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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.

This document contains information on the following programme issues:

**A.  Developments relating to UNESCO's role as a UNAIDS cosponsor and lead organization**

**B.  Assessment of the implementation of the UNESCO Engineering Initiative**

This document has been prepared in response to a request by the General Conference at its 36th session (36 C/Resolution 30), inviting the Director-General to submit an assessment of the implementation of the UNESCO Engineering Initiative to the Executive Board at its 192nd session of for transmittal to the General Conference at its 37th session".

The financial and administrative implications of the UNESCO Engineering Initiative activities fall within the parameters of document 36 C/5. No decision is proposed.

**C.  Cultural and educational institutions in Iraq**

This document reports on UNESCO's contribution to the ongoing reconstruction and reconciliation process in Iraq, covering the period from July 2012 to June 2013.

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

**D.  Implementation of 36 C/Resolution 43 and 191 EX/Decision 5 (I) relating to the Ascent to the Mughrabi Gate in the Old City of Jerusalem**

**E.  Comprehensive feasibility studies for:**

(i)    the possible creation of a UNESCO-IHE global campus, and

(ii)   an in-depth assessment of the implications of granting to UNESCO-IHE the right to award doctorate degrees

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## A. Developments relating to UNESCO's role as a UNAIDS cosponsor and lead organization
(Follow-up to 174 EX/Decision 6)

1. By 174 EX/Decision 6, the Executive Board invited the Director-General to periodically provide updates on UNESCO's work in relation to its role as a UNAIDS cosponsor. As one of the six founding cosponsors of UNAIDS, UNESCO has played an integral part in the development of the Joint Programme since its inception in 1996. This document covers the period since the last progress report presented in 2011 (186 EX/5).

2. A number of noteworthy developments can be reported, notably UNESCO's current role as the 2013 Chair of the **UNAIDS Committee of Cosponsoring Organizations (CCO).**[1] In this capacity, UNESCO organized the first CCO meeting (Madrid, 4 April 2013), which was the occasion for cosponsors to consider the place of HIV in the post-2015 development agenda. UNESCO will hold the second CCO meeting (New York, November 2013) and the thematic discussion will focus on accelerating action for HIV prevention for adolescents and youth, including in the last 1,000 days leading up to the Millennium Development Goal (MDG) target deadline. CCO discussions have helped build a common vision for the future and have brought to the fore emerging thoughts on HIV and health in the post-2015 development framework, which are similarly reflected in the Report of the High-Level Panel of Eminent Persons on the Post-2015 Development Agenda.[2] As CCO Chair, UNESCO's Director-General delivered a statement on behalf of all cosponsors to the UNAIDS Programme Coordinating Board in June 2013.

3. UNESCO's chairing of the CCO has also reaffirmed UNESCO's leading role for HIV and health education. This is in line with the **UNAIDS Division of Labour,** which designates UNESCO as the convener for ensuring good quality education for a more effective HIV response and as a key partner in the areas of reducing sexual transmission of HIV, empowering young people and key populations, meeting the HIV needs of women and girls, removing punitive laws and reducing stigma and discrimination, updated and approved by the Cosponsor Heads of Agency in November 2010. Within the Organization, the **UNESCO Strategy for HIV and AIDS** provides a framework to guide its collective efforts for the 2011-2015 period, in line with the Medium-Term Strategy (C/4) and Programme and Budget (C/5) and through the intersectoral platform for HIV and AIDS in education set up since 2010. UNESCO's work to promote the role of education in the response to HIV also contributes to the Organization's two global priorities, Africa and gender equality. In 2012-2013, 40% of UNAIDS funding to UNESCO went to Africa and 18% was dedicated to specific gender equality and women's empowerment projects, with gender considerations mainstreamed throughout all initiatives.[3]

4. Funding is allocated amongst the UNAIDS Cosponsors according to the **2012-2015 UNAIDS Unified Budget, Results and Accountability Framework (UBRAF).** This framework is the successor to the previous Unified Budget and Workplan (UBW) and was developed through a consultative process involving cosponsors and approved by the UNAIDS Programme Coordinating Board in 2011. Under the 2012-2013 UBRAF, UNESCO received US $12.4 million in extrabudgetary funding. The funds are used to build country capacity for effective and sustainable education responses to HIV, through the work of dedicated staff in over 30 countries. Over 80% of these funds are spent at the country or regional levels, with the remaining funds being used towards normative and standard-setting efforts, such as the Good Policy and Practice series. In 2013, "Gender Equality, HIV and Education"[4], the seventh in the series was published and highly acclaimed. For the upcoming biennium, the UNAIDS Programme Coordinating Board is expected

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1. The CCO is comprised of the Heads of Agencies of the eleven UNAIDS Cosponsors and the UNAIDS Secretariat. It meets twice a year to consider matters of major importance to UNAIDS. Each Cosponsor rotates annually as chair of the Committee.
2. http://www.un.org/sg/management/pdf/HLP_P2015_Report.pdf.
3. For further details on activities and results achieved to date, please refer to 192 EX/4 Annex (online) report.
4. http://unesdoc.unesco.org/images/0021/002187/218793e.pdf.

to approve a zero growth budget of $485 million, of which UNESCO would again receive $12.4 million for 2014-2015.

