two months), which should not affect the end delivery date.

	2016												2017											
	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12
Formalize project and project documentation																								
Project assessment by third party																								
Technical preparation - Merge FABS and STEPS																								
Creation of blueprint																								
Implementation																								

Project 2: Ensure business continuity and disaster recovery

Contributing to Strategic Result 6: Improved program/project management & Risk mitigation (as per document 199 EX/5 Part II, Annex I)

Progress

- Following an assessment in January 2016, a detailed proposal by the United Nations International Computing Centre (UNICC) received and evaluated.

Project 4: Enhance Transparency Portal

Contributing to Strategic Result 2: Improved & sharpened resource mobilization processes and strategies (as per document 199 EX/5 Part II, Annex I)

Progress

- Functional requirements analysed and the design of the enhanced solution started.
- An external company (Zimmerman & Zimmerman) contracted to develop graphical representations of aggregated existing data, and to enhance the site with additional data wherever possible (e.g. data available from the SISTER Member States area, further IATI fields for compliance purposes, and additional data such as funding targets).

Budget

The current phase of the transparency project is funded by extrabudgetary funds provided by Sweden. Thirty-two percent (32%) of the total of \$175,000 provided has been committed. Further development and enhancements are planned for 2017 with the budget allocated under the Invest for Efficient Delivery Programme (\$200,000).

Planning

Following the extrabudgetary contribution by Sweden, the project was reorganized in two phases, allowing the have a first operational version delivered earlier than initially planned (October 2016 instead of April 2017), with additional enhancements to be implemented until the end of 2017. The updated high-level planning is as follows:

	2016												2017											
	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12
Project set-up																								
Input gathering																								
Analysis and design of version 1																								
Define functional requirements																								
Improve XML mechanism																								
Enhance portal																								
Testing/user acceptance																								
Finalize documentation																								

Project 5: Strengthening knowledge sharing and collaboration in the field

Contributing to Strategic Result 3: Realigned programming in support of Agenda 2030 (as per document 199 EX/5 Part II, Annex I)

Progress

- The pilot phase in Africa, implemented in 2014-2015, reviewed and lessons learned analysed.
- Two surveys conducted in May-June 2016, targeting Africa and the other regions respectively, in order to benchmark the current situation and to allow for measuring the project's progress and impact.
- The rollout approach refined and regional workshop content developed, focusing on concrete collaborative programme initiatives aligned with regional priorities as a result of the workshops.

- Four regional workshops planned until the end of 2016, including: Cairo in August, Harare in September, and Bangkok and Montevideo in November. National offices in each region will be invited to send two representatives each.
- The operational phase of the CONNECT-U Toolkit recast and integration with the intranet to begin in September 2016.

Budget

The preparatory work has so far relied on internal resources, without the project’s budget consumption. With the four regional workshops and the CONNECT-U Toolkit recast planned for the coming months, some 50% of the total budget of \$438,000 should be committed until the end of 2016.

Planning

The project is largely on track and the updated high-level project planning is as follows:

	2016												2017											
	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12
Review of the pilot phase and project planning																								
Survey, benchmarking and detailed rollout planning																								
Rollout to regional and national offices																								
CONNECT-U Toolkit recast and intranet integration																								
Review and follow up by region																								
General project review/lessons learnt																								

Project 6: Improve document and multimedia management

Contributing to Strategic Result 5: Improved operational modalities & streamlined work processes (as per document 199 EX/5 Part II, Annex I)

Progress

- Functional requirements reviewed, including consultations with end users and process owners, and the complete technical and functional documentation of the existing solution prepared.
- Based on this analysis, an external company specialized in digital repositories and libraries (Tosca Consultants) contracted in July 2016 to advise on the best approach, define the target solution and help prepare a Request for Proposals.
- A new Request for Proposals to be launched after the consulting company completes its mission in October 2016.
- Depending on the outcome, the implementation of the new platform may last throughout 2017. More precise delivery dates can be given once the new solution has been identified.

Budget

So far, \$46,000 out of \$547,000 has been committed covering the preparation of the technical documentation of the current solution and the consultant services for the preparation of the Request for Proposals.

Planning

The project has been rescheduled to accommodate the preparatory consultancy and based on its first findings and recommendations. The updated high-level project planning is as follows:

	2016												2017											
	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12
Project reorganization																								
Rewrite and validate business requirements																								
Study and design of the future solution																								
Prepare TOR and contract for provider																								
Select solution and provider																								
Implementation																								
Communication campaign																								

Invest for Efficient Delivery - Approved Budget (KMI)				
TITLE	USD			
	2016 Allocated	Expenditure	2017	Total
1. Redesign Core Systems	336 000	270 000	3 078 000	3 414 000
2. Ensure business continuity and disaster recovery	188 000	127 308	195 000	383 000
3. Implement system support for resource mobilization and events management	0	0	985 000	985 000
4. Enhance Transparency Portal	0	0	200 000	200 000
5. Strengthening knowledge sharing and collaboration in the field	218 340	13 000	219 660	438 000
6. Improve document and multimedia management	447 000	46 000	100 000	547 000
TOTAL APPROVED BUDGET KMI	1 189 340	456 308	4 777 660	5 967 000



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Educational, Scientific and
Cultural Organization

Executive Board

Two hundredth session

200 EX/5 Part III (C)

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Original: English

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 III

MANAGEMENT ISSUES

SUMMARY

C. UNESCO security and safety action plan

Following the terrorist attacks in Paris in January and November 2015, the Director-General submitted to the Headquarters Committee, at its 3rd extraordinary session, then to the Executive Board, at its 199th session, the UNESCO security and safety action plan (Headquarters). This plan was the subject of document 199 EX/17 and of the corresponding decision.

The Director-General hereby submits the elements corresponding to the implementation of the plan and the measures in 199 EX/Decision 17.

Action expected of the Executive Board: Proposed decision in paragraph 6.



C. UNESCO security and safety action plan

(Follow-up to 197 EX/Decision 17)

1. Since November 2015, efforts made to address and improve security at Headquarters have continued, in particular concerning technical measures. The new reception measures at the Miollis-Bonvin site were implemented before the end of the summer. New uniforms and means of defence for security officers were also provided.
2. The funds made available pursuant to the decision of the Headquarters Committee to improve security at the Miollis-Bonvin site are currently being used through a joint call for tenders by the teams of the Buildings Management Section (MSS/B) and Security and Safety at Headquarters Unit (ERI/SEC/SHQ).
3. Pursuant to 199 EX/Decision 17, the Director-General decided to transfer from the regular budget (available funds) to the Special Account for Strengthening the Security of UNESCO Premises Worldwide the sum of US \$443,480 for non-recurring expenses. This amount corresponds, in particular, to the construction work at the Fontenoy site, which was an optional stage in the aforementioned call for tenders. This option was therefore exercised, which allowed for construction to start quickly and simultaneously across Headquarters (public address, video-protection, zoning, etc.).
4. The resources for the recruitment of ten additional security officers, which must be financed through a “regular source of income”, should be secured, where appropriate, under document 39 C/5, and this has been taken into account in the preparatory studies. In the meantime, a budget to allow for the hiring of substantial temporary assistance is currently being identified for 2017, as the corresponding budget line for the entire biennium has been allocated in full to the recruitment of supernumerary staff in 2016.
5. It should be noted that France’s financial contribution to the Special Account for Strengthening the Security of UNESCO Premises Worldwide was more than \$85,000. This contribution made it possible to purchase sophisticated equipment for detecting explosives.

Proposed decision

6. The Executive Board may wish to adopt the following decision:

The Executive Board,

1. Having considered document 200 EX/5 Part III (C),
2. Notes with satisfaction the progress of the UNESCO security and safety action plan;
3. Encourages the Director-General to identify the funds needed for the recruitment of supernumerary security officers in 2017 and the ten additional staff members specified in the plan for the next biennium;
4. Requests the Director-General to report to it, at its 202nd session, on the execution of the security and safety action plan, as well as the present decision.



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PART III

MANAGEMENT ISSUES

SUMMARY

D. Comparative Report: The UNESCO Ethics Policies and those of the United Nations Secretariat

In response to a request by the Executive Board (199 EX/Decision 4.III) to provide the 200th session of the Executive Board with *a report on the Ethics policies of UNESCO vis-a-vis the universal references adopted by the United Nations Secretariat together with options for aligning or developing the policies as necessary and appropriate.*

Method adopted: Four specific areas of ethics related concerns were reviewed to consider respective policies; the financial disclosure program, the anti-harassment policy, the anti-retaliation/whistleblower protection policies and finally, the existing policies and standards regarding gifts, honours and remuneration from external source.

Action expected of the Executive Board: Proposed decision in paragraph 49.



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D. Comparative Report: The UNESCO Ethics Policies and those of the United Nations Secretariat

Introduction

1. The Ethics policies have been developed within the UNESCO legal framework under the review of the Human Resources Management office, which is competent regarding the implementation of, and modifications to, the Human Resources Manual (HR Manual Item 1.1). The General Conference approves the implementation and/or modification of Staff Regulations. Staff Rules are approved by the Director-General upon recommendation by the Director of Human Resources Management. Regarding internal policies (such as the ethical policies developed in the report), implementation and/or modification falls within the exclusive mandate of the Director General, supported by the Director of Human Resources Management. The scope of the Executive Board mission is detailed in Article V-B of the UNESCO Constitution and does not identify any control prerogative in relation to the adoption or modification of internal policies which implement Staff Regulations and Staff Rules.

I. Financial disclosure programmes:

(1) Definition and purpose

2. Financial disclosure occurs when an individual reports his or her personal finances, such as the types, sources, and value of assets, real property, income, investments, liabilities, and supplements that they or related family members received or owned during a specific reporting period.

3. The purpose of the financial disclosure program (“FDP”) at UNESCO is to reduce the risk of a real or perceived conflict of interest. A conflict of interest is a real or apparent incompatibility between an employee’s private interests and either his/her official duties or the interests of the Organization. Avoiding conflicts of interest is the duty of all Organization employees and is in the best interests of both the Organization in terms of preservation of its reputation and for the integrity of the individual staff member.

4. The FDP, for the reported year 2013, collected 322 questionnaires which were subsequently reviewed by the Ethics Office. Almost two third of these questionnaires did not present conflicts of interests in the sense that employees responded “no” to all questions. Declarations which presented potential conflict of interest were subject to further review and in a number of cases additional information was requested and advice provided to individuals. By contrast, for the same reporting cycle of the United Nations Secretariat FDP, the external reviewer identified 177 filers (3.5% of the filer population) as having a total of 193 items or activities that required review for conflicts of interest.

(2) Background

5. An FDP was launched in the United Nations Secretariat in 2006 and UNESCO introduced its own FDP in 2013.

6. The Ethics Office at UNESCO was created in 2009 and in 2010 first consideration was given to the creation of a FDP. Rather than simply adopting, wholesale, a program created for a larger Organization it was decided to review United Nations agencies experiences with the FDPs currently in place to assess efficacy.

7. During the review process three categories of FDPs were identified. Firstly, those which replicated the United Nations Secretariat policy (e.g. UNICEF, UNFPA, WFP), secondly, those which asked more specific financial information (e.g. the World Bank) and finally those which required very basic information (e.g. World Health Organization).

8. Feedback received at the time from organizations adopting the first type of scheme identified a significant resourcing burden as there was often no internal capacity and services needed to be “bought in” from commercial service providers. The cost/benefit analysis led UNESCO to favour the development of a more focused FDP, substantially different from that implemented by the United Nations Secretariat. It should be noted that, the main purpose of the UNESCO FDP is not the detection of undue personal enrichment but rather to focus on all the possible conflicts of interest in the staff members (and/or partners) personal activities in relation to their UNESCO duties and obligations.

9. This approach has subsequently found favour with a number of international organizations. During the Ethics Network of the Multilateral Organizations, held in July 2016, many representatives confirmed that they no longer considered the extensive (United Nations Secretariat) approach to be optimal. Indeed, many viewed this approach as cumbersome and far from cost-effective with a number noting that they simply did not have the resources to check the information disclosed, notably with regard to undue personal enrichment. Consequently, a significant number are now considering the more focused approach adopted earlier by UNESCO. For example, the European Bank for Recovery and Development (EBRD) is currently reviewing its procedures and the United Nations Operations Services (UNOPS) will only request information pertaining to potential conflicts of interest, and therefore require no financial statement from next year, on a trial basis. UNICEF and the World Bank also expressed keenness to move from the extensive approach, to a policy designated more specially to only address potential situations of conflicts of interest.

(3) Scope

10. Both the United Nations and UNESCO FDPs state that staff members of a certain grade will have to complete a financial disclosure statement (L-6 and higher grades in the United Nations/P-5 and higher grades in the UNESCO). Moreover, staff members having specific duties and “*sensitive*” functions regarding potential conflicts of interest (e.g. staff member whose principal duties include the procurement of goods and service or those who are related to investment of the Organization assets) are also required to make a disclosure by both organizations. At UNESCO the Bureau of Financial Management is specifically charged with providing details of those falling within this latter category. The final category of employees required to submit declarations at both the United Nations Secretariat and UNESCO are all those employed in the Ethics Office.

11. Unlike the United Nations Secretariat FDP, the UNESCO FDP requires declarations not only of staff members, but also contractors, interns, volunteers and occasional workers who are deemed to fall within the categories outlined above. The rationale for this is related to the specificity of the UNESCO system in which procurement of goods and service duties are decentralized. Hence, different categories of employees (not only staff members) may perform these duties and it was therefore considered logical to include them within the scope of the programme.

(4) Procedure and data review

12. Both the United Nations and UNESCO require FDP questionnaires to be completed annually during the first Quarter in regard to the previous calendar year and both rely primarily on electronic submissions.

13. In the United Nations Secretariat, questionnaires completed by staff members are examined by an external audit company (currently PricewaterhouseCoopers at a cost per submission of between \$300-\$400). In the framework of the UNESCO FDP, it was decided, primarily for financial reasons, to review internally. The examination of questionnaires is therefore carried out by the Ethics Office staff, except for the submissions of Ethics Office employees which are reviewed by the Director of IOS. The first reason of this detachment from the United Nations Secretariat model is due to the substantial content of the statements. Review of disclosures made under the United

Nations Secretariat system represent a weighty workload (given the scale of personal information required). In contrast, a limited but targeted disclosure by UNESCO employees facilitates not only a swifter review process but also results in the need for a significantly lower resource commitment.

(5) Public disclosure

14. The United Nations Secretariat decided to make the data collected public on a voluntary basis with information declared published for senior officials who clearly affirm consent. To the contrary, UNESCO decided not to allow public disclosure of the information submitted by the employees which is kept confidential by the Ethics Office subject to certain derogations (for example, IOS may request, in the course of an authorized investigation, specific information disclosed by individuals). While data publication may be perceived to provide a certain transparency regarding the public perception it should be noted that only 2.04%⁵ of United Nations Secretariat staff opt to make their declarations public. The predominate reason given for failing to waive confidentiality is the perception that this would represent an undue invasion of privacy for the employees. Furthermore, it could impact on the safety and security of personnel or their assets. Should it be considered as desirable in the future careful consideration should be given to the juxtaposition of the right to privacy in one's private life versus the desire for transparency for international public servants.

II. Anti-harassment policies

(1) Legal framework and background

15. United Nations Secretariat policy regarding anti-harassment was detailed in a 2008 bulletin from the Secretary-General.⁶ UNESCO policy regarding anti-harassment was defined in a 2005 Administrative circular⁷ amended in 2010⁸ (adding the Ethics office role to the process). The actual and effective anti-harassment policy is detailed in the *UNESCO Human Resources Manual Item 18.2*. In particular, it aims to implement paragraph 21 of the Standards of Conduct for the International Civil Service.

(2) Definitions of harassment

2.1 Global harassment definition

16. Both policies consider that the harassment is an *improper, unwelcome, undesired* conduct. This conduct *might reasonably be expected or be **perceived** to cause offence or humiliation to another person* (United Nations). UNESCO, in its own definition, retains this criterion of a *reasonable perception or expectation*. Furthermore, UNESCO policy adds that this conduct has to be *deliberate*. Both policies consider that harassment can be defining from two different perspectives; when the conduct targets directly an employee/a group of employee/s or by the more general creation of a *hostile, offensive, intimidating, humiliating or degrading* work environment.

2.2 Moral harassment definition

17. Harassment may take various forms. The most common division is between *moral* and *sexual harassment*. The United Nations Secretariat fails to provide a specific definition of moral harassment rather defining "*harassment*" as a whole.

⁵ Regarding the 2014 FDP: 5,043 filers in total. 151 senior officials were eligible to participate in the 2014 voluntary public disclosure exercise, 103 of whom opted to publicly disclose a summary of their assets, liabilities and outside interests.

⁶ SG Bulletin ST/SGB/2008/5 effective since March 1 2008: "*Prohibition of discrimination, harassment, including sexual harassment, and abuse of authority.*"

⁷ Administrative Circular No. 2232 effective since 20 April 2005.

⁸ Administrative Circular No. AC/HR/4 effective since 28 June 2010.

18. In contrast, the UNESCO Human Resources Manual contains a specific definition of moral harassment which goes further than the United Nations Secretariat definition of *harassment*. UNESCO defines moral harassment as *any repeated or persistent aggression, whether physical, verbal or psychological*. Such conduct has a *negative effect on conditions at the workplace or aimed at humiliating, demeaning, offending, intimidating an individual or a group of individuals, and potentially seriously affecting their health, career or dignity*. This definition is supplemented by a non-exhaustive list of acts which constitute moral harassment. Identifying these behaviours, the UNESCO definition clarify the effective framework and enable employees to better understand which actions could be considered as moral harassment.

2.3 Sexual harassment definition

19. Regarding sexual harassment, both organizations policies have their own definitions. The United Nations Secretariat circular defines it as *“any unwelcome sexual advance, request for sexual favour, verbal or physical conduct or gesture of a sexual nature that might reasonably be expected or be perceived to cause offence or humiliation to another, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment”*. UNESCO’s definition is again more explicit, including a non-exhaustive list of actions which could qualify as sexual harassment. Furthermore, UNESCO’s definition insists on the fact that *“the prohibited conduct must be unwelcome, i.e. unsolicited and regarded as offensive or undesirable by the victim”*. Whereas the United Nations Secretariat definition specifies that *“sexual harassment may occur between persons of the opposite or same sex. Both males and females can be either the victims or the offender.”*

(3) Procedure

20. Both policies display two ways for individuals who believe they are victims of harassment to pursue a complaint; the informal procedure and the formal procedure. The UNESCO policy, identifies the Ethics Adviser as the correct entity for alleged victims to discuss confidentially their case and advise on possible actions. In the United Nations Secretariat procedure, harassment matters do not concern the Ethics office, but rather employees are referred to the HRM department at first instance. This offers the potential for a perceived conflict of interests.

3.1 Informal procedure

21. Both policies claim that *parties concerned may find a way to resolve the issue through mediation by a third party*. In the UNESCO process, parties to a harassment complaint are free to choose their own mediator or may approach the duly mandated UNESCO Mediators Office. Within the United Nations Secretariat procedure, the employee also has an opened choice, a list of individuals who may act as mediators is provided (*“responsible officials”*, SG bulletin §5.6).

3.2 Formal complaint

22. Both policies provide that if the complaint considers that informal resolution is *inappropriate or unsuccessful* (UNESCO)/*undesired or inappropriate* (United Nations Secretariat), the aggrieved complainant may initiate the formal complaint procedure.

23. The United Nations Secretariat bulletin provides that the written complaint has to be submitted to the head of department, office or mission concerned. When the official who would normally receive the complaint is the alleged offender, the complaint should be submitted to the Assistant Secretary-General for HRM or, for mission staff, to the Under-Secretary-General for Field Support. Another way of formal complaint submission in the United Nations Secretariat process is the submission from a third party who has direct knowledge of the situation. This submission has to be directed to one of the above mentioned person (list of the *“responsible officials”*). The Official who received the report/formal complaint will *promptly review it to assess whether it appears to*

have been made in good faith and whether there are sufficient grounds to warrant a formal fact-finding investigation.

24. In contrast, the UNESCO policy provides that the written complaint has to be submitted to the Director-General. As per the United Nations Secretariat policy, *a formal complaint may also be initiated by the submission of a report (...) from any person who has direct knowledge of the situation.* Similarly, in both policies, submission of a complaint in bad faith may lead to disciplinary sanctions.

25. While the core features of both policies are quite similar they clearly differ in the recipient of complaints. At UNESCO all formal complaints are made to the Director-General who refers cases to the Ethics Adviser for initial review and subsequent recommendations. This system benefits from clarity in reporting structure, facilitating transparency in recording complaints and a uniformity of review considerations while in the United Nations Secretariat system, the mandate is decentralized to various officials who will not have a similar level of exposure, and thus experience, in dealing with such complaints. The simplified reporting procedure at UNESCO ensures a uniformity of approach which in turn leads to more certainty for complainants.

3.3 Investigations

26. In the United Nations Secretariat policy, if the Official responsible decide to engage a formal fact-finding investigation, he/she *promptly appoint a panel of at least two individuals from the department, office or mission concerned who have been trained in investigating allegations of prohibited conduct or, if necessary, from the Office of HRM.* This panel will handle the investigations. The Panel shall submit a detailed report to the Official responsible no later than three months from the date of submission of the formal complaint or report. On the basis of this report, the Official responsible decides if it is necessary to take any disciplinary measures.

27. Within the UNESCO policy, if Director-General received a formal complaint or report, it is the Ethics Adviser who is required to make a preliminary assessment. Harassment complaints involving the Director of HRM, Director of IOS or the Ethics Adviser are handled by the DDG. After this preliminary investigation and the response of the alleged offender, the Ethics Adviser sends his/her report and recommendations to the Director-General within ten days (making a recommendation of whether the case should be closed or if there is a prima facie evidence of harassment). On the basis of this report and recommendation, Director-General may decide to close the case or to launch an investigation and, this being the case, the subsequent investigation report is sent to the Director-General via the Ethics Adviser who again issues her/his recommendations. At this stage the Director-General may decide to close the case or to refer to HRM to initiate Disciplinary Proceedings in consultation with the Ethics Adviser.

28. The procedure provided within the UNESCO is more organized, centralized and predictable. The full process is defined, and both roles inside the hierarchy are predetermined and fixed. This procedure allows an independent investigation, by a specialized organ (IOS) subject to review by specified and constant parties; namely the Ethics Adviser, Director-General and Director of HRM.

III. Anti-retaliation and whistleblower protection policies

(1) Introduction and legal framework

29. Implemented in 2006, the United Nations Secretariat policy, was considered a welcomed advance. In November 2007, Secretary-General Ban Ki-moon encouraged the United Nations system organizations to develop their own whistleblower protection/anti retaliation policy. The policies subsequently produced were criticized. GAP (*Government Accountability Project*, a whistleblower protection and advocacy non-profit organization) for example claimed that they were *“inconsistent, weakened by arbitrary loopholes and, on the whole, less comprehensive than the original United Nations policy established in 2005”*. Taking into account these criticisms, when

UNESCO decided to develop its own policy in 2010, it was closely aligned with the United Nations Secretariat policy but introduced some important difference deemed necessary and proportionate to provide maximum anti-retaliation protection. The UNESCO policy was created in December 2010⁹ (Human Resources Manual Item 18.3).

30. UNESCO definition of *retaliation* is exactly the same as that of the United Nations Secretariat: *Retaliation means any direct or indirect detrimental action recommended, threatened or taken because an individual engaged in an activity protected by the present policy. When established, retaliation is by itself misconduct.*

(2) Scope of application

31. Both policies tend to apply to the largest scope possible, the United Nations Secretariat Bulletin provides that *protection against retaliation applies to **any** staff member (regardless of the type of appointment or its duration, intern or United Nations volunteer.* In the same vein, UNESCO policy states that *protection applies to any person having a direct contractual link with UNESCO, thus including any person who is employed by the Organization under a service contract, a special service agreement, a supernumerary contract, or a consultancy contract.*

(3) Protected activity

32. Two types of individual are identified, both the United Nations Secretariat and UNESCO policy, as being capable of protection. First, those who *cooperates in good faith with a duly authorized investigation or audit* (United Nations Secretariat). This category is enlarged in the UNESCO policy to include those who cooperate with “or any other administrative issues’.

33. The second category of employee protected by the anti-retaliation policies represents those who have previously reported misconducts within the Organization, namely “whistleblowers”.

34. Within UNESCO policy the whistleblower protection applies to the ones who *reports any unlawful, unethical or wasteful conduct, or any other violation of established policies standards and regulations.* The United Nations Secretariat protection is provided to the ones who *[report] the failure of one or more staff members to comply with his or her obligations.*

35. Thus, UNESCO and United Nations Secretariat policies provide the same scope for protection and also utilize a very similar internal reporting mechanism. Under certain circumstances protection against retaliation may be extended to individuals who report misconduct to bodies outside of the United Nations, such as to domestic law enforcement or the media.

3.1 Reporting misconduct through internal mechanisms

36. The United Nations Secretariat Bulletin provides that *reports of misconduct should be made through the established international mechanisms.* These are the Office of International Oversight Service (OIOS), the Assistant Secretary-General for HRM and the *responsible official* or office concerned in relation of particular misconducts (as harassment or sexual exploitation and abuse) and the UNESCO policy clearly distinguishes between the specific roles of the Ethics Office, the Internal Oversight Service (IOS) and the Bureau of Human Resources.

37. In respect with each organization system, the reporting can be structured on different ways and to different organs. UNESCO has a clear distinction between the competent organs regarding the specific allegation.

⁹ UNESCO Administrative Circular No AC/HR/10.

3.2 Reporting misconduct through external mechanisms

38. This possibility of protecting a person who use external channel to report staff misconduct have been limited by various other international organizations in the United Nations system (resulting in criticism from NGOs and public opinion). UNESCO has therefore decided to follow the United Nations Secretariat and to allow protection for those reporting externally in exactly the same format.

39. UNESCO applies conditions to the provision of protection to a person which has reported the misconduct through an external mechanism, by stating that a) such reporting has to been *necessary to avoid (i) a significant threat to public health and safety; or (ii) substantive damage to the Organization's operations; or (iii) violations of national or international laws*. Secondly, *the use of internal mechanism is not possible* (three alternatives conditions). And finally the individual must not have accepted *payment or any other benefit from any party for such report*.

(4) Reporting retaliation, preliminary review and referral for investigation

40. Both policies give the competency to assess the retaliation concerns to the Ethics Office which is required to *conduct a preliminary review*. This preliminary review aims to determine if the *complainant is engaged in a protected activity; and whether there is a prima facie case that the protected activity was a contributing factor in causing the alleged retaliation or threat of retaliation*.

41. Within both policies, if the Ethics Offices determines a prima facie case of retaliation on the basis of their preliminary review, the case is referred for investigation. In the United Nations Secretariat process, the investigation is entrusting to OIOS, in the UNESCO process to IOS. Furthermore, both policies consider that *where (...) there may be a conflict of interest in OIOS/IOS conducting the investigation (...) the Ethics Office may recommend to the Secretary-General/the Director-General that the complaint be referred to an alternative investigating mechanism*.

42. In the United Nations Secretariat policy, the Ethics Office make its recommendations on the case to the head of department of the office concerned and the Under-Secretary-General for Management. Whereas within the UNESCO policy, the Ethics Office sends directly its conclusions and recommendations to the Director-General.

(5) Protection measures

43. During the investigation stage, in both systems the Ethics Office may recommend to the Secretary-General (United Nations)/Director-General (UNESCO) the adoption of interim measures.

44. If retaliation against an individual is established, in the United Nations Secretariat policy, the Ethics Office make recommendations *to the head of department or office concerned to take appropriate measures aimed at correcting negative consequences suffered as a result of the retaliatory action*. Only if the Ethics Office is not satisfied by the measures taken by the department, in question can make a recommendation to the Secretary-General. On the contrary, in the UNESCO policy, the Ethics Office sent its recommendations directly to the Director-General to consider the application of the appropriate measures. Both policies provide a list of potential corrective measures: *the rescission of the retaliatory decision, including reinstatement, the transfer to another office or function for which the individual is qualified*.

(6) Sanctions

45. UNESCO and United Nations Secretariat policies consider than *acts or threats of retaliation constitute misconduct which, if established, will lead to disciplinary sanctions*. A common approach exists with the retaliatory measures (including threats, in the UNESCO policy) against outside parties (such as an organization contractor or its employee). A retaliatory act (or threat in the UNESCO policy) against individuals is considered as *misconduct* by the United Nations Secretariat

and as *serious misconduct* by UNESCO. UNESCO has the same framework as the United Nations Secretariat regarding disciplinary sanctions against an organization's employee but is more severe regarding retaliation against outside parties (considering it *serious misconduct*).

IV. Gifts, honours and remuneration from external sources policies

(1) Introduction

46. Gift-giving is a common practice in many cultures, and could cause offense and/or embarrassment if declined/rejected. However, in many circumstances, accepting an honour, decoration, favour, gift or remuneration might be seen as creating some expectations on the part of the provider and perceived as such by third parties. Maintenance of UNESCO's position as an independent organization therefore becomes threatened in such situations and, as such, a written gift acceptance or refusal policy can help manage the expectations of donors, and also serve as sound guidance to staff members and other employees.

(2) UNESCO current framework and policy project

47. UNESCO still does not have a specific policy and procedures regarding gifts, honours or remuneration. In 2014 work began in the Ethics Office on drafting such a policy but, as it was only possible to launch such a policy following a redrafting by HRM of the Staff Rules and Staff Regulations to facilitate desirable provisions, finalization of the policy has regrettably had to be put on hold until the redrafted Staff Rules and Staff Regulations can be presented to the General Conference for consideration and approval in November 2017. However, the legal provisions applicable to the UNESCO employees provide some clarity on staff obligations in this matter and an administrative circular project is under way. UNESCO's current relevant provisions are detailed below (Annex IV). The Ethics Office regularly disseminates relevant obligations and desired practice via training in the field and at Headquarters and issues timely information notices to all employees in support of this message.

48. United Nations Secretariat policy indicates that an employee should not accept an honour, decoration, favour, gift or prize from an external source of the organization (whether it governmental or non-governmental). However, this "zero tolerance" policy is immediately contradicted by a provision requiring an employee who is aware that an external source has or will offer a gift, remuneration, favour, honour or prize, to seek the prior approval of the Director-General by contacting first the Human Resources Director. A special registry where all the information about gifts, decoration, favour, remuneration, honour or prize proposed to/accepted/declined by employees is foreseen. A Director-General will grant authorization for acceptance only if the application fulfils the conditions detailed in Staff Regulation 1.6. Both at the United Nations Secretariat and at UNESCO the Ethics Office is mandated to provide advice to employees regarding this topic in particular how they should react and/or deal with such an issue should it occur.

V. Proposed decision

49. In view of the above, the Executive Board may wish to adopt the following decision:

The Executive Board,

1. Having examined document 200 EX/5 Part III.D,
2. Takes note of the Comparative Report: The UNESCO Ethics Policies and those of the United Nations Secretariat.

ANNEX I

FINANCIAL DISCLOSURE PROGRAMME SUMMARY TABLE

FINANCIAL DISCLOSURE PROGRAMME	SCOPE	INFORMATION REQUIRED	PROCEDURE	DATA REVIEW	PUBLIC DISCLOSURE
United Nations Secretariat	L-6 and higher grades + those who have " sensitive " functions	<i>Extensive</i> information : not only control of conflicts of interest but also objective of detecting undue personal enrichment	Questionnaire to fill every year on line (information required is about previous year)	External data review: handle by an external audit organization	Yes for the senior officials, on a voluntary basis
UNESCO	P-5 and higher grades + those who have " sensitive " functions	<i>Less intrusive</i> information: all information required is linked to UNESCO, only control of conflicts of interest	Questionnaire to fill every year on line (information required is about previous year)	Internal data review: handle by the Ethics Office	No

ANNEX II

ANTI-HARASSMENT POLICIES SUMMARY TABLE

ANTI-HARASSMENT POLICIES	DEFINITION OF HARASMENT	RELATION WITH THE ABUSE OF AUTHORITY	INFORMAL PROCEDURE	FORMAL PROCEDURE	INVESTIGATIONS	ANTI-HARASSMENT POLICIES
United Nations Secretariat	No specific definition : refers to the “ <i>global</i> ” harassment definition	Specific definition	Same procedure applies for the abuse of authority + it is an aggravating factor of the harassment	Mediation by a third party (a list of <i>responsible officials</i> is provided)	<p>By the alleged victim: submitted to the head of department, office or mission/ Assistant Secretary General for HRM</p> <p>By a third party: to one of the <i>responsible officials</i>)</p> <p>Procedure can be handle by various person in the hierarchy depending on the specific situation</p>	<p>Under the responsibilities of the “<i>responsible official</i>” who appoint a panel of at least two individuals to lead the investigations. Panel will send his report within 3 months to the official responsible who may decide any disciplinary measures.</p> <p>More flexible process, leaves room for manoeuvre to the responsible official</p>
UNESCO	Specific definition with a non-exhaustive list of acts which may constitute moral harassment	Specific definition: similar with the UN Secretariat one’s + a non-exhaustive list of act(s) which may constitute sexual harassment	Aggravating factor of the harassment	Mediation by a third party (Mediator or any other person the alleged victim chooses)	<p>By the alleged victim and a third party: submitted to the Director-General. Procedures are common and centralized</p>	Ethics Office leads a preliminary assessment; it reports to Director-General who decide to on an investigation realized by Internal Oversight Services (IOS). On the basis of the IOS report EO recommends to DIR on disciplinarian’s

						measures Centralized, pre-organized process: more secured investigation operated by specialized organ
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ANNEX III

ANTI-RETALIATION SUMMARY TABLE

ANTI-RETALIATION POLICIES		ACTIVITY	COVERED		RY REVIEW	INVESTIGATION			
			INTERNAL	EXTERNAL			INTERIM	FINAL	
United Nations Secretariat	To <i>any</i> staff member (regardless of the type of appointment or its duration, intern or volunteer)	Those who cooperate to investigation or audit + Whistleblowers	The ones displayed by the UN Secretariat procedures and framework (according to the kind of misconduct: OIOS, HRM or <i>responsible officials</i> , etc. ...)	Available under three cumulative conditions	Under the responsibility of the Ethics Office	If EO consider there is prima facie case of retaliation refers to OIOS OIOS has 4 months to report EO sends its recommendations to the head of department and HRM	EO may recommend these to the Secretary General. Provides 3 types of measures which can be taken without prior importance and without avoiding other	EO recommends to the head of department / office. Only if it disagree with the taken measures it can make a recommendation to the Secretary General.	<i>Acts or threats of retaliation constitute misconduct which, if established, will lead to disciplinary sanctions</i>
UNESCO	Scope is larger : includes <i>any person having a direct contractual link with UNESCO</i>	Larger: investigation, audit or <i>any other administrative process</i> + Whistleblowers (similar conception in substance)	The ones displayed by the UNESCO procedures and framework (according to the kind of misconduct: EO, IOS or HRM)	Available under the exact same three cumulative conditions	Similar : under the responsibility of the Ethics Office	Similar but the IOS has only 2 months to report to the EO and after analysis of that report, the EO sends its recommendations directly to the Director-General	Similar (to the Director-General) but aims to safeguard <i>the interests of all parties involved</i> (not only <i>the interests of complainant</i> as in the UN policy) + <i>temporary suspension of the implementation of the action reported as retaliatory</i> should be the <i>common</i> temporary measure	On the contrary, here again the EO recommends directly to the Director-General about the measures to take regarding the situation. Both policies provide the same non exhaustive list of potential corrective measures	Similar to the UN policy. Except that UNESCO policy consider that retaliation against outside party is a <i>serious misconduct</i> (UN defines it as a <i>misconduct</i>)

ANNEX IV

GIFTS, HONOURS AND REMUNERATION FROM EXTERNAL SOURCES

UNESCO Relevant provisions:

Staff Regulation 1.6: “Except as hereinafter provided, no member of the Secretariat shall, during the period of his or her appointment accept any honour, decoration, favour, gift or remuneration from any government or from any other source external to the Organization. The Director-General may authorize such acceptance in respect of services rendered before appointment or for war service. He/she may authorize the acceptance of honours and prizes from educational, scientific or cultural organizations and the acceptance of remuneration for work done by a member of the Secretariat in his or her spare time provided that such work is not incompatible with his or her status as an international civil servant.”

Staff Rule 101.7: “Any staff member who is approached by any other body, whether local, national or international, with a view to his or her accepting an honour or prize shall inform the Director-General and obtain his or her authorization in writing before accepting.”

Staff Rule 101.8 c): Acceptance of Remuneration: “Staff members shall not accept any gratuity or favour from any commercial firm or individual doing or seeking business with the Organization.”

Human Resources Manual Chapter 2. Duties, obligations and privileges; Item 2.5. Outside activities, statements and acceptance of honours; D. Honours and favours:

§31. “When a staff member is approached by an outside body (local, national or international) with a view to accepting an honour, decoration, favour, gift or prize, he/she must request the Director-General’s authorization before accepting any such distinction. The procedure is as follows:

- (a) The staff member submits a request to DIR/HRM giving full details of the matter;
- (b) DIR/HRM forwards the request to the Director-General for his/her decision, adding comments on the compatibility with Staff Regulation 1.6.”

§32. “The Director-General will grant authorization only exceptionally and in accordance with the provisions of Staff Regulation 1.6 and Staff Rule 101.7. if the proposed honours and prizes are from educational, scientific or cultural organizations or if the proposed honours or favours concern work done or services rendered before his/her appointment or in his/her spare time, and are compatible with his/her status as an international civil servant.”

United Nations Secretariat policy:

The United Nations Secretariat policy derives from the *Administrative instruction (ST/AI/2010/01)* published on 14 January 2010 and effective on this date. This Administrative instruction aimed to implement *Staff Regulation 1.2* and *Staff Rule 1.2*.

The United Nations Secretariat policy reiterates that *the appropriate response is for the staff member to decline (any gift, honour, favour, etc.) with an explanation that it is a requirement in accordance with the staff member’s duties and obligations as an international civil servant.* However, it does distinguish the procedures to be followed based upon the origin of the gifts, honour or remuneration.

Regarding gifts provided by governmental sources, staff members should not accept them. However, when declining it is not possible as it would represent an embarrassment to the Organization, they may accept it, report it and *entrust the item, irrespective of its value,* immediately to the administrative organ concerned.

This policy created a specific registry. United Nations Secretariat policy excludes categorically acceptance of some gifts, namely, those from *any individual or entity doing business with the Organization*. Those from *a non-governmental sources as a consequence of performing United Nations duties and responsibilities* if they cannot be declined will be deposited in the Organization bank account in consultation with the Office of the Controller. *Minor gifts* can be retained by the recipient, the others will be retained by the Organization and the policy explains the procedure.

In all cases, *when a staff member becomes aware that he/she is being offered an honour, decoration, favour, gift or remuneration* he/she has to report it to the administrating official who will communicate it to the Assistant Secretary-General for Human Resources Management, *who may approve on behalf of the Secretary-General, the acceptance of the honour, decoration, favour, gift or remuneration from a non-governmental source*. The Ethics Office may be consulted if needed.

United Nations policy makes it clear that *it is only in exceptional cases that the Assistant Secretary-General for Human Resources Management will grant approval (...) for the staff member to receive and retain an honour, decoration, favour, gift or remuneration from a non-governmental sources*. If the approval is not granted, the staff member shall decline the honour, decoration, favour, gift or remuneration.



United Nations
Educational, Scientific and
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Executive Board

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200 EX/5 Part III (E)

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

PART III

MANAGEMENT ISSUES

SUMMARY

E. Implementation of the action plan for improved management of extrabudgetary funds

The present report gives an update on developments relating to the programming of extrabudgetary activities, resource mobilization including the evolution of voluntary contributions and efforts to create a stronger enabling environment for resource mobilization, capacity building, monitoring and evaluation of extrabudgetary activities.

Additional information on the UNESCO – European Union strategic partnership is available in document 200 EX/5. INF. 3

Action expected of the Executive Board: Proposed decision in paragraph 54.



E. Implementation of the action plan for improved management of extrabudgetary funds (Follow-up to 197 EX/Decision 5 (IV, B))

1. The present report gives an update on developments relating to the programming of extrabudgetary activities, resource mobilization, the implementation, monitoring and evaluation of extrabudgetary activities. It covers the period that has elapsed since the submission of the last report to the Executive Board on this subject in September 2015. The section on resource mobilization also gives a comparison between voluntary contributions received in 2015 with the corresponding figures for 2014 to demonstrate evolutions in resource mobilization trends from different types of donors.

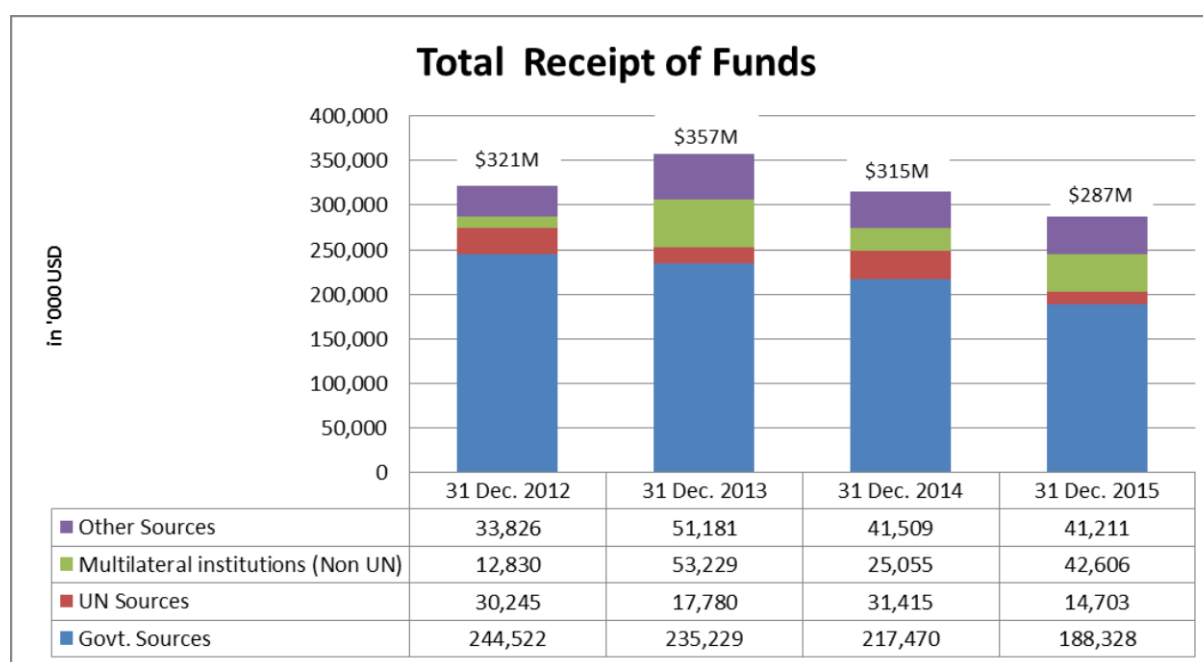
I. Programming

2. The decision of the 199th session on the Structured Financing Dialogues (199 EX/Dec.5.II.F) has set UNESCO on a new path as far as the upfront programming of extrabudgetary resources is concerned.

3. Building on the Complementary Additional Programme which provided for the setting of resource mobilization targets, and the provision of figures on firmly committed extrabudgetary funds for information purposes, henceforth UNESCO will present an integrated budget encompassing all funding sources, including assessed contributions, voluntary contributions as well as the notion of funding gap. Document 39 C/5 will be the first Programme and Budget to be based on the integrated budget framework. Work towards the integrated budget framework is addressed in depth in document Structured financing dialogue and “Integrated Budget Framework” (Ref.: [200 EX/13 Part III](#))

II. Resource mobilization

(1) Evolution of voluntary contributions¹⁰



4. In 2015, UNESCO received US \$287 million in voluntary contributions compared to \$315 million in 2014 representing a decrease of 9% (or \$28 million).

¹⁰ Source: Bureau of Financial Management

5. Another modality for receipt of additional funding is the “additional appropriation” otherwise referred to as “donation” which is accounted for separately from extrabudgetary contributions. These remain an important source of funding, amounting to \$8.7 million in 2015 compared to \$10.1 million in 2014. These figures exclude transfers from the Emergency Fund recorded as additional appropriations amounting to \$4.3 million for the biennium 2014-2015.

Top 25 Donors in 2015 in having contributed to extrabudgetary projects and Institutes

Donor	Amount in USD	
	31 December 2015	31 December 2014
Italy	29,005,631	38,161,506
Sweden	25,287,833	25,941,042
European Union (EU)	22,386,114	15,128,907
Brazil	21,256,981	35,503,130
Netherlands	18,564,149	21,904,547
World Bank/I.B.R.D.	13,654,704	6,228,745
Japan	11,659,836	9,575,353
Norway	11,284,162	12,607,128
Peru	9,745,231	10,704,278
Republic of Korea	9,462,644	10,684,723
NUFFIC*	7,530,864	4,395,205
UNDP	6,280,872	7,881,813
Switzerland	5,909,859	6,433,795
China	5,665,359	2,804,000
Kuwait	5,519,970	0
Germany	4,473,013	3,320,265
France	3,987,812	4,545,629
Union économique et monétaire ouest-africaine (UEMOA)	3,974,638	1,735,001
Finland	3,658,768	4,774,415
IAEA	3,245,078	3,725,463
United Kingdom	2,741,206	3,473,640
Education Above All Foundation	2,622,242	2,581,816
Canada	2,437,375	3,551,143
India	2,085,569	1,568,302
Belgium	1,994,344	2,626,999

*Netherlands Organisation for International Cooperation in Higher Education

Governmental sources

6. With contributions of \$188 million, governments remain the largest source of funding. The level of contributions decreased by 13% compared to 2014.

7. The comparative decrease between 2015 and 2014 is due mainly to the reduction in cash transfers from two of UNESCO's largest donors, Italy and Brazil.

8. In spite of the decrease in cash payments to UNESCO, the reporting period has been marked by a number of new high value commitments. Highlights since the submission of the last report to the Executive Board in September 2015 include the signature of an MOU with the Republic of Korea (ROK) to streamline extrabudgetary cooperation followed by significant new

commitments from ROK including \$15 million to support the UNESCO-UNFPA-UN Women joint programme for the empowerment of adolescent girls and young women in Mali, Nepal and United Republic of Tanzania, and \$10 million for a second phase of the TVET programme “Better Education for Africa’s Rise. China committed \$4 million to pursue a second phase of a teacher training initiation in Africa. Switzerland also significantly increased its cooperation with new support for ICT in the United Republic of Tanzania for \$4 million and for governance of ground water resources \$1.9 million. Japan renewed its long-term support through annual commitments to World Heritage, Intangible Heritage, capacity-building of human resources, Education for Sustainable Developments and programmes for education and science in Asia and the Pacific. Australia pursued its commitment to the *Global Education Monitoring Report (GEM)* with a contribution of \$1.2 million. Flanders, Belgium renewed its framework agreement with UNESCO on cultural and natural heritage for another five years. Turkey provided significant financial and in-kind support for the hosting of the fortieth session of the World Heritage Committee in Istanbul in July 2016. Malaysia approved nine new projects to promote South-South cooperation with a total value of \$2.2 million. Spain approved five new projects with a total value of \$1.3 million. New programme cooperation agreements for 2016 are under negotiation with Norway and Finland and Germany has announced additional contributions for UNEVOC in 2017 and 2018 and for GEM in 2017.

9. UNESCO’s work in crisis and transition situations continues to attract generous support from government donors. During the reporting period significant resources were mobilized to support UNESCO’s response to the Syrian crisis including the Republic of Korea which committed \$1 million for TVET for Syrian youth in Jordan, and additional support from Kuwait of \$ 0.5 million. In Afghanistan, Finland scaled up its support for literacy with an additional contribution of €2 million. The Qatar Development Fund contributed \$2 million for the UNESCO Heritage Emergency Fund. In February 2016, an agreement was concluded with Italy for the establishment of an Italian Task Force for the protection of cultural heritage, in the framework of UNESCO Global Coalition “Unite4Heritage”. In June 2016, Flanders Belgium supported the organization of an international conference in Brussels on “United 4 Heritage cultural diversity: target for conflicts, sources of place”.