5.    UBRAF funds have also enabled UNESCO to lead innovative Joint Programme initiatives such as the **UNAIDS Inter-Agency Task Team on Education (IATT)**, which commissioned the 2011-2012 HIV and AIDS Global Progress Survey (GPS).[5] The survey, published in 2013, sought to measure progress and trends in education sector responses to AIDS since the 2004 Global Readiness Survey (GRS) and collected data from 39 countries in three categories of HIV epidemic: generalized; concentrated; and low-level. UNESCO has also been active on the IATT on Young People and is currently collaborating with WHO, UNICEF, UNFPA, UNDP and others to develop programmatic and policy guidelines for working with adolescents aged 10-19 years who are at a higher risk of HIV infection. In addition to global-level engagement with the Joint Programme, UNESCO is also highly engaged in regional initiatives. UNESCO Bangkok Office is currently co-chairing the Asia-Pacific Interagency Task Team on Young Key Affected Populations, and also participates in the Asia-Pacific Inter-Agency Task Team on Women, Girls, Gender Equality and HIV, and the Economic and Social Commission for Asia and the Pacific (ESCAP) Inter-Agency Task Team on Youth. These inter-agency partnerships enable UNESCO to maximize its reach and outcomes in a cost-effective manner.

6.    UBRAF funding also leverages additional extrabudgetary resources for HIV and health education, through contributions by governments, NGOs and the private sector. Partnerships with Brazil, the Swedish International Development Cooperation Agency (SIDA), the German GIZ, the OPEC Fund for International Development, the Ford Foundation, Proctor and Gamble, and others have enabled UNESCO to mobilize roughly $35 million in the current biennium alone. Notably, SIDA's contribution (nearly $7 million) supports the **East and Southern Africa Ministerial Commitment process,** which seeks to mobilize political commitment to make good quality HIV and sexuality education, sexual and reproductive health and youth-friendly services available to young people in the 21 countries of the region. A high-level group was established, comprising experts from the region to advocate for and lead the process, supported by a technical coordinating group led by UNESCO and including UNICEF, UNFPA, WHO, UNAIDS, civil society organizations and development partners. The goal is for ministers of education and health from the 21 East and South African countries to sign a commitment to high-quality, comprehensive life skills-based HIV and sexuality education during the International Conference on AIDS and Sexually Transmitted Infections (STIs) in Africa (ICASA) which will be held in Durban, South Africa, in December 2013.

7.    These initiatives were presented to Permanent Delegates to UNESCO at an information meeting (Paris, 15 May 2013), with the participation of Ms Jan Beagle, Deputy Executive Director of UNAIDS. The meeting was attended by over 90 participants and demonstrated the keen interest of Member States in UNESCO's work on HIV and health education. This is further confirmed through the continued prominence of HIV and health education in the Draft Programme and Budget for 2014-2017 (37 C/5), and proposed as one of 13 expected results of Major Programme I. In times of financial difficulty for the Organization, the UNAIDS Joint Programme and other extrabudgetary funding will continue to be critical in supporting UNESCO's work in the field, and will ensure that UNESCO continues to play a strong role in HIV and health education in the post-2015 framework.

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[5]    http://unesdoc.unesco.org/images/0022/002203/220367E.pdf.

**B. Assessment of the implementation of the UNESCO Engineering Initiative (UEI)**
(Follow-up to 36 C/Resolution 30)

**1. Introduction**

Engineering is vitally important for addressing large-scale challenges facing society, including: access to affordable health care; energy, transportation and climate change; providing more equitable access to information; clean drinking water; natural and man-made disaster mitigation, environmental protection and natural resource management. Engineering also plays crucial roles in local economic development and in creation of jobs for youth.

At its 36th session, the General Conference approved the creation of the UNESCO Engineering Initiative (UEI) and requested the Director-General to: (a) focus particularly on third level engineering education, and curricular innovation, to tailor engineering education to sustainable development, capacity-building, and the attainment of the internationally agreed development goals; (b) pursue UNESCO's engineering activities in an interdisciplinary fashion, integrating all sciences, policy work and mobilizing civil society support; (c) seek partnerships with different sectors of society, including the private sector, higher education institutions, international and national engineering associations; (d) ensure that the UEI gives special focus to gender mainstreaming.

A progress report on the UEI was submitted to the 190th session of the Executive Board (190 EX/5 Part I). This document provides a higher-level assessment of the work of the UEI.

**2. Main results achieved and impact**

The UEI has made considerable progress aligned with the above-mentioned four strategic directions. Below is an overarching assessment of the achievements to date, followed by more detailed information on the activities and the lessons learned. Notable accomplishments include:

- Garnering the participation of a wide range of significant  partners worldwide: The UEI, has been successful in creating new partnerships with organizations from multiple sectors of society including engineering professional bodies, industry, academia, civil society organizations, and several Member States. The very positive response has demonstrated the support of the international community for UNESCO's focus on engineering

- Promoting a vision to advance engineering for sustainable development: Through UNESCO's participation and leadership roles in multiple fora, initiatives and intergovernmental processes worldwide, progress has been made in promoting a more comprehensive vision for the full spectrum of Science, Technology and Innovation (STI) for sustainable development including the indispensable roles engineering plays in translating the results of scientific research into new products and services for the benefit of society. UNESCO has a strategic leadership role to play in integrating the natural sciences, social sciences and engineering communities in the context of the post-2015 development agenda.