Self- benefiting

10. Voluntary contributions linked to self-financed arrangements, in terms of cash received in 2015, amounted to \$33 million. This represents a decrease of 28% compared to the \$46 million of cash contributions received in 2014. This reduction is partly a consequence of the decrease of contributions in Brazilian Reals (BRL) received by UNESCO Brasilia office (UBO) and the fluctuation of the local currency (BRL) vs the US dollar.

11. The below table shows the distribution by Programme Sectors and donors of the cash contributions provided for self-financed arrangements.

Contributions received to self-benefitting projects during the year 2015
(Expressed in USD)

Donor	Education (ED)	Culture (CLT)	Social and Human Sciences (SHS)	Communication and Information (CI)	Total
Albania		66,246			66,246
Brazil	15,052,751	653,113	4,263,162	1,088,201	21,057,227
Lebanon		181,186			181,186
Madagascar	557,627				557,627
Mexico	25,096	301,400	178,006		504,502

Pakistan	64,095				64,095
Peru	9,731,231				9,731,231
Qatar			961,063		961,063
Thailand	84,729	91,564			176,293
Total	25,515,529	1,293,509	5,402,231	1,088,201	33,299,470

12. Although cash payments decreased during the period, it was marked by significant new commitments in terms of signed agreement including a new commitment from Peru to scale up on-going cooperation on teacher training with additional funding of \$11 million, and a renewal of self-benefitting cooperation with Morocco for new projects which both address the linkages between climate change and cultural heritage.

Private sector

13. Voluntary contributions from private sector donors including companies, foundations, individuals and NGO's remained steady during the period under consideration amounting to \$41.2 million in 2015 compared to \$41.5 million in 2014. In line with the importance attached by the Director-General and Member States to cooperation with the private sector, UNESCO continued to place an emphasis on strategic and high-value partnerships especially with the developing countries. Partnerships with the Chinese private sector in particular have been further enhanced and diversified over the reporting period. New high-value cooperation agreements have been signed with the Chinese private sector with entities such as Fazheng Group, Hainan Province Cihang Foundation, Talkmate, Zhi Zheng Art Museum, Yong Xin Hua Yun Cultural Industry Investment Co. Ltd and Elion Foundation. A new agreement was also signed with MTN, a South-African telecommunication company.

14. The period also saw the launch of a number of innovative partnerships including with Air Morocco for providing air tickets for participants to UNESCO events in Africa for the period 2016-2017. UNESCO also further developed its various fundraising mechanisms with the private sector during the period. The cooperation with the Korean company CJ E&M and the CJ Welfare Foundation, which started in 2014, was further developed in 2015 by a financial contribution of \$1 million for a project in Viet Nam. This cooperation also provided substantial visibility and outreach for promoting girls' education through their MNet Music Award Event (MAMA) and KCON concerts in New York, Paris, Abu Dhabi and Los Angeles as well as through their TV, radio and worldwide social media networks.

15. During the period under review major partnerships were also signed with Iraqi Journalists Syndicate, Microsoft, Hamdan Bin Rashid Al-Maktoum Award For Distinguished Academic Performance, PepsiCo and the Education Above All Foundation for Supporting the Education System in Iraq.

16. Another new trend emerging in UNESCO's partnerships with the private sector is the possibility of mobilizing in-kind contributions such as equipment and/or facilities as part of a wider multi-stakeholder approach. In this context the Hamdan Bin Rashid Al-Maktoum Award For Distinguished Academic Performance provided a financial contribution of \$5 million for the restoration and improvement of Room I.

European Union

17. Voluntary contributions from the European Union in 2015 amounted to \$22.4 million, representing the third largest funding source of the Organization. In 2014, they represented \$15.1 million. While the total voluntary contributions received at UNESCO have decreased in 2015 by 9% compared to 2014, the contribution from the EU has increased by approximately 48%.

18. The EU remains the largest single multilateral donor of Official Development Assistance (ODA) in the world and there is still great potential for strengthening the cooperation with UNESCO in the years to come, mainly at country level with an increased decentralization of funds.

19. In general terms, UNESCO's reputation vis-à-vis European institutions is improving steadily, notably thanks to high-level meetings and events organized in Brussels. Some large agreements have been concluded in 2014 and 2015, such as the Central African World Heritage Forest Initiative (CAWHFI) €5 million, Reforming Technical and Vocational Education and Training in Iraq €12.3 million, Support to Media in Jordan €3 million, Building trust in media in South-East Europe and Turkey €1.5 million, Supporting the International Task Force on Teachers for Education for All €1.5 million, UNESCO cultural world heritage sites in Europe €1.5 million, More education, less risk: Strengthening disaster risk reduction and resilience through education in Latin America €1 million.

20. Concerning contractual aspects, after a long negotiation process the so-called Pillar-Assessed Grant or Delegation Agreement (PAGoDA) entered into force on 5 January 2015 for a trial period of one year. The approach to contractual arrangements under (PAGoDA) does not take into account the regulatory framework of implementing organizations and raises challenges both for the selection of partners and for reporting. Negotiations concerning a version 2 of this agreement (PAGoDA2) will be initiated in 2016.

Multilateral development banks and regional economic communities

21. The overall funding from multilateral development banks and regional economic communities increased considerably from \$9.8 million in 2014 to \$20 million in 2015. The amount of funds received in 2015 was significantly higher due to the \$13.6 million received mainly from the Global Partnership for Education (GPE) managed by the World Bank.

22. Highlights during the period included the conclusion of a \$2.6 million agreement with the Government of Haiti for the implementation of a major project in the area of heritage preservation and support of tourism. The cooperation with the OPEC Fund for International Development (OFID) has also been considerably increased by the signature at the beginning of 2015 of three new agreements amounting to a total of \$2.3 million.

United Nations

23. The decrease of the voluntary contributions from the United Nations system from \$31.4 million in 2014 to \$14.7 million in 2015 is due to the operational closure of the main Multi-Donors Trust Funds (MDTF) pending a new plan of replenishment. The replenishment of support to United Nations interventions in the humanitarian, transition, development and climate change areas has been slow to materialize as illustrated by the decrease of funds received from in 2014 from \$5.2 million to \$2.4 million in 2015.

24. Some important highlights during the period of reporting are the support from a Saudi Trust fund administrated by OCHA of \$1.9 million for UNESCO Iraq Office for supporting adolescents and young adults in conflict-affected areas to continue their learning and an agreement of \$1 million signed with Food and Agricultural Organization (FAO) to address education needs of pastoralist communities in South Sudan.

25. The IOC and IHP have concluded discussions on a modality to implement GEF-funded projects on behalf of UNEP and UNDP and this has resulted in important portfolios of programmes for approximately \$7.5 million starting in 2016.

26. Another strategic opening in 2015 was the joint commitment UNESCO/UNFPA/UN Women to mobilize \$36 million for the Joint Programme "Empowering Adolescent Girls and Young Women

through Education” to be implemented in six priority countries: Mali, Nepal, Niger, Pakistan, South Sudan and United Republic of Tanzania.

27. In the framework of the 2030 Agenda and the Paris agreement on climate, the challenge for UNESCO is to reposition itself mainly at the field level and elaborate an appropriate funding strategy based on the complex architecture of climate financing mechanisms including the Adaptation Fund and the Green Fund.

(2) Creating a stronger enabling environment for resource mobilization

28. The resource mobilization strategy for 2016-2017 (197 EX/5 Part IV Add.) set out a number of key actions necessary for the creation of a stronger enabling environment for resource mobilization. Since the issue of the strategy in August 2015, progress has been made on a number of fronts.

(a) Structured Financing Dialogues (SFD) on the resourcing of UNESCO’s Programme and Budget

29. Building on the decision of the Executive Board at its 199th session on the “Structured Financing Dialogue” (SFD) (199 EX/Decision 5.II.F), the Secretariat is working on embedding the underlying principles of the SFD in its approach to resource mobilization. For ease of reference, it is recalled that these principles include alignment, predictability, flexibility, broadening the donor base and transparency.

30. Transparency about overall resource flows to the Programme and Budget will be a condition for the success of the Structured Financing Dialogue approach.

31. Clearer, more comprehensive information on resource flows to the C/5 document will be important for all actors in the SFD process. It will keep Member States informed of financial flows to the overall Programme and Budget and it will allow donors and partners to see where the funding gap lies and where available resources can be used most strategically. Once there is a clear assessment of performance against resource mobilization targets, it will help the Secretariat monitor evolving funding needs and resource mobilization performance and focus the resource mobilization effort on under-funded areas. In addition, an assessment can be made as to whether there is any need to shift regular programme funds, and any other flexible funds between programmes, sectors/bureau to address the funding gap in a consistent way across the board.

32. UNESCO’s Transparency Portal¹¹ will be a key tool to help monitor and follow up the adequacy, predictability, flexibility, transparency and alignment of both regular programme and extrabudgetary resources, including information on resource requirements through the provision of user friendly and regularly updated information on resource flows. Work to improve the Transparency Portal notably to better meet the requirements of the SFD approach was launched in July 2016 with financial support from Sweden.

33. Based on the understanding that the SFD will be most relevant when organized around an integrated presentation of the budget encompassing assessed and voluntary contributions, and the funding gap, the SFD “proper” will be launched after the approval of document 39 C/5 in autumn 2017.

34. In the meantime, several informal consultations have been organized between the Secretariat and Member States to build a better understanding of the SFD and the integrated budget framework. These include a presentation on the occasion of the intersessional meeting of the Executive Board on 10 March 2016 at which WHO shared its experience of the SFD approach and an informal meeting of all Member States on 8 July 2016.

¹¹ <http://opendata.unesco.org/>

35. Going forward, there is a keen interest in implementing a “learning-by-doing” approach to the SFD based on resource mobilization targets for document 38 C/5.

36. In the second semester of 2016, several meetings will be organized with Member States to explore how the SFD principles (alignment, predictability, flexible funding, donor diversification, transparency on resource flows) can be integrated in the resource mobilization strategy of each Programme Sector.

37. As another pilot for the SFD, the Nordic Member States plan to hold a first joint review meeting on extrabudgetary cooperation with UNESCO in May 2017. This meeting will be open to observers and will look inter alia at progress towards results, the overall budgetary situation and challenges and opportunities ahead.

(b) Reinforcing mechanisms for receiving lightly earmarked resources

38. By way of follow-up to the resolution of the General Conference on the financial regulations of special accounts, arrangements have been made to sharpen the results focus of new and existing special accounts, and develop proposals for a UNESCO a multi-partner trust fund model, together with details on how it might work. Details are given in the document “Financial Regulations of Special Accounts” (Ref.: [200 EX/19](#)).

39. Going forward and taking into account the emphasis that the Structured Financing Dialogue approach places on the deployment of flexible funding including both regular programme and extrabudgetary resources, it may be necessary to establish a tailored facility for mobilizing core voluntary contributions.

(c) Improving the review of proposals and funding agreements

40. The main tool for programme design is the standard UNESCO project document template which contains detailed guidance notes to project officers on setting up their project proposals. During the reporting period, the standard template has been refined to introduce a number of improvements: alignment of RBM terminology with UNDG standard and that of major donors, guidance notes to factor gender equality more explicitly and comprehensively into project design, an improved results framework, clearer presentation for assessing and weighting risks, and establishing a presentation of the budget by Outcome/Output and/or activity as the “default” budget presentation of UNESCO, as well as introducing systematic provision for evaluation and communication in the budget.

41. Taking into account the recommendations of UNESCO’s Internal Oversight Service, and the Joint Inspection Unit,¹² preliminary proposals have been presented to senior management for the establishment of a Committee for the review of high risk projects. The Committee would review project related to internal and external risks which may affect the Organization including reputational or political risk, lack of implementation capacity, absence of beneficiary country approval, risks linked to crisis and transition situations and new forms of engagement, and would primarily focus on the review of project proposals of \$5 million and above.

42. The negotiation of exceptions to standard agreement templates can slow down negotiations on new funding opportunities. To reduce the incidence of such exceptions, UNESCO is in the process of aligning its agreement templates to reflect the latest standard clauses negotiated by UNDG with major donors in 2015. These updates should be completed and fully integrated into UNESCO Administrative Manual during the forthcoming reporting period.

¹² ‘Audit of UNESCO’s Resource Mobilization Strategy and Framework’ (IOS, October 2015) and ‘Resource mobilization function in the UN system’ (JIU, 2014).

(d) Better networking on resource mobilization issues

43. In February 2016, the Bureau of Strategic Planning established the Resource Mobilization Network with representatives of the Executive Offices of each Programme Sector and the Division of Field Support and Coordination. To date this informal network has proved a useful forum for discussing common resource mobilization concerns such as the new approach to resource mobilization implied by the Structured Financing Dialogue and the update of the special account framework.

III Capacity-building, monitoring and evaluation

(1) Capacity-building and knowledge management

44. In the context of wider efforts to improve capacities for design, resource mobilization and delivery, training on project design and resource has continued. In line with the Resource Mobilization Strategy for 2016-2017 ([197 EX/5 Part V Add.](#)), training on resource mobilization has been progressively inscribed into a holistic institutional training delivered in particular to field offices. In this context, since June 2015, workshops have been organized for UNESCO field offices in Addis Ababa (on RBM, Project Programming and Financial Management) San José (on cooperation with the European Union, private sector and country cooperation agreements), WWAP programme office in Perugia, IHE, as well as a Training on RBM, Resource mobilization, Human Resources Project Programming and Financial Management in Montevideo for UNESCO field offices in LAC.

45. Examples of best practices have been introduced in the training modules notably by ensuring the involvement of UNESCO colleagues with a strong track record in fund raising and documented on the “Extrabudgetary workspace” an Intranet site with tools and resources on extrabudgetary cooperation.

46. The mapping of donor priorities and existing cooperation with UNESCO has been finalized, regularly updated and shared on the dedicated Intranet site.

47. The improvement and sharpening of resource mobilization skills is also embedded in the Invest for Efficiency Delivery work plan. E-learning modules and video material are being developed on the basis of improvement to existing material; training of trainers has already started with the support of HRM.

48. UNESCO’s capacity has also been strengthened during the period through new and renewed secondment arrangements and the loan of personnel including from Angola, Belgium (Flanders), China, Costa Rica, Cyprus, France, Germany, Italy, Japan, Malta, Republic of Korea, Switzerland, Qatar and Turkey, as well as short-term deployments from the Norwegian Refugee Council to the UNESCO Field Offices, including for the first time in the areas of DRR and hydrology, and negotiations with a number of other Member States in the pipeline. UNESCO also receives support from the private sector in this area with experts provided by the Open Joint Stock Company PhosAgro (Russian Federation) and The Helsingin Sanomat Foundation (Finland).

Monitoring

49. Initiatives taken since September 2015 to improve the RBM focus of UNESCO’s planning tools such as the provision for introducing a results framework for all new special accounts and the update of UNESCO’s standard project document template with new requirements for example on the presentation of indicators and targets that are disaggregated by gender, will contribute to the quality of internal and external monitoring.

50. Going forward and based on the improvements introduced in the standard project document template, UNESCO’s standard reporting templates are being similarly updated.

Evaluation

51. In follow-up to its diagnostic study of 2013, the IOS Evaluation Office recently completed a [Synthetic Review of Evaluations in the UNESCO System](#) covering 261 evaluation reports published between 2009 and 2015. While reports continue to meet basic reporting requirements, the study identifies a number of challenges and proposes recommendations to improve the overall quality and use of these evaluations. Ongoing monitoring¹³ also shows a low level of investment to conduct the evaluation of extrabudgetary projects.

52. Efforts aimed at improving the quality of evaluations of extrabudgetary projects thus remain an important organizational priority. The UNESCO Evaluation Policy (2015) provides a sound framework for strengthening the evaluation function across the organization, including the evaluation of extrabudgetary projects. The policy establishes a 3% allocation of the operational budget as the necessary level of investment in evaluation which will improve both the coverage and quality of evaluations.

53. Furthermore, a focus of the IOS evaluation strategy is the recently approved initiative establishing an evaluation focal point network and evaluation management training programme to strengthen staff capacities to plan, manage and use evaluations. IOS will also continue to undertake periodic meta-evaluations of completed evaluations to track improvements in quality as well as to inform organizational results-reporting, accountability and learning.

Proposed decision

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

The Executive Board,

1. Having examined document 200 EX/5 Part III (E),
2. Welcomes the efforts by the Director-General to integrate the programming of extrabudgetary resources within an integrated resource framework including assessed contributions, voluntary contributions as well as the notion of funding gap;
3. Encourages the Secretariat to pursue consultations with Member States to explore how the Structured Financing Dialogue principles (alignment, predictability, flexible funding, donor diversification, transparency on resource flows) can be integrated in the resource mobilization strategy of each Programme Sector;
4. Invites the Secretariat to establish a core voluntary contributions facility to increase the flexible funding resources that can be made available to fill the gap in the integrated resource framework;
5. Further encourages the Secretariat to continue to improve the enabling environment for resource mobilization through further investment in training, intelligence, and information sharing, through the review of administrative procedures, agreement templates and modalities for managing funds, through the development of long-term strategic agreements, and through the mobilization of complementary human resources;
6. Invites the Director-General to report to it at its 202nd session on further developments and challenges encountered with regard to the management of extrabudgetary resources and to resource mobilization.

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¹³ IOS Annual Report, 199 EX/16, paragraph 19.



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

PART III

MANAGEMENT ISSUES

SUMMARY

F. Review of Cost Recovery policy: conceptual framework

The Executive Board, at its 195th session invited the Director-General to “*present to it at its 197th session a proposal to adjust and reduce, where appropriate, the standard programme support cost rate for future projects while charging more identifiable direct and indirect variable costs, including regular programme staff costs, with a view to taking into account the practices of other United Nations specialized agencies*”.

The outcome of UNESCO’s internal working group was reported to the Executive Board at its 197th session (197 EX/5 Part IV) further mentioning that the review of UNESCO’s cost recovery policy will resume in 2016.

UNESCO has reviewed the conceptual framework of cost recovery taking into account implementation realities of the current UNESCO policy, recommendation for harmonization at the United Nations level, work of the internal working group, documents presented in the past to the Executive Board and decision taken as well as the documents and practices of other United Nations organizations.

This document should be considered in the context of the following documents:

- Short-form audit report on cost recovery from voluntary contributions (200 EX/20 Part I)
- Financial Regulations of Special Accounts (200 EX/19 Annex XI)

Action expected of the Executive Board: Proposed decision in paragraph 35.



F. Review of cost recovery policy: conceptual framework

Background

1. In response to the Triennial Comprehensive Policy Review (TCPR 62/208), the United Nations General Assembly adopted the following in December 2007:

“Requests the executive boards of the United Nations funds, programmes and specialized agencies to review the issue of cost recovery to ensure that core resources do not subsidize the projects undertaken through non-core/supplementary/extrabudgetary funding;

Requests the United Nations development system to further standardize and harmonize the concepts, practices and cost classifications related to transaction cost and cost recovery, while maintaining the principle of full cost recovery in the administration of all non-core/supplementary/extrabudgetary contributions, including in joint programmes”.¹⁴

2. A working group established in 2003 on “Support Cost for extrabudgetary activities”, chaired by UNESCO defined common principles for cost recovery. Based on the findings of this group, the High-Level Committee on Management (HCLM) determined that of the three types of costs which are incurred by United Nations Organizations (i.e. direct cost, indirect variable cost and indirect fixed cost¹⁵) the direct costs and indirect variable costs which arise from the execution of extrabudgetary activities should be systematically charged to projects. While the direct costs are budgeted and charged as such, indirect variable costs are charged by way of a Programme Support Cost (PSC) rate.

3. The working group upon the request of (HLCM) Finance and Budget Network was re-established in 2007 with the objective to further harmonize, if possible, the cost-recovery policies of United Nations Organizations beyond the definitions and principles determined by the first Working Group in 2005. Agencies participating in the UNDG-HLCM joint consultations held in April 2008 agreed that:

- Ex-Com and specialized agencies would apply a 7% rate as a harmonized indirect Programme Support Cost (or PSC) rate for MDTFs and multi-agency country-level joint programmes and activities;
- United Nations system organizations should achieve full cost-recovery and, as a consequence, identify and recover more costs directly so that the core budget does not subsidize projects funded from non-core resources; and
- Specialized agencies may continue to apply standard indirect PSC rates up to 13% for single agency initiatives that are designed and managed directly/bilaterally.

These conclusions were endorsed by the Finance and Budget Network in July 2008, and were presented to the HLCM in September 2008.¹⁶

4. At the 180th session of the Executive Board, the Secretariat presented the “Guidelines on budgetary aspects of extrabudgetary projects” which described in detail UNESCO’s cost recovery policy, and the United Nations system principles upon which the policy was built (i.e. the 2005 HLCM Harmonized Cost-Recovery Principles and the 2007 United Nations General Assembly TCPR principles of full cost recovery).

¹⁴. A/RES/62/208 (paragraph 116 and 117).

¹⁵. Direct costs are costs incurred by the project, and can be traced in full to a particular project. Indirect variable costs, which are usually referred to as support costs, are incurred by the organization as a function and in support of projects. They cannot be traced directly to a specific project. Indirect fixed costs are incurred by the organization regardless of the scope of its activities and cannot be traced directly to a specific project.

¹⁶. 181 EX/38.

5. At its 182nd session, the Executive Board welcomed the Director-General's decision to introduce and implement a cost-recovery policy that recognizes the principle of true cost recovery in accordance with the triennial comprehensive policy review.

6. UNESCO recovered these costs by applying a programme support cost rate (PSC rate) of 13% for standard single donor time bound (Funds in Trust) extrabudgetary projects; 10% for Special Accounts with pooled multi-donor arrangements which were mid- to longer-term, 8% for equipment and, more recently, 7% for Multi-Donor Trust Funds (MDTFs), United Nations Joint Programmes and the Delivering as One initiatives.

Review of cost recovery policy and changes in the United Nations

7. Over the years, the funding landscape, donor dynamics and approach to cost recovery has undergone significant review and changes, and Organizations within the United Nations have been reviewing its policies.

8. The United Nations General Assembly, in its resolution on the Quadrennial Comprehensive Policy Review (QCPR 67/226) reaffirmed “that the guiding principle governing the financing of all non-programme costs should be based on full cost recovery, proportionally, from core and non-core funding sources” (paragraph 48). It also encouraged the governing bodies of the specialized agencies, to adopt cost recovery framework based on the guiding principle of full cost recovery, and a simple, transparent and harmonized methodology (paragraph 53).

9. The Executive Board, at its 195th session invited the Director-General to “present to it at its 197th session a proposal to adjust and reduce, where appropriate, the standard programme support cost rate for future projects while charging more identifiable direct and indirect variable costs, including regular programme staff costs, with a view to taking into account the practices of other United Nations specialized agencies” (195 EX/Decision 5.IV (C)).

10. A Working Group of the Finance and Budget Network (FBN) of the United Nations High-Level Committee have been discussing the issue of harmonization of cost recovery rates for United Nations agencies' pooled funds on Management (HLCM). The survey of the working group presented to the 25th meeting of the FBN in June 2015 confirmed a variety of practices among the 16 organizations¹⁷ that participated when it comes to recovery of indirect costs, indicating that different models are being used to achieve a balance between the flat rate PSC/programme support costs applied and implementing the QCPR (quadrennial comprehensive policy review) decision on the principle of full cost recovery and proportionally from core and non-core-funding sources. All of the 16 organizations were committed to implementing a full cost recovery policy; however, the responses to the survey on PSC rates showed that current practices are varied. The summary of the survey was reported at the 197th session of the Executive Board (197 EX/5 Part IV).

11. One of the priorities identified in the HCLM strategic plan for 2013-16 was “Measuring and communicating results”. The aim of this activity was to improve consistency in the financial results reporting to Member States. This activity was also mandated in the QCPR resolution (A/RES/67/226) paragraph 159, which “Requests the Secretary-General to present to the Executive Boards of the funds and programmes, by the beginning of 2014, a proposal on the common definition of operating costs and a common and standardized system of cost control, paying due attention to their different business models, with a view to their making a decision on this issue”.

12. At its June 2013 session, the FBN discussed the issue of cost categorization with the aim of potential harmonization among United Nations system organizations. As a starting point, it discussed the potential harmonization around the UNDP/UNICEF/UNFPA/UN-Women common

¹⁷. UNICEF, FAO, UNOPS, UN Women, IAEA, UNDP, ITU, UNAIDS, IFAP, WFP, ILO, UNIDO, UNFPA, WHO, United Nations Secretariat, UNESCO.

cost classification, which consists of: (1) Development activities, (2) United Nations Development Coordination, (3) Management, and (4) Special Purpose.

13. A working group was established to look at the harmonization of cost categories by drawing on the work performed by UNDP, UNFPA, UNICEF and UN Women. The working group's findings suggested that by expanding the interpretation of the categories to represent the mandate of specialized agencies, the current harmonized cost classification framework adopted by UNDP, UNFPA, UNICEF and UN Women can also be applied to these agencies. In June 2014, the FBN agreed that the conclusions of the working group on common cost classification would represent the basis for the United Nations system's response to the QCPR resolution paragraph 159.¹⁸

14. UNESCO internal CRP Working Group in 2013/2014 put into place strengthened mechanisms for direct cost budgeting and discussed the potential reduction of PSC rates. The working group highlighted potential areas that UNESCO will need to address for a revised cost recovery policy. These included risk of budget deficit in case of a sudden reduction in PSC income resulting from reduced PSC rate based on existing policy, smaller volume of individual projects making it difficult to charge full PSC, lack of common definition of project direct costs making it difficult to align the PSC rates, and policy towards interest distribution.¹⁹ This was reported to the Executive Board at its 197th session (197 EX/5 Part IV) further mentioning that the review of UNESCO's cost recovery policy will resume in 2016, taking into account the outcome of the mid-term review as noted in the decision of the FB Network.

15. UNESCO review of the Cost Recovery Policy conceptual framework took into account implementation realities of the current UNESCO policy, recommendation for harmonization at the UN level, work of the internal working group as well as the documents and practices of other United Nations organizations, including: FAO's 2013 report on Cost Recovery, 2014 Financial Framework for Cost Recovery, 2015 Cost Recovery Policy; UNDP, UNFPA and UNICEF joint review (2010 Joint report on cost classification, 2012 review on the impact of Cost Definitions, 2013 Roadmap to integrated Budget), and other reading (WMO 2012 review of support cost charges) as well as existing internal thinking presented to the Executive Board at its 190th session (190 EX/19 Part II/Annex II).

16. The review of various documents stated in paragraph above can be summarized as follows:

- (a) Although there is no "one-size-fits-all" approach for common cost classification, it is still possible to classify costs using a consistent methodology or framework. FBN is working towards a harmonized definition of cost classification with the understanding that organizations will classify costs within these categories based upon their own operational models using a consistent methodology or framework that promotes transparency and simplicity.
- (b) Unlike the old model that was based on the principle of incremental costs (only covering indirect variable costs), the new approach eliminates the difference between fixed and indirect variable costs. The criteria for classifying costs under indirect variable and fixed variable were difficult to communicate leading to varied interpretations.
- (c) The guiding principle governing the financing of programme and non-programme costs should be based on full cost recovery.
- (d) Costs that are administrative in nature can be charged as direct costs if clear criteria can be established and met.

^{18.} CEB/2014/HLCM/FB/11 paragraph 36 and CEB/2015/HLCM/FB/5.

^{19.} UNESCO currently distributes two thirds of the interest while some United Nations agencies have policies which retain all interest generated from extrabudgetary funds as part of the income to support the administrative costs of the Organization.

- (e) Organizations have adopted revised cost classification criteria as a part of their “Integrated budgeting” initiative to provide clarity on costs being charged directly or those being shared as a part of flat PSC rate.
- (f) Organizations reviewing their cost recovery policies have mostly adopted the QCPR principle of proportionality.

17. Proper cost classification therefore is an essential element in the review of cost recovery policy and subsequent application of cost-recovery calculation methodology. The cost classification needs to have the following characteristics:

- (a) The cost classification categories should provide information that would **support strategic decision-making** by the Executive Boards and by the respective organizations.
- (b) The approach needs to be **practical, transparent and simple** so as to ensure that the application of the classification and reporting thereon result in meaningful, consistent estimates.
- (c) **Aligned with the United Nations in general** such that harmonization of cost classification across the system becomes easier. In this regard, the QCPR welcomed the decisions of the Executive Boards of the United Nations Development Programme, the United Nations Population Fund and the United Nations Children’s Fund and UN Women on a harmonized cost classification methodology, in particular with regard to the classification of costs relating to programme activities and to non-programme activities (A/Res/67/226 para 47).
- (d) The cost classification and funding frameworks should align with the operational model and the strategic plan results, within an integrated budget framework.
- (e) The cost classification is “Complete”. In other words, it should cover both staff and non-staff costs in respective cost classification.
- (f) The cost classification should be based on data available and reported to Member States further reinforcing simplicity and transparency.

Cost classification principles

18. The paragraphs below outline the possible cost classifications, their definitions and basic criteria used for such classification. These cost classifications are based on the “function” or “nature of support” provided. It should be noted that these build on the categories presented in the paper at the 190th session (190 EX/19 Part II, Annex II).

Programme Delivery: All costs (including related support staff and operational costs) that are integral part of effective programme delivery and directly contribute to achievement of Programme results. This category could be further sub-divided into two sub-categories,

1. Programmes – Activities and associated costs of functions that directly contribute to delivery of the results contained in country/regional/global programme documents or other programming arrangements.
2. Program Coordination and Support – Functions where the costs of activities of a policy-advisory, technical and implementation nature that are needed for achievement of the objectives of programmes and projects in the focus areas of the organization. These inputs are essential to the delivery of programme results, and are not included in specific programme components or projects in country, regional, or global programme

documents. These functions do not meet the criteria for “Management” and/or “Special Purpose”.

Management – Functions whose nature of support is cross cutting and whose primary purpose is to promote the identity, direction and well-being of the Organization. The costs of these functions are indirectly linked to the projects and meet all of the following criteria:

- Nature of support is overall well-being/institutional. These functions provide support for a well-managed, accountable organization through key activities such as planning, organizing, motivating and controlling.
- Relates to cost of Functions that supports Programme as well as other functions both at Headquarters and field.
- Cannot be allocated using appropriate and traceable cost drivers – i.e. cannot easily be “charged back” as services,

Special Purpose – covering activities and associated costs of a cross-cutting nature that (a) are mandated by the United Nations General Assembly (i.e. not within the direct management control of the Organization); (b) are mandated by the UNESCO General Conference and not attributable to programme results or management activities of the organization (c) involve material capital investments; or (d) do not represent a cost related to the management activities of the Organization”.

19. The new cost classification structure will be presented as an annex to the C/5 document and will regroup the budget structure by function in order to provide a transparent proposal for cost recovery. The proposed cost classification will also be the basis for reports to the United Nations CEB as it is based on a harmonized definition.

20. As noted above, this framework is based on the principle of cost classification by functions. The main difference between cross-cutting critical functions in this model, as opposed to variable indirect costs in previous ones, is in their scope. The notion of critical cross cutting functions, which could be defined as “Management” is much more limited than similar notions in previous models. While the previous model included in its variable indirect cost a portion of costs classified as Programme and Programme Coordination and Support, this model would exclude these from the calculation of the PSC rate.

21. Further, in this model there is a close alignment between cost definitions, classification of functions and associated costs and this could also meet the objective of “Integrated Budgeting” that aims to reflect the totality of resources available to the organization and how they are used to contribute to the achievement of results articulated in the strategic plans.

22. The new cost classification framework seeks to identify costs that should be charged as direct costs and those costs that cannot be charged as direct costs and hence should be covered using the principle of proportionality. The emphasis of the new cost recovery framework would be on enhancing transparency through the direct charging or recovery of costs related to programme delivery.

- (a) Programme Delivery includes programme and programme support and coordination could be funded as direct costs from Regular Programme and Extrabudgetary Programmes under an integrated budgeting framework.
- (b) The more limited scope of cross-cutting functions defined as “Management” could be covered by a flat management rate charge (or PSC) and could be covered from both Regular Programme and all extrabudgetary sources using the principle of proportionality.

- (c) Special Purpose costs, by their nature do not link to management activities, cannot be attributed to extra-budgetary projects. They are mandated by and support the work of General Conference. They will have to continue to be funded through assured level of Regular Programme and could not be subject to cost recovery. Considering the nature of the cost of participation in Joint United Nations machinery, these would have to continue to be funded as per the current practice.²⁰

23. The Organization's integrated budget, covering all sources of funding, will be presented in the C/5 document and will allow discussion on cost classification, with an ultimate view of ensuring absolute transparency on costs recovery.

Methodology for calculating Management Rate

24. In view of the above, it is proposed that the Management Rate (currently known as PSC or Programme Support Cost) will be charged based on the principle of Proportionality and derived using the methodology outlined below with an example provided to illustrate the steps:

- Step 1** – Identify "Management" costs currently funded from all sources (Regular Programme, FITOCA Special Account OPF revenue-generating accounts).

	Current Model				Revised
	RP	FITOCA	OPF Funds	Total	Mgmt Cost
TOTAL	74 795 200	12 580 000	716 000	88 091 200	72 791 200

- Step 2** – Distribute management costs between Regular Programme and Extrabudgetary proportionally using historical data (average for last 2 years or last Biennium, for example). Amount to be funded from the Regular Programme will be identified in the preliminary proposals for the C/5

Amts in USD

Step 2: Calculate Share of RP and EXB	
Share of RP, incl AA	530 000 000
ALL Extra budgetary - Disbursements only	441 909 887
Total	971 909 887
Total Management Cost	72 791 200
RP share of Mgmt Cost	39 694 355
To be covered from ExB	33 096 845

- Step 3** – Apply the amount to be funded from Extrabudgetary to calculate the Management Rate (PSC) Percentage based on the direct cost of Extrabudgetary projects using past data to be charged to Extrabudgetary as Management Cost.

Amts in USD

	Amount
Share of ExB	33 096 845
ExB direct cost, excl PSC (2014-15)	410 409 899
Rate to be charged	8%

²⁰ According to current policy, costs related to MOSS, MAIP and DSS are charged directly to XB provided these can be directly linked to facilities and equipment of an XB project. DSS and MAIP costs are credited to "Special Account for Security".

Benefits

25. The concept of cost classification by function is easier to understand and more transparent in application than the financial concepts of incremental and fixed/variable indirect costs. C/5 documents could render visible “management” and related costs for Member states and donors and could demonstrate the extent to which costs are shared proportionally. The proposed policy will clarify what is included in the management rate (PSC) itself.

26. Classification of costs meets the objectives of integrated budgeting and results-based budgeting which aim to reflect the total resources available to the Organization to contribute to the achievement of the programme results articulated in its strategy and workplans.

27. Cost classification would be aligned to the other United Nations organizations, allowing comparability of costs based on common classification, thus facilitating and improving consistency in the financial results reporting to Member States.

28. A new cost recovery policy can provide a reduced Management rate (PSC rate) and be in line with Executive Board decision with a view to be as competitive in resource mobilization as other United Nations organizations.

Risks

Instability of funding to cover core management functions

29. The framework methodology requires extrabudgetary funding to cover a proportionate share of management cost, which is recovered as a percentage of disbursements of extrabudgetary funds. As such, a deficit could result from any reduction in the amount of resources mobilized, and/or in the amount of disbursements and corresponding recovery; or major restructuring resulting in increases to the functions eventually classified under management. It is therefore important that a sustainable solution is implemented to avoid frequent increases or decreases in the management rate and to maintain the rate in the medium term by managing short term movements.

30. The FITOCA reserve Special Account has reached an adequate reserve level and could be used to mitigate the short-term movements. Having adequate reserve to cushion against these risks is considered best practice and could be critical to avoid disruptions to Management income and resultant rate for the mid term.

31. Long-term significant reductions in extrabudgetary funding will require a review of the core level of management functions required to support delivery of programmes and may result in an increase in the management charge to both regular programme and extrabudgetary sources.

Policy and transition implications

32. Putting in place a new cost recovery policy would entail changes to the policy as well as the need to put in place measures to ensure seamless transition. In particular,

- (a) A number of costs related to the delivery of programmes would have to be charged as direct costs. Concerns have been raised by field offices who currently cover administrative and overhead costs through a combination of direct cost charging and a 40% share of the PSC income for the project. Transitional measures will need to take into account recommendations of the external audit; short term deficits and the need for donor communication.
- (b) Interest income may have to be retained as against the current practice wherein up to 2/3rd of the interest earned on projects is distributed to donors.

33. Need for differential rates will have to be explored from resource mobilization strategy perspective. Some donors (European Commission (EC), UN Delivering as One programme, etc.) have established a rate of 7%. Further, there may be a need to ensure attractiveness of “Special Accounts” through a lower rate. Consideration should be given to differential rates and should be embedded in the new cost recovery policy while ensuring that the average rate achieved will not be lower than that necessary to cover the management costs to be proportionally charged to extrabudgetary projects.

34. Any derogations from the established set of differential rates will directly reduce the amount of income and result in deficit.

Proposed decision

35. The Executive Board may wish to adopt a decision along the following lines:

The Executive Board,

1. Having examined the document 200 EX5 Part III (F),
2. Recalling 195 EX/Decision 5 IV (C) requesting the Director-General present to it at its 197th session a proposal to adjust and reduce, where appropriate, the standard programme support cost rate for future projects while charging more identifiable direct and indirect variable costs, including regular programme staff costs, with a view to taking into account the practices of other United Nations specialized agencies,
3. Welcomes the efforts by Director-General in the review of Cost Recovery policy conceptual framework;
4. Takes note that the framework is aligned with the developments in the United Nations organizations as well as the QCPR recommendation on funding non-programme costs based on full cost recovery, proportionally, from both regular programme and all extrabudgetary resources;
5. Emphasizes the importance of the application of full budgeting principles and full cost recovery;
6. Endorses the principle of cost classification by function and the principle of proportionality for calculating management cost;
7. Takes note of the risks associated with the revised cost recovery policy – in particular, the fluctuations in extrabudgetary funding may lead to instability of funding to cover functions eventually defined as “management functions” or frequent changes to Management rate; and notes that these risks are partially mitigated through the level of FITOCA reserves;
8. Requests the Director General to present at the 201st session a revised Cost recovery policy and the Management rate based on the conceptual framework described.



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

PART III

MANAGEMENT ISSUES

SUMMARY

G. Implementation of the Participation Programme and emergency assistance

In accordance with 37 C/Resolution 72 (A, II), paragraphs 2 (c) and 3, the Director-General submits to the Executive Board a report on the results achieved in the implementation of this programme and the lists of requests approved under the Participation Programme and emergency assistance, with the amounts approved to finance them. The lists have been posted online at:

<http://unesdoc.unesco.org/images/0024/002453/245357M.pdf>

The document sets out and analyses the expected results from the implementation of the Programme.

Action expected of the Executive Board: Proposed decision in paragraph 13.



G. Implementation of the Participation Programme and emergency assistance
(Follow-up to 38 C/Resolution 76, 37 C/Resolution 72 (A-II))

1. The present document reports analytically on the results concerning requests approved by the Director-General as at 18 July 2016 in respect of Member States for the 2016-2017 biennium and the results expected from the implementation of the Programme. Of the requests received during the biennium, only those related to the priorities set by the Organization have been approved by the Director-General, following evaluation by the sectors and recommendation by the Intersectoral Committee on the Participation Programme (PP).

2. General Conference resolutions 38 C/Resolution 76 and 37 C/Resolution 72 on the Participation Programme stipulate the arrangements for the implementation of the Programme, in particular two-step electronic submission (28 February and 31 August), reduction in the number of requests to seven, inclusion of a gender-equality project among the first four priorities, introduction of an eligibility criterion such as per capita GDP per annum and new instructions on the Participation Programme's support for the material operations of the National Commissions for UNESCO.

3. Almost all Member States complied with the gender equality criterion. The Intersectoral Committee on the Participation Programme applied the criterion scrupulously and requested Member States which had not complied with it to submit a new gender-equality project to replace one of the first four requests in accordance with 37 C/Resolution 72. Consequently, the number of gender-equality projects has risen considerably (50), accounting for more than 27% of the approved requests.

4. It should be noted that for 2016-2017, Member States were invited for the second time to submit, in two phases and online, their requests complying with the resolution on the PP. Out of the 70 countries in the first group (Africa, Least Developed Countries (LDC), small island developing States (SIDS), for which the submission deadline was 28 February, more than 56 did so online, which accounted for 80% of all requests. For 2014-2015, this percentage was approximately 60%. For example, out of 38 African countries, 30 submitted their requests online. It should be noted that all countries in Latin America submitted their request online.

5. For the first round of online requests, for 28 February 2016, more than 500 requests, amounting to some \$12 million were received, registered and sent for evaluation to the programme sectors and central services concerned. Online submission of requests facilitated the receipt of requests and significantly reduced the cost of processing files for 2016-2017. To date, the Director-General has approved 198 requests amounting to \$4,073,514, which is 37% of the overall appropriation for this Programme in document 38 C/5, and is broken down as follows:

- Member States: \$4,073,514 for 195 requests;
- Emergency assistance: \$150,000 for three requests.

6. The Intersectoral Committee for the Participation Programme has met twice since the beginning of the biennium and improvement has been noted in the quality, relevance and presentation of projects. This Committee recommended to the Director-General only requests from Member States that had fulfilled their reporting obligations. Furthermore, only requests with a link to the Organization's global priorities and strategic programmes and that enhance to its visibility were examined.

7. However, despite the efforts made by the Sector for External Relations and Public Information (ERI), it is clear that certain weaknesses persist in the presentation of requests, such as missing information, failure to submit pro forma invoices for equipment purchases and letters of support, projects inconsistent with the Organization's fields of competence, and insufficient description of the project or a provisional budget that do not meet the criteria laid down in the

relevant PP resolution. In this respect, ERI further supported regular dialogue with the National Commissions in order to recall existing guidelines.

8. Improved communication with National Commissions and permanent delegations continues to be a priority throughout project preparation and evaluation and preparations for Intersectoral Committee meetings on the PP. As in the previous biennia, specific efforts were made to assist Member States to better prepare and present their requests. In this respect, the circular letter from the Director-General, the new resolution on the PP, as well as other practices and terms of reference were included in the electronic form for the online submission of requests.

9. ERI continues to make presentations and hold working meetings for representatives of the National Commissions on the occasion of major meetings such as, for example, the training workshop for officers of National Commissions of Asia (Bangkok, Thailand, June 2016) where a specific presentation on the PP and a work session for preparation of regional projects under the PP were organized. Furthermore, on this occasion, many bilateral talks took place discussing the PP files of different countries.

10. Despite many reminders, around 20 National Commissions have still not submitted financial and activity reports or made reimbursements following an audit by the External Auditor or by the Internal Oversight Service (IOS) of projects relating to prior biennia. Following the efforts of the Secretariat, several files were regularized. The Member States concerned by the files being regularized are invited to make further efforts to regularize their situation and thus become eligible again for this Programme.

11. In regard to the compliance of financial reporting with financial and accounting requirements in the relevant resolutions on the PP, there is substantial improvement in the quality and presentation of these reports. Nevertheless, certain weaknesses persist and in particular, the budget breakdown often does not correspond to what was initially approved, many reports were not dated and stamped, and the names and titles of the signatories were often not provided. In this respect, ERI, in close collaboration with the Bureau of Financial Management, has routinely verified financial reports from a sample of projects representing 10% of projects approved during the previous biennium, by requiring all supporting documents for the implementation of these projects. Such control could prevent, in the future, the risk of irregularity and error in fund management during the implementation of approved projects.

12. The tables below show the breakdown of approved requests, by programme sector, by region and by priority group taken into account in all UNESCO programmes. They also contain data on emergency assistance.

(a) Breakdown of requests by sector

Sector	Number of requests	Amount approved
ED	97	1,865,344
SC	43	863,220
SHS	30	582,416
CLT	26	564,000
CI	17	335,400
ODG/GE (Gender)	50	1,031,770
ERI	18	289,420

(b) Breakdown of requests approved, by region, with rate of expenditure

Region	Number of requests	Funds allocated \$	Expenditures \$	Rate of expenditure % as of 18.07.2016
Africa	75	1,543,792	356,000	73%*
Asia and Pacific	48	1,010,466	534,000	80%*
Latin America and Caribbean	58	1,100,256	813,429	96%*
Arab States	14	269,000	148,000	100*
Emergency Assistance	3	150,000	150,000	100*
Total	198	4,073,514	2,001,429	49%*

* This rate of expenditure only factors in amounts transferred by the first Committee

(c) Breakdown by priority group

Group	Number of requests	Amount approved in \$
Women	37	752,770
Youth	31	605,770
Least Developed Countries (LDC)	117	2,435,542
Small island developing states (SIDS)	70	1,309,922
ASPnet	8	141,000

(d) Requests approved for emergency assistance

Group	Number of requests	Amount approved in \$
Malawi	1	50,000
Pakistan	1	50,000
Ecuador	1	50,000
Total	3	150,000

Proposed decision

13 In light of the above, the Executive Board may wish to adopt a decision along the following lines:

The Executive Board,

1. Having examined document 200 EX/5 Part III (G),
2. Takes note of the detailed analysis of the implementation of the Participation Programme and emergency assistance and of the results achieved;

3. Invites the Secretariat and Member States to continue their efforts to make the Programme more effective and relevant for the benefit of the priority groups of Member States as defined in 38 C/Resolution 76 and 37 C/Resolution 72 on the Participation Programme.



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

PART IV

HUMAN RESOURCES ISSUES

SUMMARY

The purpose of this document is to inform the Members of the Executive Board on the progress achieved in the follow-up to the decisions and resolutions adopted by the Board and the General Conference at their previous sessions.

Part IV of this document contains information on:

A. Use of consultant and other specialists contracts in 2015

B. Human resources management strategy

Section 1: Report on the implementation of the Human resources management strategy for 2011-2016

Section 2: Proposals for a Human resources management strategy for 2017-2022





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PART IV

HUMAN RESOURCES ISSUES

SUMMARY

A. Use of consultants and other specialists contracts in 2015

Pursuant to 197 EX/Decision 5 (V, B), the Director-General submits the report on the use of individual consultant and other specialist contracts in 2015.

Action expected of the Executive Board: Proposed decision in paragraph 23.



A. Use of consultants and other specialists contracts 2015

(Follow-up to 197 EX/Decision 5 (V, B))

Introduction

1. This report covers contracts issued to individual consultants hired by UNESCO in advisory or consultative capacities or to provide the skills, knowledge and expertise necessary for a specific service or product at Headquarters and in field duty stations (excluding Institutes).

Background

2. The current policy for individual consultants and other specialists was introduced in February 2012, which *inter alia* addressed various External Auditor recommendations¹ relating, in particular, to strengthened competitive selection processes and greater clarity on the use of waivers.

3. The special measure approved by the Director-General in March 2013, under which Sectors, Bureaux and field offices were instructed to reduce by 20% the fee element of all new consultant contracts, continues to apply. This has contributed to the decrease in the average amount spent on contracts since 2012 by 17% with an 11% decrease between 2014 and 2015 (see [Table 6, Annex I](#)). The rates are still expressed in 'up to' terms, providing managers with the flexibility to establish appropriate remuneration levels to secure the experience, expertise and service quality required through negotiation.

Data and trends on consultant contracts

4. This section presents data on consultant contracts issued between 2010 and 2015 at Headquarters and the field. Key statistics and tables are set out below while further detailed tables and charts are shown in [Annex I](#). As in previous years, data on contracts awarded by [Brasilia Office](#) are presented separately ([Annex II](#)), to allow a clearer picture of the contracts awarded by field offices as a whole.

Number of individual consultant contracts

5. The overall number of consultant contracts in 2015 was 37% higher than 2014, 28% higher in Headquarters and 42% in the field ([Table 1](#)), reflecting an increased number of projects managed by UNESCO with a reduced number of regular staff and a challenging global environment, in which natural and man-made disasters required UNESCO intervention and a rapid redeployment of experts. The field accounted for 62% of contracts issued in 2015 (59% in 2014). [Table 1b](#) shows the overall number of consultant contracts issued in the previous three biennia.

Table 1: Number of individual consultant contracts: 2010-2015

	2010	2011	2012	2013	2014	2015	Evolution 2014-2015
HQ	1248	1084	840	1111	1368	1752	28%
% HQ	37%	31%	33%	35%	41%	38%	
Field*	2107	2417	1741	2109	2005	2855	42%
% Field	63%	69%	67%	65%	59%	62%	
Total	3355	3501	2581	3220	3373	4607	37%

* Excluding contracts awarded by Brasilia office.

¹ 182 EX/46: Report by the External Auditor on temporary contracts awarded by the Organization.