- Enhancing collaboration within UNESCO: Enhanced linkages include: (1) better ties within SC, e.g. between disasters and engineering, and between science education and engineering; (2) enhancing collaboration between the SC and other sectors, most notably with ED and with CI; and; (3) strengthening joint efforts with UNESCO-affiliated institutes and centres, including the Abdus Salaam International Centre for Theoretical Physics (ICTP), but also with two new engineering-related category 2 centres that are proposed for approval by the 37th session of the General Conference in Denmark and in China, and with ISTIC, a category 2 centre in Kuala Lumpur.

- Implementing concrete projects in collaboration with partners: Following strategic planning discussions with multiple key partners, a number of key activities have been implemented. Key strategic foci include: innovations in engineering education (with a primary focus on

the developing world, in particular Africa); enhancing the interest and participation of youth in engineering, with a strong focus on women and girls, and; promoting engineering for sustainable development.

## 2.1 Creation of strategic partnerships:

Several high successful new partnerships have been established, and have included the signing of several MOUs and the implementation of initial programme activities.

Engineering Professional Societies:

- The Institute of Electrical and Electronics Engineers (IEEE, the world's largest professional society, with 400,000 members worldwide): collaboration on engineering education at university and secondary levels, and on an *"Engineering Action Agenda for Africa"*, together with the African Union and many of the other partners listed below.

- The American Society of Mechanical Engineers (ASME), the American Society of Civil Engineers (ASCE); the Association of German Engineers (VDI): several themes.

- The World Federation of Engineering Organizations (WFEO); collaboration on the new *World Engineering Forum,* on women in engineering, and other topics.

- The Chinese Academy of Engineering: development of a new category 2 centre in Hangzhou on "data-intensive science and engineering".

- The National Academy of Engineering of Korea (NAEK): development of a partnership to promote engineering for sustainable development in ASEAN countries, and to promote mutual recognition of degrees and mobility of engineers.

- The African Federation of Engineering Organisations (FAEO), in collaboration with South Africa: joint project on *"needs and numbers"* analysis for engineering in Africa.

- ASEAN Academy of Science and Technology (AAET): on promoting collaborations among ASEAN member states, and on enhancing joint work with African academies.

Industry:

- Intel: collaborations on engineering education at university and secondary school levels; expanding participation from the developing world in the Intel Science and Engineering Fair (ISEF); joint work on policy at the national and regional levels.

- Airbus: engineering education; university-industry interactions, worldwide student design competition, "Fly Your Ideas".

- Microsoft, Nokia and others: collaborations on projects on engineering education.

- The European Petrochemical Association, Google, the International Gas Union, and others: development of new activities, including the promotion of women in engineering.

Academia:

- The African Network of Scientific and Technological Institutions (ANSTI). This Network established by UNESCO brings together the Vice Chancellors, Deans of Science and Deans of Engineering, from approximately 135 of the most research intensive universities in Africa. ANSTI officially endorsed collaboration with UEI at their meeting in Johannesburg in November 2011.

- Aalborg University, Denmark: collaboration on a new category 2 centre on "Problem-based Engineering Education for Sustainable Development.

- The University of California, Berkeley: collaboration on design and implementation of a new undergraduate degree concentrating on engineering for sustainable development.

- Multiple other university partners worldwide.

Civil Society:

- "Engineers without Borders" (EWB-UK): collaborations on engineering for sustainable development, and project-based engineering education.

- Kuwaiti Young Engineers: Young Kuwaiti women engineers have played leading roles in the women in engineering theme, and on youth leadership.

## 2.2 Engineering education

A joint UNESCO-WFEO initiative on the creation of an online "Compendium of Capacity-Building in Engineering Guidelines" resulting in a dedicated website for the Compendium is being tested and is due to go live in September 2013.

To encourage more hands-on activities in engineering, UEI partnered with EWB UK, ICTP, IEEE, Microsoft, Nokia, Intel and others on the first "Science and Engineering Fair" at the University of Nigeria, Nsukka (UNN) held from 17 to 22 June 2013. During this Fair, about 120 engineering students at UNN were taught to run four engineering projects which they thereafter introduced to about 2,000 students and teachers – including around 1,500 girls – to ensure the sustainability of the outreach activities.

UEI and Intel have developed a joint strategic plan for strengthening science, technology, engineering and mathematics (STEM) education, and on mobile learning. The plan includes collaboration on the Intel Science and Engineering Fair (ISEF). The first Arab ISEF, under the patronage of UNESCO, took place in Dubai in December 2012. The first African ISEF, planned together with UNESCO, will take place in October 2013 in South Africa.

To strengthen engineering education in African universities, UNESCO has provided support to a session on "Africa and the Diaspora" at the Conference of Vice Chancellors and Deans of Science and Technology (COVIDSET, October 2013).