Table 1b: Number of individual consultant contracts: by biennium

	2010/11	2012/13	2014/2015	Evolution 2012/13 to 2014/15
HQ	2332	1951	3120	60%
% HQ	34%	34%	39%	
Field*	4524	3850	4860	26%
% Field	66%	66%	61%	
Total	6856	5801	7980	38%

* Excluding contracts awarded by Brasilia office.

Number of individual consultants

6. The overall number of consultants hired by UNESCO in 2015 was 31% higher than in 2014 (14% higher in Headquarters and 39% in the field ([Table 2](#)). The field offices accounted for 71% of the individual consultants hired in 2015. Table 2b shows the overall number of individual consultants hired during the previous three biennia.

Table 2: Number of individual consultants: 2010-2015

	2010	2011	2012	2013	2014	2015	Evolution 2014-2015
HQ	800	699	549	750	755	863	14%
% HQ	32%	26%	29%	32%	33%	29%	
Field*	1689	1981	1349	1626	1549	2147	39%
% Field	68%	74%	71%	68%	67%	71%	
Total	2489	2680	1898	2376	2304	3010	31%

* Excluding contracts awarded by Brasilia office.

Table 2b: Number of individual consultants: by biennium

	2010/11	2012/13	2014/2015	Evolution 2012/13- 2014/15
HQ	1499	1294	1618	25%
% HQ	29%	29%	30%	
Field*	3670	2960	3696	24%
% Field	71%	71%	70%	
Total	5169	4254	5314	24%

* Excluding contracts awarded by Brasilia office.

Spending on individual consultant contracts

7. Total spending on consultant contracts in 2015 was 21% higher than in 2014 (9% higher in Headquarters; 29% higher in the field ([Table 3](#)); the field accounted for 64% of total spending on

consultant contracts in 2015. Table 3b shows overall spending on individual consultant contracts during the previous three biennia.

Table 3: Spending on Consultant Contracts (\$ thousand): 2010-2015

	2010	2011	2012	2013	2014	2015	Evolution 2014- 2015
HQ	10,150	8,743	6,765	8,011	8,900	9,726	9%
% HQ	42%	36%	37%	39%	40%	36%	
Field*	14,210	15,747	11,575	12,486	13,499	17,348	29%
% Field	58%	64%	63%	61%	60%	64%	
Total	24,360	24,490	18,340	20,497	22,399	27,074	21%

* Excluding contracts awarded by Brasilia office.

Table 3b: Spending on Consultant Contracts (\$ thousand): by biennium

	2010/11	2012/13	2014/15	Evolution 2012/13- 2014/15
HQ	18,893	14,776	18,626	26%
% HQ	39%	38%	38%	
Field*	29,957	24,061	30,847	28%
% Field	61%	62%	62%	
Total	48,850	38,838	49,473	27%

* Excluding contracts awarded by Brasilia office.

Source of funding of contracts

8. Total spending on consultant contracts financed by the regular programme (RP) rose by 74% between 2014 and 2015 (57% Headquarters; 91% in the field), from US \$5.5m to \$9.55m. This compares to RP spending on consultant contracts of \$2.2m in 2012 and \$3.7m in 2013. Spending on contracts financed from extrabudgetary sources (EXB) has increased slightly by 4% in 2015 (11% lower in Headquarters than in 2014; 12% higher in the field); and accounted for 65% of total spending on consultant contracts in 2015 (76% in 2014, 82% in 2013 and 88% in 2012). (Table 4).

Table 4: Spending on consultant contracts by source of funding: 2014 and 2015 (\$ thousand)

	2014					2015					Evolution 2014-2015	
	RP	%RP	EXB	%EXB	Total	RP	%RP	EXB	%EXB	Total	RP	EXB
HQ	2,633	30%	6,267	70%	8,900	4,126	42%	5,600	58%	9,726	57%	-11%
Field*	2,842	21%	10,657	79%	13,499	5,424	31%	11,924	69%	17,348	91%	12%
Total	5,475	24%	16,924	76%	22,399	9,550	35%	17,524	65%	27,074	74%	4%

* Excluding contracts awarded by Brasilia office.

Contracts by amount

9. Most consultants' contracts at Headquarters and the field continue to be under \$10,000: 81% and 82% respectively in 2015 compared to 77% and 82% respectively in 2014. Twenty-seven contracts over \$50,000 were issued in 2015 (1% of the total), compared to 19 in 2014; nine of these were at Headquarters and 18 in the field (see Table 5, Annex I).

10. The average amount spent per individual consultant contract issued fell by 15% (to \$5,551) between 2014 and 2015 at Headquarters, and by 10% (to \$6,076) in the field (excluding Brasilia Office) during the same period (see Table 6, Annex I).

Duration of contracts

11. Most consultant contracts are for short periods, typically under three months. Table 7, Annex I shows that 79% of contracts issued at Headquarters and 76% in the field in 2015 were for less than three months compared with 74% and 73% respectively in 2014. Five percent (5%) of contracts at Headquarters and 8% in the field in 2015 were for over six months.

Contracts by Sector/Bureau at Headquarters and the field

12. Most spending on consultants at Headquarters continues to support UNESCO's programme directly (see Table 8, Annex I). Education, Science, Communication and Information, Culture and Social and Human Sciences accounted for about 82% of overall spending in Headquarters in 2015, compare to 80% in 2014, with three sectors – Culture, Education and Science – being responsible for 45% of the contracts issued in 2015, and for 68% of the total spending.

13. In the field offices in 2015, 95% of overall spending on consultant contracts in the field was related to activities in the programme sectors, with Education sector being responsible for 55% of spending comparing to 54% in 2014.

14. The data on spending on consultant contracts by the thematic area of the activity will be made available at the 200th session of the Executive Board in an INF document.

Gender, nationality and retired staff

15. The Consultant's policy requires managers to give consideration to gender and geographical balance where there is equal competence among candidates. Managers are encouraged to seek local expertise for local projects, wherever possible. Moreover, the approval of the ADG, Director of Bureau/Field Office is required if the contract is to be awarded to a former UNESCO staff member.

16. At Headquarters and field combined, 29% of consultants granted contracts in 2015 were from Group 1 countries (32% in 2014); 24% from Group III; 18% from Group V (Afr); 13% Group IV; 12% Group V (Arab) and 5% from Group II (see Table 9, Annex I).

17. At Headquarters, 61% of consultants awarded contracts in 2015 were from Group I countries (59% in 2014) accounting for 64% of total spending (62% in 2014). In the field, 17% of consultants granted contracts in 2015 were from Group I (19% 2014); they accounted for 25% of total spending (33% in 2014). 30% of consultants in 2015 were from Group III; 22% from Group V (Afr), 14% from Group V (Arab), 14% from Group IV, and 4% from Group II.

18. Table 10, Annex I shows the nationality of consultants hired in 2015 by the Group in which the awarding office is located; and confirms and reinforces the practice of local recruiting for local projects. 62% of the consultants hired by offices in Group 1 countries were nationals of Group 1 countries. In other regions, the percentages range from 64% to 88%: for example, 80% of consultants hired by Group V (Arab) offices were nationals of Group V (Arab) countries, while 88% of the consultants hired by Group III offices were nationals of Group III countries.

19. Fifty percent (50%) of consultants hired in Headquarters in 2015 were women (46% in 2014). In field offices the corresponding figures remained at 41% as in 2014. Overall, 43% of consultants hired in 2015 were women, the same as in 2014. (Table 11, Annex I).

Retired staff

20. The number of retired staff members awarded a consultant contract increased in 2015, from 22 in 2014 to 50 in 2015, 32 at Headquarters (total cost of \$0.125m) and 18 in the field (\$0.054m). Overall, at Headquarters and the field, retired staff represented in 2015 2% of all consultants hired (comparing to 1% in 2014) and 1% of overall spending (the same as in 2014). (see Table 12, Annex I)

One-dollar consultant contracts

21 One-dollar contracts are granted to individuals hired for special representational duties or to former staff to ensure a smooth transition of expertise and institutional memory. All such one-dollar contracts must have the prior approval of the Office of the Director-General. Seven individuals were granted such a contract.

Financial and administrative implications

22. There are no financial or administrative implications arising from the information presented in this report.

Proposed decision

23. The Executive Board may wish to adopt a decision along the following lines:

The Executive Board,

1. Recalling 197 EX/Decision 5 (V, B),
2. Having examined document 200 EX/5 Part IV (A),
3. Takes note of the data, analyses and qualitative information presented in this document;
4. Encourages the Secretariat to continue its efforts to improve wider geographical distribution and a better gender balance in the hiring of consultants where qualifications are equal;
5. Invites the Director-General to report to it at its 202nd session on the use of consultants and the implementation of the revised policy on individual consultants and other specialists.

ANNEX I

STATISTICS ON CONSULTANT CONTRACTS ISSUED AT HEADQUARTERS AND THE FIELD (excluding Brasilia)

1. Table 1 and chart show the number of individual consultant contracts issued at Headquarters and in the field (excluding Brasilia Office) for each year between 2010 and 2015.

Table1: Number of individual consultant contracts: 2010-2015

	2010	2011	2012	2013	2014	2015	Evolution 2014-2015
HQ	1248	1084	840	1111	1368	1752	28%
% HQ	37%	31%	33%	35%	41%	38%	
Field*	2107	2417	1741	2109	2005	2855	42%
% Field	63%	69%	67%	65%	59%	62%	
Total	3355	3501	2581	3220	3373	4607	37%

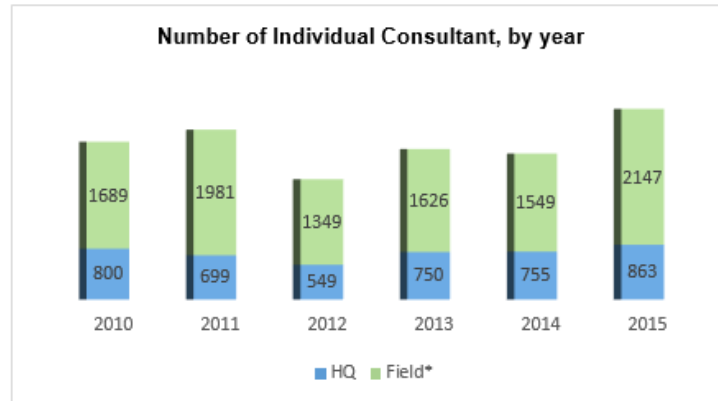


2. Table 2 and chart show the number of individual consultants awarded contracts at Headquarters and in the field (excluding Brasilia Office) for each year between 2010 and 2015.

Table 2: Number of individual consultants: 2010-2015

	2010	2011	2012	2013	2014	2015	Evolution 2014-2015
HQ	800	699	549	750	755	863	14%
% HQ	32%	26%	29%	32%	33%	29%	
Field*	1689	1981	1349	1626	1549	2147	39%
% Field	68%	74%	71%	68%	67%	71%	
Total	2489	2680	1898	2376	2304	3010	31%

* Excluding contracts awarded by Brasilia office.



* Excluding contracts awarded by Brasilia office.

3. Table 3 and chart show overall spending on individual consultant contracts awarded at Headquarters and in the field (excluding Brasilia Office) for each year between 2010 and 2015.

Table 3: Spending on Consultant Contracts (\$thousand), by year

	2010	2011	2012	2013	2014	2015	Evolution 2014- 2015
HQ	10,150	8,743	6,765	8,011	8,900	9,726	9%
% HQ	42%	36%	37%	39%	40%	36%	
Field*	14,210	15,747	11,575	12,486	13,499	17,348	29%
% Field	58%	64%	63%	61%	60%	64%	
Total	24,360	24,490	18,340	20,497	22,399	27,074	21%

* Excluding contracts awarded by Brasilia office.



* Excluding contracts awarded by Brasilia office.

4. Table 4 shows the overall spending on individual consultant contracts awarded at Headquarters and in the field (excluding Brasilia Office) in 2014 and 2015 by source of funding.

Table 4: Spending on consultant contracts by source of funding: 2014 and 2015 (\$ thousand)

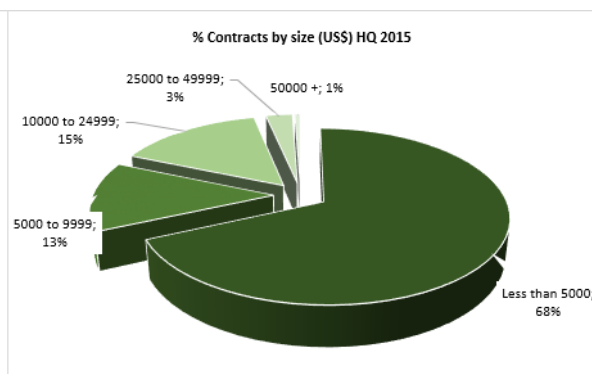
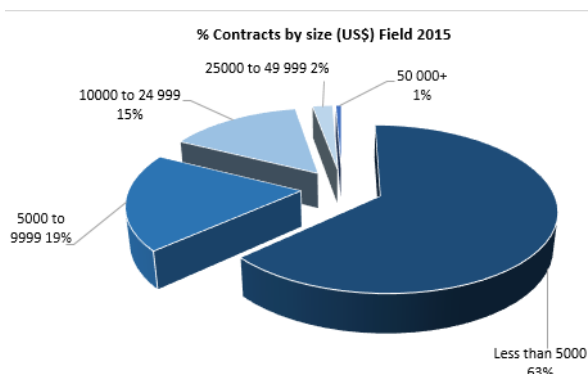
	2014					2015					Evolution 2014-2015	
	RP	%RP	EXB	%EXB	Total	RP	%RP	EXB	%EXB	Total	RP	EXB
HQ	2,633	30%	6,267	70%	8,900	4,126	42%	5,600	58%	9,726	57%	-11%
Field*	2,842	21%	10,657	79%	13,499	5,424	31%	11,924	69%	17,348	91%	12%
Total	5,475	24%	16,924	76%	22,399	9,550	35%	17,524	65%	27,074	74%	4%

* Excluding contracts awarded by Brasilia office.

5. Table 5 and the pie-charts show total spending on consultant contracts awarded at Headquarters and the field (excluding Brasilia Office) in 2014 and 2015, by size of contract.

Table 5: Number of consultant contracts by size of contract: 2014 and 2015 (US dollar)

	HQ				Field				Total 2014		Total 2015	
	2014	%	2015	%	2014	%	2015	%				
Less than 5000	768	56%	1200	68%	1214	61%	1812	63%	1982	59%	3012	65%
5000 to 9999	283	21%	229	13%	412	21%	546	19%	695	21%	775	17%
10000 to 24999	272	20%	265	15%	295	15%	416	15%	567	17%	681	15%
25000 to 49999	43	3%	49	3%	67	3%	63	2%	110	3%	112	2%
50000 and over	2	0%	9	1%	17	1%	18	1%	19	1%	27	1%
Total	1368	100%	1752	100%	2005	100%	2855	100%	3373	100%	4607	100%



6. Table 6 shows the average amount spent on individual consultant contracts awarded at Headquarters and in field offices (excluding Brasilia Office) for each year between 2010 and 2015.

Table 6: Average amount of consultant contracts: 2010-2015

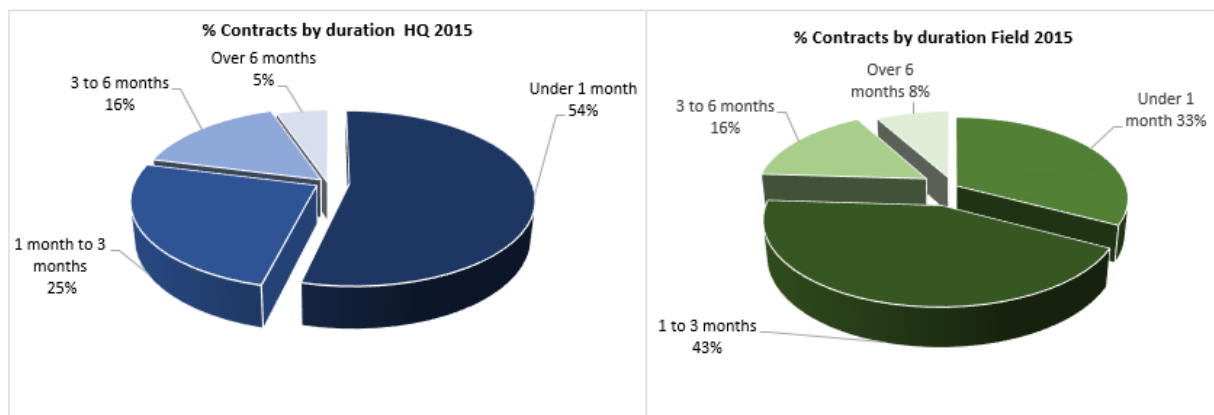
	2 010	2 011	2 012	2 013	2 014	2 015	Evolution 2014-2015
HQ	8 133	8 066	8 054	7 211	6 506	5 551	-15%
Field*	6 744	6 515	6 649	5 920	6 733	6 076	-10%
Total	7261	6995	7106	6366	6641	5907	-11%

* Excluding contracts awarded by Brasilia office.

7. Table 7 and the pie-charts show total spending on consultant contracts awarded at Headquarters and in the field (excluding Brasilia Office) in 2014 and 2015, by duration of contract.

Table 7: Number of consultant contracts by duration of contract: 2014 and 2015

	HQ				Field			
	2014	%	2015	%	2014	%	2015	%
Under 1 month	615	45%	945	54%	629	31%	933	33%
1 to 3 months	399	29%	440	25%	839	42%	1238	43%
3 to 6 months	249	18%	274	16%	368	18%	453	16%
Over 6 months	105	8%	93	5%	169	8%	231	8%
Total	1368	100%	1752	100%	2005	100%	2855	100%



8. Table 8 shows the number and spending on consultant contracts in 2014 and 2015 in Headquarters, by sector/bureau. Table 8b shows similar data for field offices, by sector/bureau.

Table 8: Number and spending on consultant contracts by sector/bureau: 2014-2015 (Headquarters)

2014					2015				
	Number	%	Amount (\$thousand)	%		Number	%	Amount (\$thousand)	%
ED	227	17%	1,813	20%	ED	249	14%	1,838	19%
SC	257	19%	2,248	25%	SC	279	16%	2,737	28%
	60	4%	0,577	6%		66	4%	0,577	6%
SHS					SHS				
CLT	226	17%	1,974	22%	CLT	262	15%	2,043	21%
CI	57	4%	0,597	7%	CI	100	6%	0,735	8%
ERI	136	10%	0,410	5%	ERI	274	16%	0,529	5%
AFR	10	1%	0,143	2%	AFR	8	0%	0,097	1%
MSS	279	20%	0,194	2%	MSS	185	11%	0,137	1%
CENT(1)	116	8%	0,942	11%	CENT(1)	329	19%	1,033	11%
Total	1368	100%	8,900	100%	Total	1752	100%	9,726	100%

(1) ODG, HRM, BFM, BSP, CRP, ETH and IOS

(1) ODG, HRM, BFM, BSP, CRP, ETH, IOS, KMI, GEN, LA

Table 8b: Number and spending on consultant contracts by sector/bureau: 2014-2015 (Field*)

	2014				2015			
	Number	%	Amount (\$thousand)	%	Number	%	Amount (\$thousand)	%
ED	965	48%	7,230	54%	1513	53%	9,601	55%
SC	293	15%	2,119	16%	317	11%	1,937	11%
SHS	124	6%	0,523	4%	114	4%	0,465	3%
CLT	363	18%	2,166	16%	516	18%	3,04	18%
CI	187	9%	0,950	7%	251	9%	1,416	8%
MSS	73	4%	0,511	4%	137	5%	0,875	5%
Total	2005	100%	13,499	100%	2853	100%	17,348	100%

* Excluding data for Brasilia Office

9. Table 9 shows the number and spending on consultant contracts awarded at Headquarters and the field for 2014 and 2015, by regional group of the individual consultant.

Table 9: Number of consultants and spending on contracts, by consultant region: 2014 and 2015

	Number Consultants at HQ				Amounts (\$ thousand)			
	2014	%	2015	%	2014	%	2015	%
Group I	442	59%	529	61%	5,513	62%	6,268	64%
Group II	40	5%	49	6%	0,430	5%	0,524	5%
Group III	72	10%	77	9%	0,999	11%	0,945	10%
Group IV	87	12%	77	9%	0,870	10%	0,796	8%
Group V(afr)	49	6%	72	8%	0,673	8%	0,533	5%
Group V(arab)	65	9%	59	7%	0,414	5%	0,660	7%
Total	755	100%	863	100%	8,900	100%	9,726	100%

	Number of consultants in the Field				Amounts (\$thousand)			
	2014	%	2015	%	2014	%	2015	%
Group I	298	19%	358	17%	4,415	33%	4,378	25%
Group II	95	6%	89	4%	0,347	3%	0,233	1%
Group III	368	24%	634	30%	2,477	18%	4,323	25%
Group IV	300	19%	311	14%	2,550	19%	2,879	17%
Group V(afr)	294	19%	463	22%	1,899	14%	3,074	18%
Group V(arab)	194	13%	292	14%	1,812	13%	2,461	14%
Total	1549	100%	2147	100%	13,499	100%	17,348	100%

	Number of consultants at HQ and Field				Amounts (\$thousand)			
	2014	%	2015	%	2014	%	2015	%
Group I	740	32%	887	29%	9,928	44%	10,646	39%
Group II	135	6%	138	5%	0,777	3%	0,757	3%
Group III	440	19%	711	24%	3,476	16%	5,268	19%
Group IV	387	17%	388	13%	3,420	15%	3,675	14%
Group V(afr)	343	15%	535	18%	2,572	11%	3,607	13%
Group V(arab)	259	11%	351	12%	2,226	10%	3,121	12%
Total	2304	100%	3010	100%	22,399	100%	27,074	100%

10. Table 10 shows the percentage of consultant contracts (based on number) issued in 2015 by the regional group of the individual consultant and awarding office (Headquarters and field combined).

Table 10: Nationality of consultants hired in 2015 by regional group of awarding office

Regional group of Consultant	Regional group in which office is located						
	I	II	III	IV	V(afr)	V(arab)	Total
I	62%	14%	11%	22%	13%	16%	29%
II	7%	86%	0%	13%	0%	1%	5%
III	9%	0%	88%	1%	0%	0%	24%
IV	9%	0%	0%	64%	1%	2%	13%
V(afr)	8%	0%	1%	1%	82%	1%	18%
V(arab)	6%	0%	0%	0%	3%	80%	12%
Total	100%	100%	100%	100%	100%	100%	100%

11. Table 11 shows the number of individual consultants hired in 2014 and 2015 at Headquarters and field, by gender.

Table 11: Number of consultants hired in 2014 and 2015: by gender

	HQ		Field		HQ and Field	
	2014	2015	2014	2015	2014	2015
M	409	430	911	1275	1320	1705
%M	54%	50%	59%	59%	57%	57%
F	346	433	638	872	984	1305
%F	46%	50%	41%	41%	43%	43%
Total	755	863	1549	2147	2304	3010

Excluding data for Brasilia office

12. Table 12 shows the number and spending on consultant contracts issued at Headquarters and the field in 2012 and 2013 to former UNESCO staff members.

Table 12: Number and spending on contracts awarded to former staff: 2014 and 2015

		Number of individual consultants	Retired Staff	%	Spending retired staff (\$thousand)	%
2014	HQ	755	13	2%	0,105	1%
	Field *	1549	9	1%	0,045	0%
	Total	2304	22	1%	0,15	1%
2015	HQ	863	32	4%	0,125	1%
	Field *	2147	18	1%	0,054	0%
	Total	3010	50	2%	0,179	0,7%

*Excluding data for Brasilia office

ANNEX II**CONSULTANT CONTRACTS IN UNESCO BRASILIA OFFICE****Number and amount**

1. Table A shows that 737 consultant contracts were awarded by Brasilia Office in 2015, 19% less than in 2013. Overall spending (calculated in USD) in 2015 was 79% less than in 2014, at \$12,110 million (using December 2015 exchange rate).

Table A
Number and Amount of Consultant Contracts
Brasilia Office 2010-2015

	Individual Contracts			
	Number		\$ thousand	
2010	1165	1954	28,306	50,003
2011	789		21,697	
2012	803	1804	22,984	51,929
2013	1001		28,945	
2014	879	1616	21,680	33,790
2015	737		12,110	

2. Six hundred and eighty-two individual consultants were hired during 2015. Six hundred and seventy-nine (99.9%) were nationals of countries in Group III, while 64% were female.