## 2.3 Women and youth in engineering

The issue of the low participation of women in engineering in Africa and the Arab States will be addressed through an International Gas Union (IGU)-UNESCO round table to be held in December 2013. Two sessions will address the low numbers of young women that study engineering in Africa and why the high percentages of young women studying engineering in the Arab States, does not translate into the workforce.

UNESCO partnered with Airbus on the "Fly Your Ideas" (FYI) competition encouraging young people to come up with imaginative and original ideas and solutions for a greener aviation industry. UEI and WFEO organized a conference for Youth in Engineering in Kuwait, held under the patronage of His Highness the Amir of Kuwait (10-12 February 2013).

UEI worked with the European Petrochemical Association (EPA) to create an awareness-raising film to encourage youth to embark on STEM careers (May 2013) (http://www.youtube.com/watch?feature=player_embedded&v=gYp5faoAR1k).

The UNESCO Chair in Sustainable Engineering for Developing Communities at the Technion, Haifa, is running a course on "Engineering for Developing Communities". A one-month course is being held in Nepal and there is a joint project between the Technion, University of Colorado and Kathmandu University.

## 2.4    Engineering for sustainable development

A project is under development with the theme of "quality engineering for sustainability", bringing together the nine technical universities of Germany (with the lead of the TU-Berlin), several German industrial partners, the German National Commission, and partner universities worldwide (including initially from China, Thailand, Viet Nam, Brazil, Mexico, India, Malaysia, Argentina, and others).

At its 191st session, the Executive Board endorsed the proposal by the Government of the People's Republic of China to establish the International Knowledge Centre of Engineering Sciences and Technology, in Beijing, as a category 2 centre under the auspices of UNESCO, led by the Chinese Academy of Engineering, and located at Zhejiang University in Hangzhou. Also endorsed at the session was the proposal for the establishment at Aalborg University in Denmark, of an Aalborg Centre for Problem-Based Learning and Engineering Science and Sustainability, as a category 2 centre under the auspices of UNESCO.

## 2.5    Impact

The UEI is a very recent initiative – its primary impact has been to mobilize partnerships and raise the visibility of UNESCO in the field of engineering in particular on the importance of engineering for the sustainable development agenda. Building on lessons learnt, the UEI will take advantage of the strategic strengths of UNESCO, specifically in the intergovernmental arena, with Ministries of S&T, Education, and economic development.

## 3.    Challenges and lessons learnt

The main challenges relate to UNESCO's budgetary situation, in particular the lack of sufficient resources. However, support has been given by the Government of South African to develop a strategy for engineering in Africa, and by the American Society of Civil Engineering to help develop the UEI and to mobilize extrabudgetary funding. It is possible to achieve good initial results with limited resources if UNESCO engineering networks are mobilized, including category 2 centres, UNESCO Chairs and UNITWIN networks, as well as the two UNESCO category 1 institutes (ICTP and IHE). With the support of external partners, both technical and financial, and of UNESCO networks, Member States can be assisted in building systems to more effectively target engineering for sustainable development.

## 4.    Way forward

In the future, the UEI will focus on the following:

- Creation of more comprehensive strategic planning processes that <u>integrate</u> the elements/contributions of disparate partners and UNESCO programmes, centres, Chairs, field offices, etc.;

- A targeted and ambitious fundraising campaign, with regional focus on engineering in Africa, and with links to UNESCO's Africa flagship projects;

- Further unleashing capacity of youth organizations with an interest in engineering to play leadership roles;

- Broadening the base of collaboration with academia, with focus on curricular innovation, and on attracting women and girls, as well as on their career development;

- Strengthening <u>policy</u> dimensions of UNESCO's work on engineering capacity development;

- Development of more rigorous methodologies for assessment of impact.

## C.  Cultural and educational institutions in Iraq
(Follow-up to 190 EX/Decision 5 (IV))

**Introduction**

1.    This document reports on UNESCO's contribution to the ongoing reconstruction and reconciliation process in Iraq, covering the period from July 2012 to June 2013. This period saw an increase in sectarian tensions and violence, which affected both the political and security situation. The spillover effect of the crisis in Syria and the continuous refugee influx further affected the work of UNESCO in the country. In this difficult context, UNESCO continued supporting the Government of Iraq in all its fields of competence.

*Education*

2.    During the past year, UNESCO continued supporting the reform and development of the country's education system, both at federal and KRG (Kurdistan Regional Government) levels, in full alignment with the new priorities identified in Iraq's National Education Strategy (2012-2022). The scope was holistic, encompassing overall support to educational reform through planning and management, addressing issues of access, equity and the improvement of the quality of education in key sub-sectors such as secondary education, technical and vocational education (TVET), higher education and scientific research, as well as non-formal education benefitting vulnerable groups, including women, children, internally displaced persons (IDPs) and Syrian refugees. Projects were executed in close partnership with the Ministries of Education (MOE) and Higher Education and Scientific Research (MOHESR) in Baghdad and Erbil, as well as relevant civil society partners. A number of projects, funded through the UNDG Iraq Trust Fund, were completed in December 2012.[6]