Source of funds

3. Table B shows that as in 2014, 99.9% of overall spending on consultant contracts in 2015 was financed from extrabudgetary sources.

Table B
Spending on Consultant Contracts by source of funding
Brasilia Office 2010-2015

	Amount (\$thousand)					
	RP		ExB		Total	
2010	2,526	2,591	25,780	47,412	28,306	50,003
2011	0,065		21,632		21,697	
2012	0,000	0,055	22,984	51,874	22,984	51,929
2013	0,055		28,890		28,945	
2014	0,004	0,014	21,676	33,774	21,680	33,790
2015	0,012		12,098		12,110	

Contracts by amount

4. Table C shows that 87% of consultant contracts awarded in 2015 were less than \$25,000 compared to 61% in 2014; 1% of the contracts were for over \$50,000 (5% in 2014).

Table C
Number of Consultant Contracts by amount
Brasilia Office 2014 and 2015

Amount (\$)	Individual Contracts			
	2014	%	2015	%
Less Than 5000	16	2%	75	10%
5000 to 9999	77	9%	142	19%
10000 to 24999	443	50%	426	58%
25000 to 49999	303	34%	89	12%
50000 and over	40	5%	5	1%
Total	879	100%	737	100%

Duration of contracts

5. Table D shows that 17% of consultant contracts awarded in 2015 were for less than three months, compared with 9% in 2014; 61% were for over six months (60% in 2014).

Table D
Number of Consultant Contracts by duration
Brasilia Office 2014 and 2015

	Individual Contracts			
	2014	%	2015	%
Less than 1 month	3	0,5%	25	3%
1 to 3 months	75	8,5%	101	14%
3 to 6 months	277	31%	162	22%
Over 6 months	524	60%	449	61%
Total	879	100,0%	737	100,0%



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Educational, Scientific and
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FOLLOW-UP TO DECISIONS AND RESOLUTIONS ADOPTED BY THE EXECUTIVE BOARD AND THE GENERAL CONFERENCE AT THEIR PREVIOUS SESSIONS

PART IV

HUMAN RESOURCES ISSUES

SUMMARY

B. Human resources management strategy

Section 1: Report on the implementation of the Human resources management strategy for 2011-2016

Pursuant to 197 EX/Decision 5 (V, C) and 197 EX/Decision 5 (V, D), the Director-General submits a full report on the implementation of the human resources strategy for 2011-2016, including information on the implementation of the priority issues as set out in the action plan.

Section 2: Proposals for a Human resources management strategy for 2017-2022

Pursuant to 199 EX/Decision 5 (III, D), the Director-General submits proposals for a Human resources management strategy for 2017-2022.

Action expected of the Executive Board: Proposed decision in paragraph 69.



B. Human resources strategy

Section 1: Report on the implementation of the Human resources management strategy for 2011-2016

(Follow-up to 197 EX/Decision 5 (V, C) and 197 EX/Decision 5 (V, D))

1. At its 197th session, in October 2015, the Executive Board asked the Director-General to submit a full report on the implementation of the Human Resource Management strategy for 2011-2016, including information on the implementation of the priority issues as set out in the action plan. It should be recalled, that following the External Audit report on the forward looking management of jobs, staffing and skills, the Executive Board had asked the Director-General to develop a revised, time-bound action plan for addressing priority issues in the human resource management strategy for 2011-2016, taking account the External Auditor's recommendations.
2. The Executive Board also requested that this report would incorporate a report on the implementation of the IOS recommendations on the Audit of the Recruitment Process for International Staff as well as all other human resources audit recommendations (197 EX/Decision 5 (V, D)).
3. Updates on progress on the implementation of the Human Resource Management Strategy were provided to the General Conference and the Executive Board in 2015 (38 C/INF.13 and 197 EX/5 Part V) and in 2013 (37 C/INF.11 and 191 EX/5 Part IV).

Progress as of June 2016

4. The Human Resource Management Strategy was adopted by the General Conference in November 2011. Since that date, and despite the budgetary situation which unfolded at the time, a number of process improvements have been achieved, and new and updated policies have been put into place. Some activities, however, had to be postponed or slowed down. The activities mostly impacted by the budgetary situation related to outreach, learning and HR planning. There was no corporate training budget for 2012-2013, nor for 2014-2015. Training activities for staff members were therefore very limited. The training activities for the period 2012-2015 were mostly limited to internal and online trainings.
5. The key achievements since 2012 are set out below.
6. Within the first objective of improving the delivery capacity of UNESCO, through initiatives in recruitment, learning, planning, mobility, the following activities were implemented:
 - (a) A new e-recruitment system, reducing the processing time and increasing efficiency (2012) was introduced. New formats for vacancy announcements were implemented and systematic reference checks taken and documented.
 - (b) Outreach activities and missions resumed in 2014 to attract qualified external candidates, in particular from non- and under-represented countries.
 - (c) The Young Professional Programme (YPP) was re-launched in 2015 with 16 YPP candidates from non- and under-represented countries joining the Organization in 2016. A roster of shortlisted but not selected YPP candidates was set up to notify of future vacancies during the biennium.
 - (d) A number of measures in the Action Plan for the improvement of the geographical distribution was suspended due to the recruitment freeze. The percentage of represented Member States thus fell from 83% in 2012 to 78% in 2015. However, thanks to the YPP and resumed outreach activities, the trend is now reversed, and the ratio is now improving and reached 80% in June 2016.

- (e) In terms of gender parity, despite the halting of some measures of the Action Plan due to the recruitment freeze, overall gender parity has been achieved in the Organization, and at Director level the number of female Directors has increased from 24% in 2010 to 45% in 2016.
- (f) Partnerships were facilitated within the context of the new Loans and Secondments Framework put in place in 2012, with a view to obtaining complementary external expertise in support of UNESCO's programme. In this context, several new Partnerships were established with Government Institutions², Universities, and the Private Sector. Since 2012, 79 loans and 30 secondments have been implemented, the majority from the public sector. Junior Professional Agreements (JPO) were established with new donors (Azerbaijan, China, Qatar, Saudi Arabia). In addition, a sponsored internship programme was implemented with the Government of the People's Republic of China. A Volunteer programme has been put in place on a pilot basis, with a view to benefit from the knowledge, enthusiasm and expertise of volunteers in support of UNESCO's programmes. The programme will be rolled out end-2016.
- (g) An updated geographical mobility policy was developed and issued in 2013. A total of 220 geographical moves have taken place between January 2012 and June 2016, 52% of the moves were between field offices, 30% from Headquarters to the field and 18% from the field to Headquarters. The majority of staff in hardship duty stations have been reassigned on time. Mobility is an asset for promotion to P-4 posts and above as set out in the HR Manual.
- (h) Inter-agency mobility has continued to take place at a sustained pace, with a total of 50 moves since January 2012, of which 16 from other United Nations agencies to UNESCO and 34 from UNESCO to other Agencies.
- (i) A UNESCO Competency Framework was developed and implemented in 2016 with four core values, seven core competencies and six managerial competencies, which will all be embedded in key human resources processes. A competency-based interview guide has been piloted; while the training for managers is under development.
- (j) Generic job descriptions were implemented for key segments of Professional and support posts, covering 460 posts; and training on how to write job descriptions was conducted at Headquarters.
- (k) A new HRM website was put in place in 2012, supporting accessibility and transparency of HR initiatives, including HR data and statistics. A staffing profile with key HR data is now on line.
- (l) In 2013, a new e-Learning platform (LMS, Learning Management System) was made accessible to all staff at Headquarters and in the field. The platform includes all current e-learning modules, including selected modules made available by other United Nations agencies. It also points to innovative e-learning modalities such as MOOCs.
- (m) Learning was identified as a priority in the 2015 revised Action Plan, and the following initiatives have been implemented or are underway:
 - (i) A new web-based induction programme has been developed and is being piloted for new recruits.
 - (ii) A leadership programme for P-4 staff has also been developed and delivered.

² Notably with the Swedish Council for Higher Education and the Korean International Cooperation Agency (KOICA),

- (iii) With the reinforcement of the learning team with a learning specialist, some one-to-one coaching and Skype workshops are offered to staff, on demand, in support of career moves/career development.
- (iv) Under the *Invest For Efficient Delivery Plan*, a needs assessment was conducted and a new Learning Strategy developed, the core purpose of which is to improve programme design and delivery, by upskilling staff at Headquarters and in the field. The strategy is built on learning and development best practices and draws on lessons learnt from past learning initiatives, and also considering the impact of the absence of learning. The Strategy covers key priority areas such as resource mobilization, professional competencies for programme delivery, management and leadership (see Section 2 below).
- (n) An updated Performance Assessment policy, supported by a new tool (My-Talent Performance), simplifying the process and enhancing accountability of supervisors and managers was promulgated; it encompasses all staff including Directors and Heads of Field Offices, as well as Senior Management for whom separate Performance Agreements are established.
- (o) A more flexible policy on contracts has been developed with the implementation of the Project Appointments in May 2012, within the ICSC contractual framework. A revised policy on temporary assistance (service contracts and short-term contracts) was introduced in 2015.
- (p) With the assistance of KMI, workflows have been implemented to rationalize and accelerate administrative processes and cut down on paper.
- (q) The revised Standards of Conduct for the International Civil Service were issued in 2013, and a booklet with concrete examples was issued by UNESCO in support of the dissemination of the Standards. A Declaration of Interest and Financial Disclosure Programme was implemented in 2013. Mandatory Ethics Training is in place.
- (r) UNESCO's participation in inter-agency networks has continued to be very active.

7. Among the actions which are still in progress, and are proposed for inclusion in the new HR strategy, are the initiatives for the development of HRM staff capabilities, actions to improve HR service delivery, HR process review, simplification, delegation of authority, as well as delivery of HR training.

8. The second objective of the Human resources management strategy focused on the strengthening of the field presence and the intersectorality. The ratio of field/Headquarters³ staff has increased to 40/60 in June 2016, compared to 34/66 at the end of 2011, which shows a reinforcement of the field vs Headquarters. The vacancy rate (Regular Budget and extrabudgetary funded posts) in the field improved to 15% in June 2016 (from 26% in August 2014, a high rate due to the recruitment freeze). Given that the majority of the field posts are under recruitment, it is anticipated that the vacancy rate will improve by end-2016.

9. The issue of the strengthening of the field network will be further discussed in the context of the examination of the item on the Sustainability of the Field Network under the \$507 million expenditure plan.

10. The third objective of the Human resource management strategy focused on HR Planning, which was also identified as a priority. A dashboard has been developed with key HR indicators, in support of HR planning by Sectors/Bureaux. Further work with Sectors/Bureaux will be initiated in

³ Excluding category 1 institutes.

the coming months, in particular with regards to the identification of critical posts/hard to fill posts at a three-year horizon. A template has been developed and will be piloted.

11. Finally, following IOS's Audit Report on the recruitment process for international staff in October 2015, HRM has started to implement the Action Plan and has initiated the review of the Recruitment Policy, taking into account all IOS recommendations. In a first stage, the Staff Regulations and Staff Rules on the external recruitment were amended, so that all posts are now advertised externally for one month. Consultations with the Advisory Committee on Policy Proposals on the revised policy and Human resources manual provisions have started; with a planned implementation date of January 2017.

Section 2. Proposals for a Human resources management strategy for 2017-2022 (Follow-up to 199 EX/Decision 5 (III, D))

1. In April 2016, at the 199th session of the Executive Board, the Director-General presented preliminary proposals for a Human resource management strategy for 2017-2022. In its decision, the Executive Board, while taking note of the proposals, reaffirmed the principles of equitable geographical representation and gender equality, and the need to improve the transparency in the recruitment process. It further requested the Director-General to submit to it a comprehensive Human resources management strategy at its 200th session.
2. The Human resources strategy was developed through a consultative process soliciting inputs from Member States, senior management and Staff Associations. Account was taken of the recommendations of the external/internal auditors.

Human Resources Strategy for 2017-2022

Context

3. As a specialized Agency and a knowledge-based Organization, UNESCO depends on highly skilled, highly performing, flexible and engaged staff. UNESCO's Human Resources (HR) Strategy is, therefore, fundamental to the success and to the future of the Organization. The 2030 Agenda for Sustainable Development provides ambitious and exciting challenges ahead. UNESCO and its staff must get ready to address these challenges.

4. As a fundamental premise, the Human resources strategy must be grounded in UNESCO's global strategy.

5. What does this Human resources strategy set out? It sets out what UNESCO intends to do about its human resource management policies and practices and how they should be integrated with the business strategy. The **Medium-Term Strategy 2014-2021** (37 C/4) reaffirms that the greatest resource of UNESCO is a skilled, motivated and dedicated workforce of the highest competence and integrity, geographically diverse and gender balanced, empowered to achieve the Organization's missions and strategic objectives through a commitment to managing for results⁴. The Medium-Term Strategy points to the challenge of ensuring that staff skills and competencies continue to be of the highest standards to support UNESCO delivery capacity and competitive edge in a multilateral environment. The Medium-Term Strategy also highlights the need for modernizing UNESCO's human capacity and for adopting flexible approaches, as well as integration/harmonization with the United Nations Common system and the values of the international civil service.

6. The proposed HR Strategy provides the overall direction for HR transformation at UNESCO. It is aligned with and contributes to organizational efficiency and effectiveness as outlined in the Medium-Term Strategy.

What is the objective of the Human Resources Strategy? To ensure capacity delivery for the Sustainable Development Goals.

7. At the global level, the next 15 years will focus on the delivery of the **2030 Agenda for Sustainable Development**. This universal, ambitious and innovative agenda will require a well-coordinated, nimble, and flexible United Nations system able to support countries collaboratively to deliver on their sustainable development commitments. This is a major, ambitious, collaborative effort that UNESCO will undertake together with other Organizations of the United Nations system.

⁴ 37 C/4, paragraphs 109-111.

The HR Strategy for 2017-2022 will aim at ensuring that UNESCO has the capacity to effectively deliver on the Sustainable Development Goals (SDGs).

8. The workforce is at the core of the capacity to deliver: UNESCO will therefore need a highly performing, highly skilled, and fully engaged workforce; a workforce that will be more flexible and more mobile, prepared to embrace new professional challenges. A workforce with a greater geographical diversity and a sustained gender balance, at all levels.

9. Agility is a key success factor in our ability to respond to these challenges effectively. One key driver of agility is speed in deployment and simplicity in administration, while proactively addressing quality of the work force, their well-being, as well as responding to the expectations of today's work force to remain attractive and competitive as an employer.

Key design principles of the Human Resources Strategy

10. The Human Resources Strategy must be purpose built, realistic, achievable and must take into account the budgetary reality. The Human Resources Strategy should also contribute to bring all parts of UNESCO into One UNESCO and close the Headquarters/field/category 1 institutes divide.

11. Impact, sustainability, innovation and cost efficiency will be key guiding principles. Each proposed action shall aim at supporting programme delivery and – ultimately – implementation of the SDGs. Actions will be guided by a drive for simplification.

12. The Human Resources Strategy will also highlight the shared responsibility of all line managers, senior management and staff, in partnership with HR professionals, in its implementation.

13. The Human Resources Strategy is supplemented by an implementation plan, which describes the initiatives relating to each main objective, the performance indicators, the timeframe for implementation and the key actors (Annex I).

14. The Human Resources Strategy for 2017-2022 will be a rolling strategy, which may be adapted as required, should new challenges or opportunities arise.

Focus of the Human Resources Strategy

15. For 2017-2022, the Human Resources Strategy will focus on the **building of staff capabilities for the SDGs** and on the **creation of an engaging and enabling work environment**.

1. Strengthen Staff Capabilities for the Sustainable Development Goals

16. UNESCO needs a competent workforce who have the right profile, skills and attitude; and who are engaged, flexible, mobile and eager to learn and develop. This part focuses on attracting the right staff, with a strong emphasis on quality and diversity; including on how to address the assessment of the capability, the identification of gaps, and the strategies to address these gaps. This is also about attracting the right talent from outside UNESCO. This section also focusses on retaining and developing staff; ensuring that skills and competencies remain current, at the cutting edge, and competitive.

17. These objectives will be met through a robust competency development framework, reinforced HR planning, strong and efficient Recruiting, enhanced Mobility and relevant and up to date Learning.

Current staff profile

18. An overview of the profile of UNESCO staff is shown in [Annex II](#). As of June 2016, 49% of the total 2,078 UNESCO staff members work at Headquarters, while 33% work in Field Offices and 18% in Category I Institutes. By comparison, in 2011, 57% of staff worked at HQs (and in 2000, 68%). The majority are Professional staff of whom 44% (922) are International Professional and 7% (139) are National Professional staff; 4% (73) are Directors and above; General Service staff constitute 45% of the staff (944).

19. Over the past 6 years, the trend towards a workforce which is less Headquarters based, and with more staff in the Professional category than in support roles, has continued. Professional staff are mostly in Programme Specialists roles, with a majority in Education, followed by Culture and the Sciences Sector. International Professional staff are in majority at P-3/P-4 grades, that is at a confirmed, experienced level; 25% are in junior grades (P-1/2), and 14% in senior roles (P-5). Directors constitute 4% of the workforce.

20. The UNESCO workforce counts 170 nationalities; women make up for 55% of the staff; although their number has increased at senior levels with 45% female Directors, male staff remain a majority in managerial levels. Staff are, on average 47 years old, and count, on average, 11 years of service in UNESCO.

21. In terms of mobility, General Service staff have been on average for 8 years in the same post, while Professional staff count 5 years in the same post. Geographical mobility of Professional staff continues, with a 13% mobility rate in the past biennium, mostly within the field, but with an increasing number of moves from Headquarters to the Field.

22. There has been an annual 8% turnover rate since 2013, due to the high number of voluntary separations. The retirement rate remained stable at 3%. In 2016/17, it is anticipated that the turnover will be lower than 8%, and that it will decrease further between 2018-2022 with the increase of the mandatory age of separation to 65 years old as from January 2018⁵.

23. While the majority of staff are on posts funded by the Regular Programme (62%), the number of posts funded by Extra-Budgetary sources continues to increase from 29% in 2010 to 38% in 2016.

Getting the foundations right: Values and competencies must be internalized and demonstrated in day-to-day work

24. Values and competencies are central to the shaping of an Organization's culture, defined by "*the way things work around here*". They must be internalized and need to be demonstrated by all staff.

25. UNESCO's competency framework was introduced in 2016, following wide ranging consultations and supported by an information campaign. The competency framework sets out 4 values, 7 core competencies and 6 managerial competencies that are essential to excellence and outline the type of behaviors that are valued and should be demonstrated by all staff within the Organization

⁵ UNGA Resolution A/C.5/70/L.14 of December 2015 whereby the UNGA decided that "*the mandatory age of separation for staff recruited before 1 January 2014 should be raised by the organizations of the United Nations common system to 65 years, at the latest by 1 January 2018, taking into account the acquired rights of staff*". This requires an amendment of Staff Regulation 9.5., which will be submitted to the General Conference at its 39th session.



26. The four values are Commitment to UNESCO – Integrity – Respect for diversity – Professionalism.

27. The seven core competencies are: Accountability – Communication – Teamwork – Innovation – Results focus – Planning and Organizing – Knowledge sharing and continuous improvement.

28. The six managerial competencies are: Driving and managing change – Strategic thinking – Making quality decisions – Building Partnerships – Leading and Empowering others – Managing Performance.

29. Values and competencies will be embedded in all key Human Resource processes: Job design, recruitment and selection, learning and development.

Attracting and retaining the best

30. UNESCO must be considered as an employer of choice; where the experience of staff matches the external reputation that attracted them into the Organization. This involves advance planning and a strong emphasis on the quality of recruitment. It also requires a robust mobility culture and working with staff as their careers develop, to identify their skills and potential and to plan their next move.

31. **Workforce planning** tools and mechanisms will be put in place to assess current capabilities, identify the priority/strategic issues for the future and the staffing risks; build strategies and implement solutions to address the talent gaps, and manage the associated risks.

32. A comprehensive skills assessment will be planned, considering UNESCO's total workforce. Critical and hard to fill positions will be identified at a three-year horizon, and appropriate strategies developed to address staffing gaps. The outcome of the HR planning process will be a Workforce Plan i.e. an implementation contract between managers and the Bureau for Human Resources management, covering recruitment and also learning and development actions.

33. The HR planning process will be firmly integrated with the Programme and Budget planning, ensuring an HR intervention early in the C/5 planning process, and a timely identification of staffing gaps/needs with the Sectors/field offices.

34. **Recruitment and selection** processes will be made more rapid, transparent and efficient, leveraging new technologies, including social media. Rapidity and efficiency will be achieved through the simplification of the procedure; while preserving the requirement for transparency, through the advertisement of vacancies and the review by panels with staff and management composition.

35. Service Level Agreements will be put in place to ensure accountability of all responsible actors for a timely delivery. The target timeline for internationally recruited posts will be four to five months from the issuance of the vacancy notice to the selection decision.

36. Outreach strategies will be implemented to scout for talent and attract pools of qualified candidates from a diversity of regions and backgrounds. Attracting top quality candidates will be a key objective. Assessment Centres will be envisaged for senior positions, and for other positions where such techniques would add sufficient value to the selection process. Likewise, the use of recruitment firms shall be explored for specific posts, as required.

Achieving equitable geographical distribution

37. A diverse workforce is essential to the success of the Organization; and the requirement of an equitable geographical distribution is set out in the UNESCO Constitution. Action will continue to be taken in this respect, with as an objective, at least 85% of the 195 Member States represented in the Secretariat. Proactive work will be undertaken in cooperation with the Member States concerned, i.e. those that are under- and non-represented in the Secretariat. Enhanced geographical distribution at the Director level will also be pursued. An Action Plan for the Improvement of Geographical Distribution sets out all the measures which will be taken (Annex III).

Achieving gender equality

38. The promotion of Gender Equality is emphasized in one of UNESCO's core values: Respect for Diversity. Gender parity will continue to be given priority, with an overall 50% target to be achieved in the workforce at all levels. Specific efforts will be made to achieve parity at Director level. The principle of gender parity will not only be embedded in selection and recruitment, but also in learning and development and in career management. All the measures which will be initiated in support of gender friendly work environment are set out in the Gender Action Plan (Annex IV).

A managed mobility programme in support of UNESCO operations and staff development and growth

39. Mobility, both geographical and functional is essential to the Organization's success and is a key element for professional growth and development. Increased geographical mobility will also contribute to reduce the Headquarters and Field divide, and foster a One UNESCO. A well-managed mobility programme should support these objectives.

40. There remains a need to enhance mobility, both geographical and functional, particularly for staff who have remained for long periods in the same post and/or duty station. Action is also required to facilitate moves for young staff early in their careers.

41. At present, geographical mobility takes place on a voluntary basis. Enhanced mobility will be required, in particular in view of the anticipated low turnover rates in future years. To enhance mobility, a **managed mobility** programme will be introduced which will cover functional and geographical mobility for Professional staff and functional mobility for General Service staff. Support for mobility and assignments outside UNESCO will be explored. Short-term assignments within the Organization will expose staff to learning and cross fertilization of ideas and knowledge.

Learning, an imperative in a knowledge-based Organization

42. To be in a position to address the challenges of the Sustainable Development Goals, UNESCO must create a **learning culture** in which staff are afforded the opportunities to not only close the capability gap but to go beyond and excel in their field, with the skills and knowledge required to deliver on the SDGs. Investing in UNESCO's current staff is essential, in particular as turnover is expected to be low.

43. To bridge the learning gap (there was no corporate training offer since 2012), there is a need for targeted time and financial investment in learning, to address not only the need to build skills and capabilities, but also to improve staff engagement and retention.

44. A learning strategy comprising a comprehensive, and ambitious package of learning initiatives has been developed and will be implemented under the **Invest For Efficient Delivery**

plan.⁶ The core purpose of the learning strategy is to improve programme design and delivery, by upskilling staff both at Headquarters and in the field.

45. The learning strategy is built on learning and development best practices, on other organizations' experiences, and lessons learnt from UNESCO, from evaluating the impact initiatives of past learning initiatives or through considering the impact of the absence of learning.