3.    **Reinforcing national educational planning and management** – Iraq's first National Education Strategy (NES) 2012-2022, was finalized and launched on 8 December 2012 in Baghdad. The NES was developed by a committee of Iraqi education experts and advisors within the Ministries of Education and Higher Education both in Baghdad and Erbil, with international technical expertise by UNESCO, UNICEF and the World Bank. In early 2013, UNESCO together with UNICEF and the World Bank initiated support to the implementation of the NES, in particular facilitating coordination amongst education stakeholders, the development of a NES Action Plan, as well as a monitoring and evaluation framework for the strategy. In addition, specific assistance was provided by UNESCO to the realization of the NES objective of a "dynamic and efficient education system", focusing on the reform and modernization of the TVET and higher education sub-sectors, as well as the upgrading and improvement of the Iraqi Education Management System, both at central and KRG levels.

4.    **Improving the quality of education** – Through two projects funded by the Office of Her Highness Sheikha Moza bint Nasser, the project "Development of New Iraqi Curricula" ($4.9 million) and "Teacher Training Programme for Basic and Secondary Education" ($4 million), significant progress was achieved in reforming and developing the Iraqi curriculum in maths and sciences, from grade 1 to grade 12 and in upgrading teachers' skills in applying the new curriculum. During the reporting period, a core group of more than 30 Iraqi curricula experts were trained on developing math and science syllabuses, as well as practical guidelines for writing instructional materials (Student book, teacher guide and activity book). As a result, 12 math and science syllabuses for grades 1-6, 7-9 and 10-12 for math and general science, physics, chemistry, biology and earth science were developed and published. In turn, 10,000 teachers (grade 12), as

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6    These are: The "Comprehensive Assessment of the Education Sector" ($881.800); "Civic Values Education" ($1.2 million); "Iraq Public Sector Modernization – Phase I" ($2.6 million) and "Improving quality of TVET in KRG" ($1 million). New projects initiated during the reporting period included the "Iraq Public Sector Modernization – Phase II" ($2.2 million, from the UNDAF Iraq Fund); the "Design and Implementation of a High Quality Labour Survey of the Agricultural Industry in Iraq" ($199,976 from FAO); "Education and Life Skills Training Support Programme" ($399,905, from UNHCR); and "Educate a Child Initiative in Iraq (EACI)" ($3.9 million, from the Office of Her Highness Sheikha Moza bint Nasser).

well as 205 math, physics, biology and chemistry supervisors (grade 10 and 11), were trained on teaching effectively by emphasizing an active learning approach.

5.     In parallel, and with a view to institutionalize improved management of curriculum development and teacher training in Iraq, a feasibility study for establishing a National Curriculum Center in Iraq, as well as a National Teacher Training Strategy, were finalized and submitted to the ministers of education at central and KRG levels for their endorsement.

6.     **Supporting the Iraqi Higher Education System –** Support to the strengthening of the institutional and human capacity of the MoHESR and Higher Education Institutes (HEIs) to provide quality higher education opportunities continued under the project "Rehabilitation of the Iraqi Higher Education System" ($8.5 million from the Office of Her Highness Sheikha Moza bint Nasser). In particular, steps towards the improvement of the quality assurance and accreditation systems at HEIs were taken. UNESCO also further consolidated the Iraq Avicenna Virtual Campus Portal and Virtual Library, through the existing three pilot Avicenna e-learning centres at the universities of Baghdad, Salah Al Din and Basra and planning for the expansion of the Avicenna Center's network in Iraq. Finally, academic and research exchanges between Iraqi universities and universities abroad were promoted and established.

7.     **Strengthening technical and vocational education and promoting youth entrepreneurship** – Through the project "Fighting Youth Unemployment through Education" ($660,000 from Japan), UNESCO provides technical and vocational skills to unemployed youth in KRG and encourages youth entrepreneurship. During the reporting period, the entrepreneurship curriculum KAB ("Know about Business") was customized and applied through training of certified trainers. UNESCO also developed a coaching and mentorship methodology toolkit, which was adopted by the Ministry of Labor and Social Affairs in KRG, and subsequently applied, with the training of 20 business coaches for monitoring new businesses in utilizing the toolkit. Following a media campaign to raise awareness on TVET and encouraging youth to register for entrepreneurship courses, 300 new students were enrolled in an entrepreneurship programme, of which 200 will have the chance to start their own business backed by a government loan in the third quarter of 2013.

8.     **Access to education: focus on out-of-school children and youth, as well as adult literacy** – UNESCO efforts to provide educational opportunities were scaled up as the project "Educate a Child Initiative" ($3.9 million from the Office of Her Highness Sheikha Moza bint Nasser) was launched in spring 2013 with two inception/launching workshops held respectively in Baghdad and Erbil. The pilot phase of the project aims to provide a full accelerated course of primary education benefiting 30,000 out-of school children (50% girls and in rural areas), that are currently not targeted through governmental and non-governmental interventions. In June 2013, UNESCO signed a partnership agreement with AMAR International, one of the implementing partners in the project.

9.     Through the "Literacy Initiative for Empowerment (LIFE) in Iraq" ($6.4 million from the office of Her Highness Sheikha Moza bint Nasser), a national literacy campaign targeting 2.5 million illiterates by 2015 was launched in September 2012, with technical support by UNESCO. Advocacy for literacy was combined with continued human and institutional capacity development aimed at strengthening the ministries of education in both Baghdad and Erbil, as well as civil society partners: technical support for the establishment of the national literacy agency was provided and a national literacy strategy was endorsed by the two Ministries of Education. Finally, in June 2013, with the financial support of UNHCR, UNESCO signed agreements with six NGOs to open ten new community learning centres (CLCs), targeting 1,200 new beneficiaries consisting of 80% vulnerable IDPs and 20% Syrian refugees. The opening of the new centres extends LIFE's current network of CLCs to 130, furthering the reach of the NGO network and its ability to answer to the needs of marginalized populations within Iraq.

*Culture*

10.    In the area of culture, UNESCO assistance focused on the protection and promotion of cultural heritage, as a central element of the Iraqi people's cultural identity and a factor of socio-economic development in the context of the growing tourism industry in several parts of Iraq, in particular in Kurdistan Regional Government as well as in cities of major religious significance. In this context, UNESCO worked closely with the ministries of culture and of tourism and antiquities, as well as with local authorities at the governorate level.

11.    During the review period, a number of projects were brought to completion,[7] and several new projects were initiated.[8]

12.    **Conservation and management of cultural heritage sites and monuments** – UNESCO supported cultural heritage conservation and management at several sites of major significance enlisted on the World Heritage Tentative List of Iraq.

13.    Through the project "Revitalization of the **Erbil Citadel** – Phase II ($12.9 million from the Kurdistan Regional Government – Erbil Governorate), progress was made towards achieving the conservation of the Citadel's most vulnerable features through the completion of a project for carrying out urgent preventive works for four of the most vulnerable buildings at the Citadel. Additionally, works have started for the execution of urgent preventive works for two buildings along the Citadel's slope and for carrying out a complete restoration at four others. The High Commission for Erbil Citadel Revitalization (HCECR) has started the monitoring of the structural condition of buildings following training in the field for its technical staff through UNESCO's assistance. Finally, in early 2013 following the completion of Erbil Citadel's Management Plan in 2012, the HCECR completed the World Heritage nomination file for Erbil Citadel, prepared with technical support by UNESCO, and subsequently submitted to the World Heritage Committee's for its consideration.

14.    Professional capacities for enhanced planning on the conservation and management of the **Iraqi Marshlands** and of the **Wadi as Salam cemetery in Najaf** were developed as UNESCO assisted Iraqi counterparts in the process of preparation World Heritage nomination dossiers for each site. Through the joint UNEP-UNESCO project "World Heritage inscription process as a tool to enhance the natural and cultural management of the Iraqi Marshlands" and the project "Safeguarding Najaf's cultural heritage and promoting its international visibility", training workshops were organized gathering members of the respective drafting teams. In between workshops, the lead mentors maintain communication with the drafting team to support their research and writing process.

15.    **Promoting the visibility of Iraq's cultural heritage** – As Iraq continued to witness a tense security situation, public access and awareness on the country's cultural heritage, by Iraqis and international professionals and tourists remained limited. In this context, UNESCO seeks to develop new opportunities to learn about the country's history and culture.

16.    In the context of the project "Modernizing Sulymaniyah Museum", a pre-figuration exhibition entitled "In Writing: Objects from the collections of the Sulymaniyah Museum", was inaugurated in

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[7]    "Development of a National Tourism Strategy" ($1 million from UNDG-ITF); the "Modernizing Sulymaniah Museum" ($350,000 from the UNDG-ITF and $305,000 from the Governorate of Sulymaniah); "Erbil Citadel Buffer Zone" ($338,208 from the Kurdistan Regional Government); and Restoration guidelines and technical specifications for the Ottoman Building known as Dar Al- Wali ($100K from Turkey).

[8]    The "World Heritage Inscription Process as a Tool to Enhance Natural and Cultural Management of the Iraqi Marshlands – Phase III" ($120,000 from Italy through UNEP); "Production of an online and print Encyclopedia of Sulaymaniyah" ($772,.300 from the First Lady of Iraq); "Study and Documentation in view of the Stabilization and Conservation of Al-Hadba Minaret in Mosul" ($1.4 million from the Governorate of Ninewah); "Samara Historical City Center" ($1.7 million from the Governorate of Salah Al Din) and "Enhancing Capacities in the Documentation and Conservation of Historical Religious Buildings and in the Refurbishment of Contemporary Mosques in Historic Contexts" ($1.6 million from the Iraqi Ministry of Sunni Endowment).

March 2013 under the auspices of the First Lady of Iraq, H.E. Hero Ibrahim Ahmad. The exhibition highlights the richness of the cultural heritage of the region and of the collections of the Sulymaniyah museum, the second largest in Iraq. In addition, the Master Plan of the Sulymaniyah Museum was finalized in May 2013 and officially presented and discussed with the First Lady of Iraq and the Governor of Sulymaniyah with a view to mobilize funds for its implementation.