46. The learning strategy is built around the principle of flexible, learner-driven development, and learning efficiency; the approach is pragmatic and based on bite-sized learning, just in time access and social learning. This will be achieved through a mix of blended learning, a combination of face-to-face, webinars and on line learning. Technology will be maximized to facilitate learning in a connected, fast moving, collaborative work environment. Mobile and video learning are examples of innovative HR digital experiences with potential high impact, which will be explored.

47. This investment in training will lay the foundations for moving to a 70:20:10 approach in the future. In the 70:20:10 model, 70% of learning comes from on the job experience and practice, or activities such as short-term assignment; 20% through interaction with other people, and 10% from formal learning programmes. This approach requires a strong base of knowledge and skills, so that learners can benefit from the on-the-job experience and a critical mass of trained colleagues who can pass on knowledge and skills.

48. The learning initiatives target the priority areas of resource mobilization, professional competencies for programme delivery, management and accountability, programme delivery at country level within the United Nations system, Leadership, Corporate applications and IT tools and the strengthening of UNESCO's decentralized evaluation function. Other initiatives may also need to be developed to address specific technical skills required by Programme staff for the SDG delivery.

49. The enhancement of the professional competencies will address the skills that have a direct bearing on the outcomes of programme delivery: programme/project management; communication and interpersonal skills and Gender Equality and gender mainstreaming.

50. In most cases, specific modules will target each population; while some training will be compulsory for all staff (security, ethics, Gender Equality). The design, development and testing of modules will take place in 2016-17; training will start in 2017 for delivery over the following years. Mentoring programmes and other initiatives will also be part of the learning offer.

51. The learning initiatives under the "Invest for Efficiency Delivery Plan" will establish a culture of learning and get skills up to speed, after a hiatus of four years with an absence of sustained and structured learning. In support of the learning culture, the learning policy will be changed to include a minimum period of learning time per year to facilitate skill and knowledge development.

2. Create an enabling and engaging work environment

52. UNESCO needs to create an engaging and enabling work environment in which everyone is able to maximize their contribution, individually and through teams, and their wider networks. This requires optimal design, in terms of workforce, structure, and jobs. Staff need clarity of their roles, and a vision of potential career paths within the Organization. An enabling work environment means an inclusive workplace, which nurtures talent and fosters staff motivation.

⁶ In 199 EX/5 Part II.

An optimal design for the Organization

53. A review of contractual modalities will be undertaken, to ensure that they fit the purpose of a flexible workforce, composed of staff serving over the longer term, as well as specialized expertise for limited periods. The duration of contracts will be adjusted; currently UNESCO staff hold – in their majority – two-year renewable contracts. Contracts are renewed every two years, routinely, except where performance issues arise. This is a resource-intensive process which does not add particular value. To address this, contracts of up to five years will be introduced, with an initial two-year contract at the recruitment stage.

54. The contractual review will also seek to ensure that contractual modalities are used appropriately. Currently, UNESCO's workforce includes staff and "non-staff" contracts holders. The latter have a different status and conditions of service as compared to international civil servants. The presence of non-staff is particularly high in field offices, with more than 700 service contract holders. A review of the service contracts will be conducted, in consultation with other United Nations agencies, with a view to ensure that these contracts are being used appropriately.

Foster partnerships

55. Complementary human resources secured through partnerships with Member States, institutions, NGO's etc. have proven mutually beneficial for UNESCO and for the donor institution; for UNESCO, in times of financial constraints, it is a unique way to benefit from additional time-limited expertise and skills in support of programme delivery, in a cost effective way. A strategic framework for human resource partnerships will be developed; current partnerships will be consolidated and new partnerships will be sought, also taking into account the need to ensure geographical diversity among partners.

Job profiles and career paths

56. In terms of the individual staff roles, generic job profiles will be rolled out for a majority of typical jobs in the Organization, job titles will be harmonized and career paths developed and communicated, providing information, in terms of skills and competency requirements to staff on the career streams in the Organization. Talent reviews could be explored for staff who have been in the same function for five years or more.

An inclusive workplace

57. An inclusive workplace is one that values and recognizes individual contribution, but also the value of teamwork; one that promotes transparency and ethical behavior, as well as the duty of care; one that provides a healthy and safe work environment for all. An engaging work environment is underpinned by a management and leadership culture, based on transparency, coaching and feedback, in which individual strengths are leveraged.

58. **Team recognition** will be valued, and recognized. The Team Awards programme will be revitalized, to reward successful projects emblematic of a strong team spirit.

59. A culture of recognition will be fostered, and supervisors and managers equipped with the skills to provide meaningful feedback and staff recognition. The managerial competency "management of performance" sets out the actions which managers need to take to foster performance. Behaviours the Organization wants to promote such as innovation, collaboration and knowledge sharing will be acknowledged: they are established as core competencies, and will therefore be strongly promoted.

60. **Transparency** of information is important for the building of trust and to support a positive work atmosphere. HRM will **communicate** on Human resources management issues in a timely and simple manner. Effective staff management relations are an important feature of an

Organization's life, and HRM will ensure that joint staff consultative bodies will continue to play their fullest role in advising on HR policies and the wellbeing of staff.

61. **Ethics** will continue to be high on the agenda, with the roll out of the Ethics Training mandatory for all staff. The **internal justice system** will be reviewed with a view to ensure that complaints are handled within reasonable time-frames, and with a view to make the process more efficient, and effective, both for the complainants and for the Administration.

62. A healthy and safe environment will also continue to be high on the HR agenda. In this context, the consultative committee on **Occupational Health** will be revitalized in the context of the Occupational Health policy.

63. **A flexible work framework** will be implemented to enable staff to work remotely. Telework will be made possible for staff whose functions support such arrangements, and where it enhances efficiency and productivity. Other flexible work modalities will be envisaged, where possible, leveraging best use of ICT tools. The existing modalities, such as parental leave will be reviewed to ensure that they continue to meet the existing and future needs. Flexible work modalities would acknowledge the needs and expectations of a diverse workforce, particularly younger staff, foster engagement and motivation, and enhance UNESCO's standing as an employer of choice.

HRM as an enabler of programme delivery

64. HRM will ensure that it is a trusted business partner that adds value and delivers solutions in support of programme delivery. A client-orientation approach will be emphasized and implemented. This will include systematic work on process simplification, and a process by process review; work on delegation of authority, with a view to devolve more responsibility and accountability of line managers; and the introduction of Service Level Agreements for key HR transactions, with a view to increase efficiency and a monitoring mechanism of HRM performance.

65. HR data analytics will be better utilized to guide decisions, and will be made available to managers on their screens, through dashboards. HRM will work jointly with KMI to deliver in this respect.

66. The professionalization of HR and its quest for adding value will therefore be at the heart of HRM's mission for the years to come. HRM will strive to become an enabler and builder of the Organization's talent.

Active contributor on HR good practice in the United Nations Common System

67. HRM will continue to play an active role in support of the United Nations Common System. It will actively contribute to the promotion and sharing of good HR practices, among Directors of Human Resources of the United Nations agencies, in the context of the Human Resource Network. Knowledge sharing will continue to be actively pursued, with an active participation in the communities of practice of the HR Network. Where possible, measures to contain or reduce staff costs will be envisaged, on the basis of other United Nations agencies' practices, while ensuring the preservation of competitive conditions of service.

3. Monitoring and Reporting

68. The strategy is supplemented by an implementation plan ([Annex I](#)). HRM will ensure regular monitoring of the progress on implementation through a dashboard established for this purpose. The Secretariat will report annually to the Governing Bodies on the implementation plan.

Proposed decision

69. The Executive Board may wish to adopt a decision along the following lines:




B





The Executive Board,

1. Having examined document 200 EX/5 Part IV (B), Sections 1 and 2,
2. Recalling 197 EX/Decision 5 (V, C), 197 EX/Decision 5 (V, D) and 199 EX/Decision 5 (III, D);
3. Takes note of the report on the implementation of the Human resources management strategy for 2011-2016;
4. Takes note of the proposal for a Human resources management strategy for 2017-2022;
5. Requests the Director-General to present the Human resources management strategy for 2017-2022 to the General Conference at its 39th session.










ANNEX I

UNESCO HUMAN RESOURCES MANAGEMENT STRATEGY FOR 2017-2022 IMPLEMENTATION PLAN

Objective 1. Strengthen Staff Capabilities for the Sustainable Development Goals												
Initiatives	Short Description	Performance Indicators	Time-frame						Responsible			Progress update
			2017	2018	2019	2020	2021	2022	HRM	Staff	Managers	
1. Implement Competency Framework for UNESCO staff	Integrate the UNESCO Competency Framework in Human Resources Processes: include competencies in job profiles, in the selection process, the performance management process and in the learning programmes. Systematically promote competencies and values with a view to internalize them and embed them in UNESCO's culture.	<p>Key competencies are included in Vacancy Notices.</p> <p>Interviews are systematically competency-based.</p> <p>Competency development needs are identified through performance assessment.</p> <p>Learning programmes are in place to develop targeted competencies.</p>							✓	✓	✓	
2. Develop and implement Workforce Planning	<p>Ensure that HR planning is integrated into the Programme and budget planning. Develop workforce planning tool, to assess current capabilities, identify staffing risks and gaps on a 3-year horizon.</p> <p>Develop a Workforce plan between managers and HRM to cover recruitment, learning and development actions.</p>	<p>Workforce plan developed and implemented with each Sector.</p> <p>Reduction in number of posts vacant after retirement.</p>							✓		✓	
3. Hire quality and committed candidates, with the skills required for the SDGs.	<p>Develop and implement outreach strategies to attract a diversity of top candidates. Use assessment techniques where suited. Simplify the procedure and process, while ensuring its transparency.</p> <p>Make the process more rapid, with a timeline of 4-5 months from the issuance of the vacancy notice to the selection decision. Implement a SLA and monitor compliance.</p>	<p>Timeline of 4-5 months complied with in 75% of posts recruited.</p>							✓		✓	

<p>4. Achieve a geographically diverse workforce at all levels.</p>	<p>Implement measures set out in the Action Plan to improve the geographical distribution (Annex II), in order to reduce the number of under-represented and non-represented Member States and increase the number of normally represented countries. Work with Member States concerned to identify best avenues to attract qualified candidates at all levels. Pursue the Young Professional Programme every biennium, starting from 2018.</p>	<p>85% Member States represented in the Secretariat by 2022.</p>							<p>✓</p>		<p>✓</p>
<p>5. Achieve Gender Equality at all levels.</p>	<p>Implement measures set out in the Action Plan to achieve Gender Equality (Annex IV), to ensure that the principle of Gender Equality is embedded in all HR processes; and that gender parity is achieved at all levels, in particular at the Director level and above. Put in place specific measures to support the development of women in managerial and leadership roles.</p>	<p>50% female staff at all levels, including at Director level and above by 2020. % of women trained in leadership/managerial programmes.</p>							<p>✓</p>	<p>✓</p>	<p>✓</p>
<p>6. Implement a managed mobility programme.</p>	<p>Develop and implement a managed mobility programme covering both geographical mobility for international professional staff and functional mobility for general service staff by 2018. Facilitate the movements of staff at P-1 to P-3 level early in their careers. Promote mobility, by making it a requirement for promotion to P-5 level. Implement short-term assignments to foster mobility.</p>	<p>Above 10% geographical mobility rate for International Professional staff per biennium. % of functional mobility per biennium. Number of moves of staff with more than 6 years in same post/function. Number of successful short-term assignments.</p>							<p>✓</p>	<p>✓</p>	<p>✓</p>
<p>7. Implement the learning package under the Invest for Efficient Delivery Plan to equip staff with the skills required for the SDGs.</p>	<p>Develop and implement learning initiatives under the “Invest for Efficiency Delivery Plan”. Target priority areas such as Resource Mobilization, Project management, Programme delivery at country level within the UN system, Leadership, Gender equality, Ethics, IT tools and corporate applications. Adopt flexible, blended learning approaches, and leverage technology. Introduce coaching and mentoring programmes as part of learning and development.</p>	<p>% of target population trained in each module. % of targeted staff coached Number of mentoring relationships in place for targeted staff</p>							<p>✓</p>	<p>✓</p>	<p>✓</p>

Create an enabling and engaging work environment

Initiatives	Short Description	Performance Indicators	2017	2018	2019	2020	2021	2022	HRM	Staff	Mger
8. Review the contractual framework to fit the need for a flexible workforce, whilst ensuring appropriate conditions of service.	<p>Review the duration of fixed-term contracts by 2018, and further streamline temporary contracts, as required.</p> <p>Review “non-” staff contracts, in consultation with other United Nations agencies, with a view to ensure appropriate use and conditions of service.</p>	<p>New Fixed-term contract duration implemented.</p> <p>Reviews carried out (temporary and non-staff).</p>							✓		
9. Implement an Organizational structure fit for purpose with generic roles, and clear career paths	<p>Develop and roll out generic job profiles for a majority of typical jobs in UNESCO.</p> <p>Develop career paths with competency and skills requirements for each of the main career streams in the Organization.</p>	<p>% of jobs covered by a generic job profile.</p> <p>Career paths developed for main identified career streams.</p>							✓		✓
10. Recognize team performance; support a culture of accountability and transparency, and promote Ethics.	<p>Review and implement the Team Award Programme.</p> <p>Conduct a staff survey every 2 years starting end 2017.</p> <p>Develop a Gift policy and guidance on Conflicts of Interest, with the Ethics Office.</p> <p>Communicate HR information regularly to staff and Member States, on the transparency portal and on intranet.</p>	<p>At least 2 teams rewarded per biennium.</p> <p>Staff surveys conducted.</p> <p>HR data published.</p>							✓	✓	✓
11. Foster an inclusive and healthy workplace.	<p>Implement Telework arrangements. Explore other flexible work modalities, as required. Develop and implement an Occupational Health Policy.</p> <p>Review the internal appeal system with a view to ensure reasonable delays.</p>	<p>Number of successful telework agreements put in place.</p> <p>Timeline of appeals reduced</p>							✓		✓
									✓		

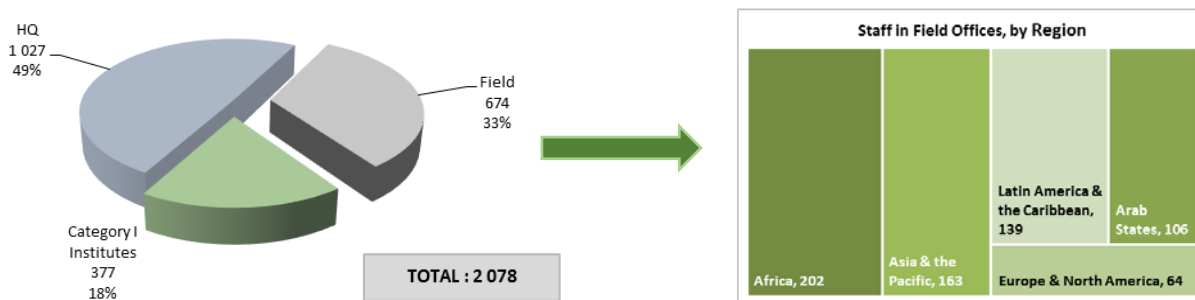
<p>12. Develop HRM staff capability and simplify key HR processes to improve operational effectiveness, including response time.</p>	<p>Develop key capabilities and skills for HR professionals, through learning and developmental assignments.</p> <p>Conduct a systematic review of staff rules.</p> <p>Simplify key HR processes.</p> <p>Establish Service Level Agreements for key HR processes, and monitor performance.</p>	<p>Number of development plans established to enhance HR competencies.</p> <p>75% of the key processes reviewed and simplified</p> <p>At least 50% of key HR processes have SLAs by 2019, the other half by 2021.</p>		<p>✓</p>		
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ANNEX II

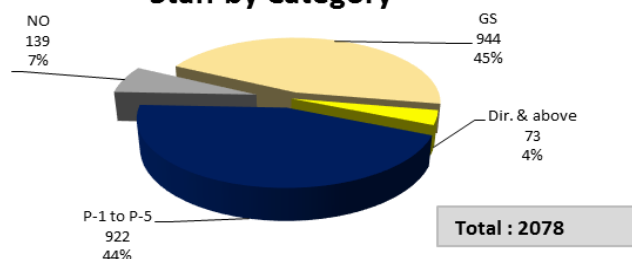
UNESCO STAFFING PROFILE⁷

Overall staff numbers and trends

Staff by Location

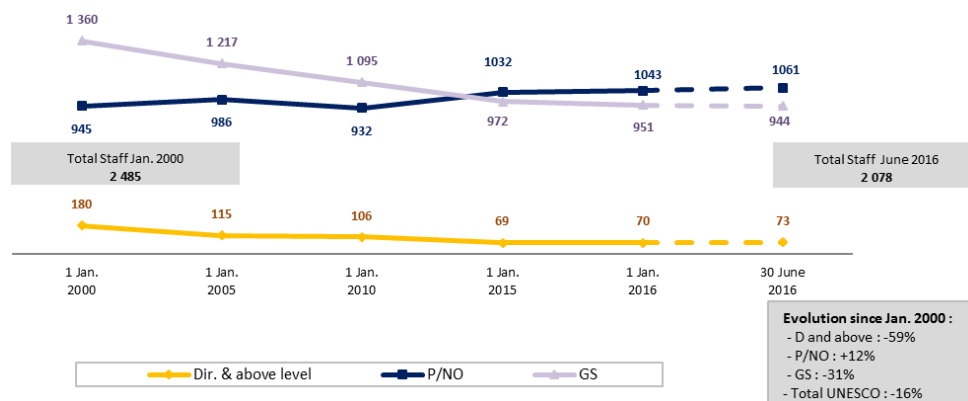


Staff by Category



As of 30 June 2016, UNESCO employs 2,078 staff on fixed-term and FT/Project Appointments. Staff in the field represent 33% of the total staff; 18% are in category 1 institutes and 49% are at Headquarters. Professional staff (D/P/NO) represent 55% of staff, while GS staff represent 45%. The overall ratio GS/P for all UNESCO staff is 0.8: 1.

Since 2000, total staff numbers decreased by 16% (from 2,485 to 2,078). The highest reduction was in the Director staff (- 59%), followed by General Service staff (-31%). Over the same period, Professional staff (international staff and NPOs) increased by 12%.

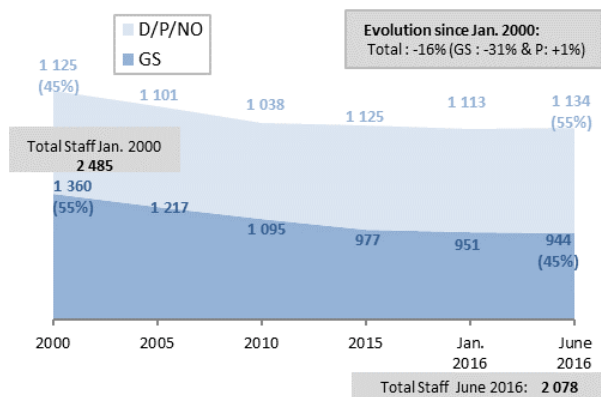


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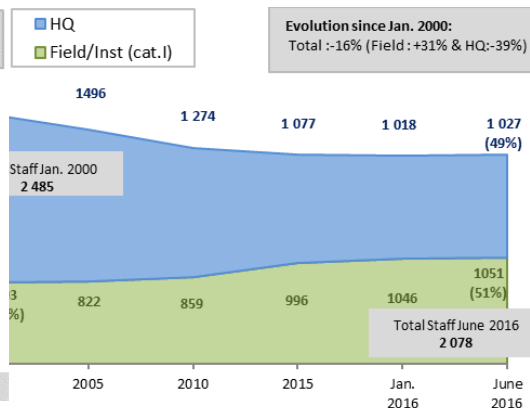
This document provides information on UNESCO staff on fixed-term appointments on Regular Programme and Extra-Budgetary funded posts including FT/Project Appointments funded by extrabudgetary funds as of 2013. It does not cover staff on temporary contracts nor personnel with other types of contracts. Staff on Leave Without Pay are not included in the data, except where expressly indicated.

Since 2000, the trends show a change in the workforce composition with more Professional staff (from 45% in 2000 to 55% in 2016) and a significant decrease of staff at Headquarters (from 68% of staff Headquarters in 2000 to 49% in 2016).

Evolution UNESCO Staff by Category

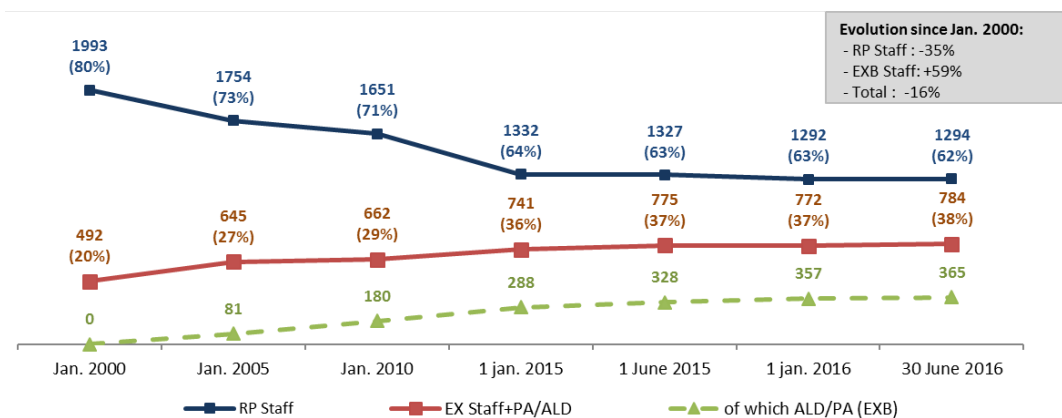


Evolution UNESCO Staff by Location

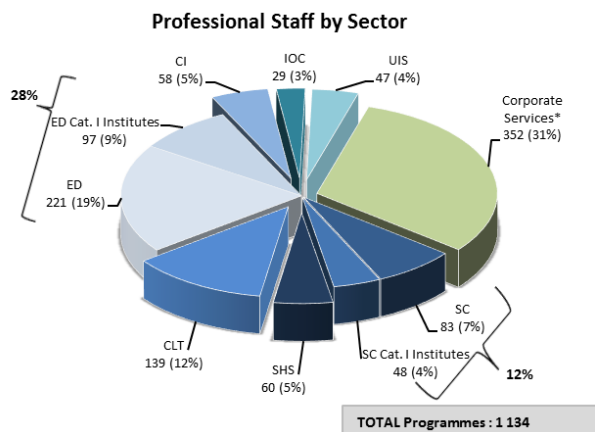


Evolution of staff by funding source (RP/EXB)

Since January 2000, the trends show a decrease of the number of staff on posts funded by the Regular Programme (by 35%) and an increase of staff on extrabudgetary funded posts (by 59%). In June 2016, staff funded by RP funds represent 62%, while extrabudgetary-funded staff represent 38%, a majority of whom are in category 1 institutes (377 staff).



Professional staff by sector

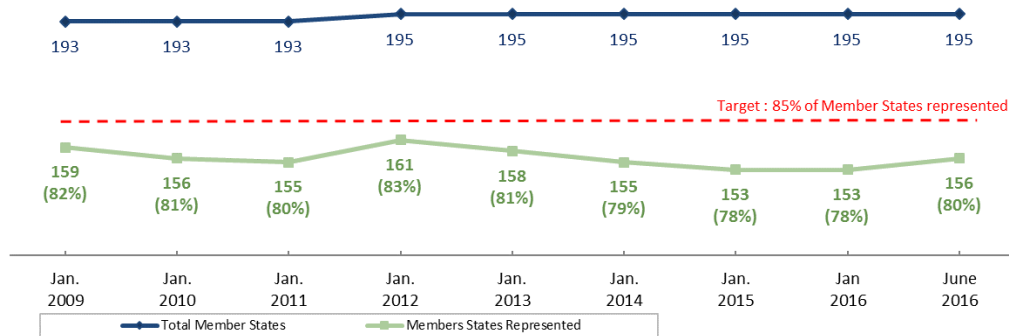


As of 30 June 2016, 69% of the Professional staff (D/P/NO) work in Programme (Headquarters, field and cat. 1 institutes). The Education Sector has the largest number of Professional staff (28%), followed by the Culture Sector and the Natural Sciences Sector (12%).

* Corporate Services include General Policy and Direction (GBS, DIG, ODG, IOS, LA, Ethics), Programme-related services (AFR, BSP, ERI), and Support for Programme Execution and Administration (BFM, FSC, HRM, MSS, KMI).