17. The outcomes of the project "Assisting the Government of Iraq to Develop a National Tourism Strategy", were published. These are the National Strategy for Tourism Development, as well as two tourism development area plans, respectively for the Governorates of Babylon and of Najaf. The documents comprise specific sections on the development and management of sustainably cultural and religious tourism. The national strategy was endorsed by the Ministry of Tourism and Antiquities, which has sought to secure its initial implementation within in the Ministry's national budget allocation for 2014.

18. Finally, in the context of the project "Safeguarding Najaf's cultural heritage and promoting its international visibility", a comprehensive assessment of Najaf's unique manuscript collections was completed in 2012 and served as basis for the design of a training programme for preventive conservation of books and manuscripts. The first of three training sessions took place in one of the old libraries in Najaf in June 2013 and brought together trainees from major manuscript centers and libraries in Iraq, including Najaf, Kerbala and Baghdad.

*Natural sciences*

19. UNESCO efforts focused on the management of Iraq's natural resources, in particular water, disaster risk management, as well as professional and institutional capacity development in science and technology. One project was brought on the "Development of a Master Plan for Science, Technology and Innovation (STI)" ($113,000 from Japan). Based on the results of this project, an STI policy is under preparation.

20. As part of capacity development under the project "Development of National Framework for Integrated Drought Risk Management in Iraq" ($215,000 from the Iraq UNDAF Fund), UNESCO organized a study tour for Iraqi experts to visit research centres, training institutions and governmental bodies specialized in drought monitoring and management in Kenya, in November 2012. Attended by an Iraqi delegation of 14 senior officials, the study tour aimed to increase level of understanding on how to manage the drought and the infrastructure needed in this regard, in addition to modern monitoring systems. Efforts are under way to finalize the development of best practices to mitigate drought effect in Iraq.

*Communication and Information*

21. The protection and promotion of freedom of expression in Iraq remained a priority for UNESCO action in the country. With the rise in sectarian tensions and violence over the past months, Iraqi media professionals' safety became increasingly at risk. Also, a continuous challenge for Iraqi journalists is meeting the standards of professionalism required to build public trust in the media as a reputable source of information to help in decision making.

22. During the past year, two projects were brought to completion, namely the projects on "Media and Elections" ($3 million from the UNDG-ITF) and on "Protection of Media professionals, human rights defenders and members of the academic community in Iraq" ($589,400 from the UNDG-ITF). A new project on "Training Local Journalists in Investigative Journalism" ($30,800 – IPDC) launched in May 2013, with the aim to equip journalists with the skills to work as investigative reporters in order to promote good governance and transparency, holding government officials accountable for their actions.

23. A key achievement of the project "Protection of Media professionals, human rights defenders and members of the academic community in Iraq" was the creation, in July 2012, of the Human

Rights Defenders Federation in Iraq. Throughout 2012, and more specifically focusing on freedom of expression as a human right, UNESCO organized a series of conferences to discuss the draft law on freedom of expression. These regional meetings helped raising awareness and understanding on human rights, in particular international standards pertaining to freedom of expression, and discussing alignment of national legislation with such standards.

24. On the occasion of this year's World Press Freedom Day 2013, UNESCO together with UNAMI and UN Women organized a round table on "The role of the Media in Advancing Women's Rights in Iraq" in Baghdad. The debates focused on the role of the Iraqi media in promoting women's rights and gender equality nationwide in order to encourage greater participation of women in the media, challenge stereotyping in the news, and identify ways on how to the media could serve to strengthen women's political participation. In connection with World Press Freedom Day, UNESCO also participated in a national conference on the safety of media organized by the Iraqi Journalists Syndicate in Baghdad.

25. In June 2013, an inter-agency task team led by UNESCO and with the participation of UNDP, UNAMI Human Rights Office and UN Women, was established under the United Nations Country Team in Iraq for the purpose of steering United Nations efforts to implement the United Nations Plan of Action on the Safety of Journalists and the Issue of Impunity in Iraq.

**Proposed decision**

26. In light of the above, the Executive Board may wish to consider the following decision:

The Executive Board,

1. Recalling 190 EX/Decision 5,

2. Having examined document 192 EX/5 Part I (C),

3. Acknowledges with appreciation the results achieved in the implementation of educational, cultural, scientific and media activities and the continued mobilization of substantial extrabudgetary resources to this effect;

4. Encourages the Director-General to continue to give full support to the Iraqi Government in its implementation of educational, cultural, scientific and media programmes, in particular through capacity-building activities and by addressing the most urgent humanitarian needs of affected population;

5. Expresses its gratitude to all donors 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 to foster reconstruction and dialogue in Iraq;

6. Calls upon donors to sustain their funding through the UNESCO bilateral, private mechanisms and the funds-in-trust modality established within the United Nations Development Assistance Framework (UNDAF);

7. Further invites the Director-General to present a progress report to it at its 195th session.

**D. Implementation of 36 C/Resolution 43 and 191 EX/Decision 5 (I) relating to the Ascent to the Mughrabi Gate in the Old City of Jerusalem**
(Follow-up to 191 EX/Decision 5 (I))

1. Pursuant to 176 EX/Special Plenary Meeting/Decision and to the decisions of the World Heritage Committee since its 31st session in 2007 (Christchurch, New Zealand), the World Heritage Centre has spared no efforts to facilitate exchanges between Israeli, Palestinian, Jordanian and Waqf experts regarding the design of the Mughrabi Ascent in the Old City of Jerusalem. Despite these efforts, to date no follow-up to the technical meetings held in January and February 2008 has taken place.