Geographical balance

A geographically diverse workforce is essential to ensure effective programme delivery. Since 2010, two new Member States joined UNESCO, to reach a total of 195 Member States. As of 30 June 2016, 156 Member States (80%) are represented within the Secretariat. Since 2012, there has been a downward trend, due to the high turnover rate (retirements and voluntary separations) and the low external recruitment levels. With the re-launch of the Young Professional programme in 2015, the percentage of Member States represented should get closer to the 85% target.

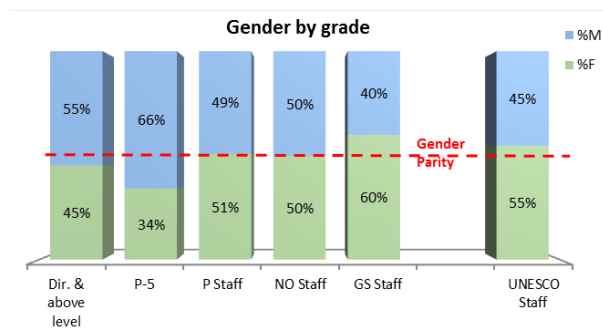


As of June 2016, a total of 70 Member States are normally represented. The situation of over-represented Member States has improved with a decrease by 9 units.

Status of representation	Jan. 2010	Jan. 2011	Jan. 2012	Jan. 2013	Jan. 2014	Jan. 2015	Jan. 2016	June 2016	Evolution since Jan. 2010
Normally represented	75	78	80	70	73	70	64	70	-5 (-7%)
Over-represented	27	26	26	27	20	18	17	18	-9 (-33%)
Under-represented	54	51	55	61	62	65	72	68	+14 (+26%)
Represented	156	155	161	158	155	153	153	156	-
Non-represented	37	38	34	37	40	42	42	39	+2 (+5%)
Total Member States	193	193	195	195	195	195	195	195	+2 (+1%)

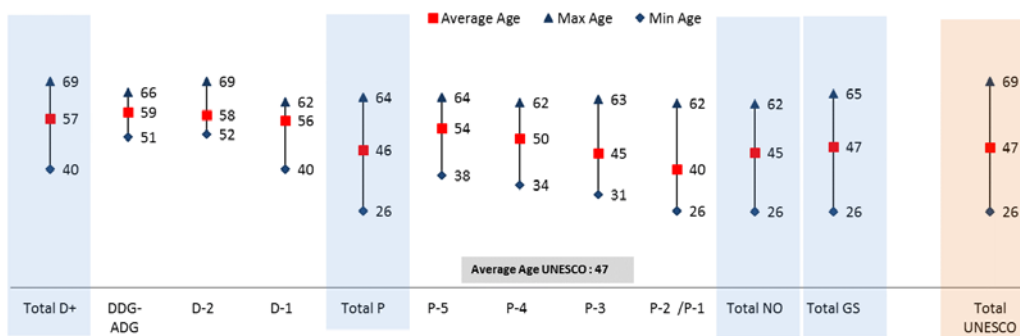
Gender parity

Overall, the situation is very positive; the proportion of women staff in UNESCO is among the highest in the United Nations system. Parity has been achieved at the Professional level, while the number of Director women has increased significantly from 24% in 2010 to 45% in 2016. The number of P-5 female staff is however decreasing (34%). Sustained efforts will be needed, at P-5 level and above, to achieve parity.



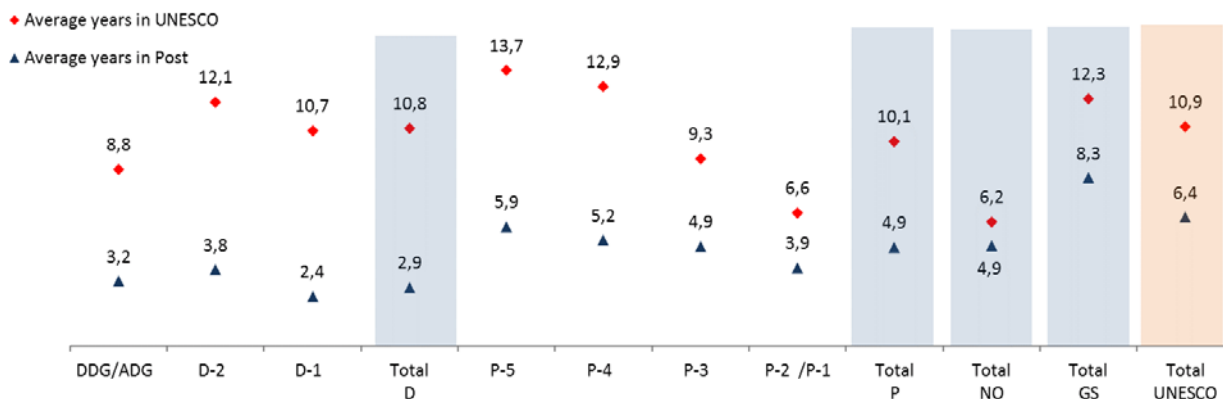
Age by grade

UNESCO staff is on average 47 years old; P, NO and GS staff are 46, 45 and 47 years old, respectively. Director staff are, on average, 57 years old.



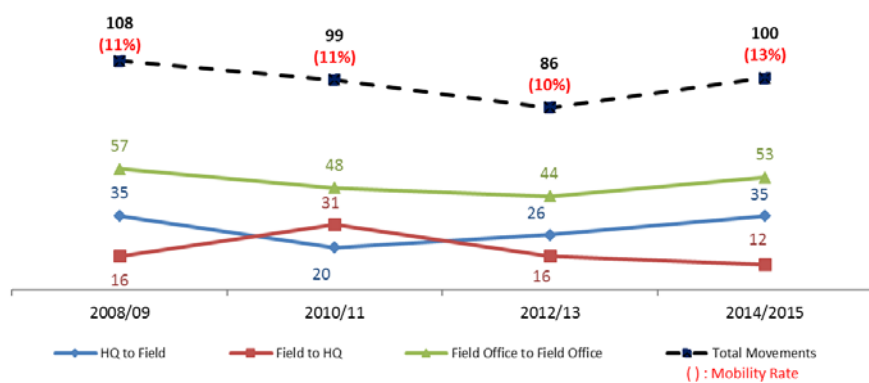
Experience in UNESCO

On average, staff in UNESCO count about 11 years of service in the Organization and have been in the same post for six years. P-5 staff are the most experienced with an average of 14 years in UNESCO. General Service have the longest average years of experience in the same post (eight years), while Director staff have the shortest (three years). Professional staff (P) have, on average, been five years on the same post.



Geographical mobility

A total of 100 International Professional Staff and Directors moved between duty stations in 2014/2015 (35 from Headquarters to the field, 53 field to field, and 12 from the field to Headquarters), corresponding to a 13% mobility rate, an increase of 2 to 3 percentage points compared to the previous biennia.



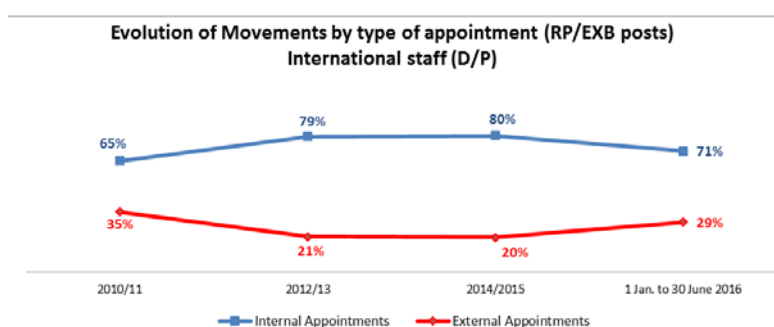
External vs internal appointments (International Professional and Director posts)

The total number of appointments has decreased since 2010/11, from 318 in 2010/11 to an average of 180 per biennium since 2012.

	2010/11	2012/13	2014/2015	1 Jan. to 30 June 2016
External Appointments	112	37	37	22
% Ext. App.	35%	21%	20%	29%
Internal Movements*	206	140	144	53
% Int. Mvts	65%	79%	80%	71%
Total	318	177	181	75

* Including appointments with promotion, at equal grade and transfers with post

In 2014/15, external hires to Professional and Director posts represented 20% of the total hires. Since January 2016, the number of external appointments is on the increase (from 20% to 29%); while internal movements are still a majority.



Retirements

In the next 18 months, 6% of the staff will retire (a total of 103 staff). The highest retirement rate is among Director staff (19%). In the period 2018-2020, the retirement rate is expected to be significantly lower, due to the planned increase of the mandatory retirement age to 65 years old from January 2018.⁸

	Staff* as of June 2016	Retirements			% of Staff retiring
		2016	2017	Total 2016/2017	
Dir. & above level	73	5	9	14	19%
P-1 to P-5 Staff	717	9	21	30	4%
NO Staff	91	2	5	7	8%
GS Staff	848	16	36	52	6%
Total	1729	32	71	103	6%

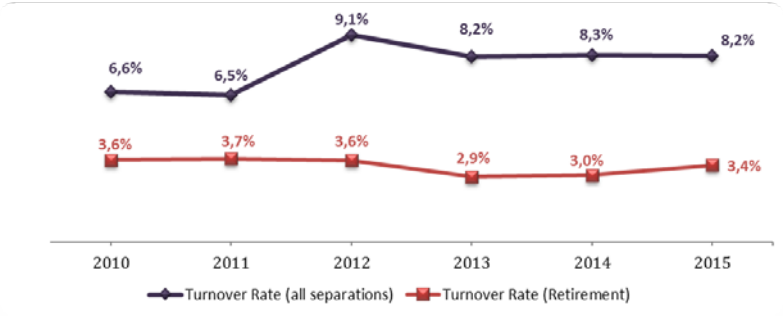
* Excluding FT/ Project Appointments

Evolution of turnover⁹ (RP/EXB)

The turnover rate has increased from 6.6% to 8% between 2010 and 2013/14, with a peak to 9% in 2012. This is due to the increase in voluntary separations, in the context of Voluntary Separations Programmes launched since end 2011. The rate of retirements, on the other hand, remains stable at 3%. The projection for 2018-2022 will show a lower turnover rate, due mainly to the planned increase of the mandatory retirement age to 65 years old for current staff.

⁸ United Nations General Assembly Resolution A/C.5/70/L.14 of December 2015.

⁹ Turnover: Number of Fixed-term/Indeterminate staff separations in one year divided by the average number of active staff during the same period x 100.



ANNEX III

UNESCO GEOGRAPHICAL DISTRIBUTION ACTION PLAN FOR 2017-2022

OBJECTIVE 1: Increase the number of represented and normally represented countries to achieve a more balanced geographical distribution							
Expected Results	Initiatives	Performance Indicators	Timeframe	Responsible			Progress Update
				HRM	Managers	Staff	
1. 85% represented countries by 2022 2. 40% normally represented countries by 2022	(a) Recruit Young Professionals each biennium from non (NR) and under-represented (UR) countries, and ensure that at least 70% of the P1/P2 posts be retained for the Young Professional Programme. (b) Create a roster for pre-selected YPP candidates in the e-recruit system to enable managers to identify qualified candidates for project assignment or other posts. (c) Use new technology, such as webinars, to outreach qualified candidates from UR/NR countries. (d) Keep traditional direct contact with candidates from UR/NR countries, through missions, job fairs, etc. (e) Organize meetings with regional groups, especially ASPAC, GRULAC and Africa, and individual meetings with targeted UR/NR countries. (f) Contact Heads of Fields Offices of UNESCO to contribute to engaging UR/NR countries. (g) Implement the requirement that short-lists for all levels include at list one candidate from NR/UR countries. (h) Attract more candidates from NR/UR countries through UNV or other similar programmes.	Number of represented countries Number of normally represented countries	2017-2022	✓	✓		
OBJECTIVE 2: Achieve a better balance among regional groups at senior level (Director and above)							
Expected Results	Initiatives	Key Performance Indicators (KPI)	Time-frame	Responsible			Progress Update
				HRM	Managers ODG/GE	Staff	
3. Enhanced geographical balance of senior level staff across regional groups by 2022	(a) Establish specific objectives for senior posts (starting from P-5 and above) with each Sector/Bureau based on the forecasted vacancy rate, taking into account the impact of upcoming retirements over the next 6 years.	Representation of Director staff and above across regional groups	2017-2022	✓	✓	✓	

ANNEX IV

UNESCO GENDER PARITY ACTION PLAN FOR 2017-2022

OBJECTIVE 1: Achieve Gender Parity at all levels, including at Senior Level								
Expected Results	Initiatives	Performance Indicators	Time-frame	Responsible				Progress Update
				HRM	Managers	ODG/GE	Staff	
1. Gender balance achieved at all levels, including at senior level (P-5 and above).	1.1. Establish gender targets at senior level by Sector/Bureau based on an assessment of the situation and monitor on regular basis. 1.2. Set up outreach activities to increase the number of women candidates: Contact women's professional associations and networks, and advertise P-5 and above posts through them. Outreach toward potential women candidates through missions, webinars. Create roster for female candidates in the e-recruitment system. 1.3. Take measures at selection stage to increase the number of women hired: Implement requirement that short-lists include at least one qualified women; apply a hiring ratio of 1 to 1 for P-5 posts and above.	Gender Parity (50%) is achieved at Director and P-5 level. Number of qualified female applicants increased.	2017-2020	✓	✓	✓		
OBJECTIVE 2: Enhance women's professional development through dedicated training initiatives								
Expected Results	Initiatives	Performance Indicators	Timeframe	Responsible				Progress Update
				HRM	Managers	ODG/GE	Staff	
2. Increased number of women ready to take on new roles including leadership roles, and equipped with the required competencies and skills	2.1. Launch mentoring programme for Professional women staff. 2.2. Organize training workshops for women staff on networking, succeeding in interviews, etc. 2.3. Develop "Women in Leadership" modules for women staff [MC1] at P-4 and above levels.	% of women participating in development activities. % of women appointed to new roles % of women appointed to D-1 and above posts Effectiveness rate with the learning and development activities	2017-2022	✓	✓	✓	✓	

OBJECTIVE 3: A gender equality conscious workplace								
Expected Results	Initiatives	Performance Indicators	Timeframe	Responsible				Progress Update
				HRM	Managers	ODG/GE	Staff	
3. Enhanced awareness of gender equality and gender unconscious bias	3.1 Include a module on Gender Equality in training programmes, such as induction and leadership 3.2 Monitor the implementation of the mandatory Gender Equality training for all staff. 3.3 Ensure Gender Equality is included in the interview process. 3.4. Develop and implement actions to reduce gender unconscious bias.	Effectiveness of training programmes % of staff attending the Gender Equality training	2017-2022	✓	✓	✓	✓	
4. Gender Conscious performance appraisal	Include Gender Equality indicators in performance appraisal.		2018	✓		✓	✓	
OBJECTIVE 4: A gender friendly workplace contributing to professional growth								
Expected Results	Initiatives	Performance Indicators	Timeframe	Responsible				Progress Update
				HRM	Managers	ODG/GE	Staff	
5. Exit interview targeting women staff	Conduct exit interviews with women staff who leave UNESCO across all Professional grades and above levels.	Number of exit interviews conducted	2017-2022	✓			✓	
6. Work-life balance working arrangements	Telework policy	Number of women staff taking up telework and their satisfaction rate, as well as the effectiveness of these arrangements within a team.	2017	✓				
7. Enhanced role of Gender Focal Points	Include Gender Focal points duties and responsibilities in the respective job descriptions.	Job Descriptions reflecting gender focal points responsibilities	2018	✓		✓		
8. Setup of informal gender networks	Support the setup of informal networks of HR staff/managers working on gender.	Output/outcome of the meetings within the gender networks	2017-2022	✓				



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Educational, Scientific and
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Executive Board

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200 EX/5 Part IV Add.

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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 IV – HUMAN RESOURCES ISSUES

ADDENDUM

COMMENTS BY THE UNESCO STAFF UNION (STU)

Pursuant to Item 9.2.E.7 of the UNESCO Human Resources Manual, the UNESCO Staff Union (STU) submits its comments on the reports by the Director-General.



A. Use of consultant and other specialists' contracts in 2015

First, STU would like to express its deep concern about the **abuse of non-staff contracts over the long term**, many of them for performing core functions of the Organization.

In order to have a **holistic view** on this issue, the STU believes that the report should also include statistics **on other non-staff contracts** (e.g. service contracts, short-term contracts, etc.).

The STU regrets that the use of external consultants continues to grow.

A 21% increase in the overall spending on consultant contracts between 2014 and 2015 clearly indicates that the Organization **does not have sufficient resources to implement its core mandate** with its permanent resources and raises concerns about sufficient in-house expertise.

35% of these consultant contracts are financed on the regular programme budget, at the expense of the implementation of the programme. Indeed, the total spending on consultant contracts financed by the **Regular Programme** between 2014 and 2015 rose by **74%**, with a **91% increase in the Field!**

Loss of institutional memory is increased by the excessive and growing number of staff under precarious contracts, both at Headquarters and in the field. This will mean incurring irreparable losses in terms of continuity of service and competency of the Organization.

What is particularly alarming is that a significant part of non-staff perform functions that are part of the core mandate, priorities and regular programmes of our Organization, and that effective controls to avoid such a misuse of these temporary contracts have not been built by HRM, despite the numerous and repetitive demands of the staff associations.

This situation has to be halted, for several reasons including, *inter alia*:

- *Ethical reasons.* The existence of different categories of staff performing the same functions creates an unacceptable **discrimination**, contravening even fundamental labour rights and standards to fair remuneration, social security and other rights such as those to sick and annual leave. It also creates a permanent situation of instability that affects the staff morale and the organizational performance alike.
- *Mismanagement of human resources for personal reasons.* Furthermore, while the stated and reasonable objective of hiring temporary staff is to cover a need that for reasons of regular staff shortage or non-expertise is not available, in practice there are very numerous cases of managers hiring non-staff to perform regular **core functions**, even when the regular staff in charge of them are present and available and have the expertise, but for reasons related to personal relations or discrimination are sidelined and put to work on other matters outside of their post description or even completely marginalized. This has the double negative effect of having non-staff performing regular tasks and not being adequately compensated (as described above) and also of discriminating and destroying the morale and expertise of the regular staff marginalized from their duties.
- *Constitutional and governance.* The abusive use of non-staff contracts configures a **violation** of the international character and, consequently, of the **independence of the international civil service**. Non-staff colleagues do not enjoy the same rights and immunities established for the regular staff, whose purpose is to safeguard independence and loyalty to the organizations. Moreover, recruiting staff on these contracts does not meet the rules on geographical distribution and, *de facto*, favours local staff to the detriment of staff from countries with little or no representation.

- *Functional reasons.* The abuse of non-staff has a **destructive impact** on human resources management at all levels, since those colleagues are at a disadvantage for career, job security, and mobility, to cite just a few examples.
- *Financial reasons.* The abuse of non-staff gives Member States a false representation of the financial appropriations required to manage the human resources of the organizations, paving the way for **cheap labour**.
- *Legal reasons.* We are convinced that solid grounds exist for legal recourse, due to blatant and regular circumvention of the relevant rules and regulations, which should be more thoroughly appraised.

Moreover, as a consequence of the lack of staff resources, programme specialists spend most of their time looking for funds for temporary contractors who can implement the programme rather than implementing it themselves.

We believe that the break-even point for adoption of immediate measures to stop this malpractice has come. Therefore, we respectfully request the adoption of measures aimed at rectifying this alarming *status quo* and return the international civil service to its core function, to better serve our mandate and the principles enshrined in the United Nations Charter.

The STU also requests that an **audit** be conducted by HRM without any further delay on the current use of non-staff contracts, in the Headquarters and the Field, with the objective to identify those contracted assignments that cover the core functions of the Organization and take immediate measures to find a permanent long-term **solution**.

STU supports in this regard the recommendation of the External Auditor, demanding “that the Organization standardize the general review of service contract personnel in order to (i) ensure that the use of this type of contract is in conformity with the Organization’s administrative rules and reserved for the temporary situations for which it was designed”.

In the meantime, we shall make our best efforts to ensure that our colleagues defined as “non-staff” are granted access to the fundamental rights of association through the current representational structure.

In addition to the **abuse of non-staff contracts over a long term**, there exist abuses in the internship programme as well. The STU also believes that interns should be remunerated fairly, as is the case in many United Nations agencies, and that their tasks be clearly defined. Indeed, many of them regrettably carry out core functions, replacing staff members who are on leave, or assist an understaffed team.

Finally, if the number of staff reduces and the number of temporary contractors increases, who will contribute to the Pension Fund in the future?

B. Human resources management strategy

The STU remains deeply concerned with the lack of human resources planning in the Organization, which is manifest in the fact that the **2011-2016** Human Resource Management strategy remained at the development stage already reported in 197 EX/5 Part V and that no tangible outcome has been published since.

The STU requests that an evaluation be made of the 2011-2016 strategy before engaging a new strategy.

Concerning the **2017-2022** strategy, the STU would like to receive more details on the “consultative process” mentioned in the establishment of the strategy. Ten days to provide

comments to the next years' human resources management strategy can hardly be considered as such.

The STU strongly believes that the greatest resource of UNESCO is a “*skilled, motivated and dedicated workforce*”. However, the STU can attest that the staff is demotivated and is the entity which has suffered the most from the financial crises and the “Reform”. In fact, the STU agrees that there is an urgent need to allocate funding for training programmes. Although training programmes have been financed by “Invest for Efficient Delivery”, **it cannot replace a stable corporate training budget financed by the regular programme.**

Moreover, efforts in “invest for efficiency” are addressing mainly managerial competencies and are not programme oriented, where much improvement in competencies and skills is also needed to better contribute to the achievement of the Agenda 2030 and its SDGs.

The STU further deplores that promises made during the redeployment exercise in 2014, according to which redeployed staff would be duly trained on their newly-assigned functions, have not been respected.

The strategy points to an alarming Gender Gap at the P5 level, while noting that the gap is smaller at the P4 level, whose occupants are not much less experienced than their P5 colleagues in terms of average years served in the organization.

The STU is alarmed at the lack of career development option for the GS staff with average time spent on the same post being 8.3 years in comparison with 6 years for P5 and 6.4 years organization wide.

The STU is deeply concerned that nearly **half** of the Organization's workforce is made up of temporary staff (see STU's comments in 200 EX/5 Part IV (A)).

The STU is deeply troubled by the fact that among the numerous and urgent needs in human resources management at UNESCO, the Administration's yearly response was to launch the **UNESCO Competency Framework**. Just to mention a few, the STU would give **priority to**: halting arbitrary firing, recruitment, career development, updating job descriptions, regularizing long-term temporary staff, etc.

Furthermore, the **recruitment** procedures should be revised in order to ensure equity, fairness and transparency at every step of the recruitment process. HRM should have a sufficient number of dedicated and competent staff involved at all stages of recruitment (composition of the selection panels, etc.) to avoid biased procedures which lead systematically to staff demoralization/demotivation.

The STU questions how UNESCO is able to attract and retain the best candidates in its field of competences as overall employment conditions will considerably deteriorate for professional staff following the implementation of the ICSC Review.

Furthermore, STU is worried that a part of the decision by the last General Conference on the recruitment of vacant posts (“*Staff members shall be given priority of consideration for vacant posts on the basis of equal competence*”) will not be implemented, and that acquired staff rights will not be protected. Should external recruitment become the norm, this will perpetuate a high percentage of demotivated staff with no prospects for career development.

STU would like to recall that to this date no **mobility** mechanism whatsoever has been set up and that the majority of provisions of the October 2013 Mobility Policy have remained unapplied. Transfers at equal grade between field offices or from Headquarters to field offices and vice versa are left to the discretion of sectors and field directors, and are decided on a case-by-case basis with a completely opaque set of criteria.

Concerning enabling and engaging work environment, the STU would like to stress that UNESCO **lacks a policy for disabilities** and means to allow disabled colleagues to perform their work. Moreover, UNESCO lacks a policy on stress management and burnout prevention. As far as the Security plan at Headquarters is concerned, the STU regrets that it is still at development stage after ten months since the 13 November attacks in Paris.

The STU urges the Director-General to develop a **real human resources management policy** for UNESCO for 2017-2022, with clear goals and mechanisms, in which all levels of hierarchy become accountable for their responsibilities in human resources management, including knowledge and skills development, career development planning and transparent mobility and recruitment processes.