2. This item was inscribed on the agenda of the Executive Board at all subsequent sessions. It is also presented annually to the World Heritage Committee within the framework of the item related to the state of conservation of World Heritage properties inscribed on the List of World Heritage in Danger as regards the Old City of Jerusalem and its Walls.

3. During the discussions at the 190th session of the Executive Board, Member States expressed their concern as regards the lack of progress in implementing the decisions of the Board and of the World Heritage Committee. At the 191st session, a consensus was reached among the concerned parties, which led to the adoption of 191 EX/Decision 5 calling for a joint technical reactive monitoring mission to Jerusalem by the World Heritage Centre, ICCROM and ICOMOS to be sent to the Old City of Jerusalem. As a result of this decision, the parties also agreed to hold a meeting of experts on the Mughrabi Ascent in May 2013.

4. The meeting, for which the Jordanian and Palestinian authorities had designated their experts, was due to take place at the World Heritage Centre on 27 May 2013. However, failing to agree on the terms of reference of the above-mentioned mission, the Israeli authorities considered the meeting to be premature and it therefore has not taken place at the time of drafting of the present document.

5. At the 37th session of the World Heritage Committee (Phnom Penh, Cambodia, 17-27 June 2013), during the assessment of the state of conservation of the Old City of Jerusalem and its Walls, inscribed on the List of World Heritage in Danger, the Committee adopted decision 37 COM 7A.26 following a roll-call vote[9] deploring the fact that the mission had not taken place. Part II of the decision concerning the Mughrabi Ascent "reaffirms … that no measures, unilateral or otherwise, shall be taken which will affect the authenticity, integrity and the distinctive character of the site".

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[9] Ten votes in favour, three votes against, and eight abstentions.

**E.    Comprehensive feasibility studies for:**

(i)    the possible Creation of a UNESCO-IHE global campus, and

(ii)    an in-depth assessment of the implications of granting to UNESCO-IHE the right to award doctorate degrees
(Follow-up to 190 EX/Decision 18 (X))

At its 190th session, the Executive Board requested the Director-General to present at the 192nd session of the Executive Board two documents regarding the UNESCO-IHE category 1 centre: (1) Results of the comprehensive feasibility study for the possible creation of a UNESCO-IHE global campus; and (2) Results of the comprehensive feasibility study for an in-depth assessment of the implications of granting to UNESCO-IHE the right to award doctorate degrees. In the light of the changes taking place in the Organization and the high complexity of the feasibility studies which require further consideration, the Director-General proposes to postpone the submission of the above mentioned documents to the 194th session of the Executive Board.

Item **5** of the provisional agenda

# REPORT BY THE DIRECTOR-GENERAL ON THE 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 a summary of recently completed evaluations and one related audit, namely:

- Evaluation of UNESCO's Standard-Setting Work of the Culture Sector and the related Audit of Standard-Setting Working Methods in the Culture Sector; and

- Diagnostic Study of Evaluations of UNESCO's Extrabudgetary Activities.

There are no specific additional policy implications of a financial or administrative nature.

Action expected of the Executive Board: proposed decision in paragraph 43.

**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 two evaluations and one related audit completed during 2013.

2.    In line with its biennial evaluation plan for 2012/13, IOS completed the evaluations on Priority Africa, Priority Gender Equality, UNESCO Education category 1 institutes, the pilot phase of the International Fund for Cultural Diversity (IFCD), and the Secretariat of IOCARIBE, which were presented in the 2012 IOS Annual Report (191 EX/22).

3.    The following evaluations are foreseen for late 2013 and early 2014: (1) Evaluation of UNESCO's standard-setting work of the Culture Sector (Part II); (2) Report on field reform in Africa; and (3) Review of results reporting in UNESCO. In addition, IOS will continue to provide backstopping to evaluations managed by sectors, offices and bureaux, such as those for the Man and the Biosphere (MAB) Madrid Action Plan, the Asia and Pacific Regional Bureau's Education Support Strategy and the World Heritage Partnerships for Conservation Initiative (PACT). We will continue to provide an overview of all audits and evaluations completed in the IOS annual reports to the Executive Board and all evaluations are available publicly on UNESCO's website.

**EVALUATIONS COMPLETED**

**(1)    Evaluation of UNESCO's standard-setting work of the Culture Sector**

This summary reports on the first part of the evaluation of the standard-setting work of the Culture Sector, i.e. the 2003 Convention for the Safeguarding of Intangible Cultural Heritage. The final evaluation report covering the six main culture conventions will be presented to the Executive Board at its 194th session.

The first part of the evaluation found that States Parties, as well as non-State actors interviewed and surveyed, consider the 2003 Convention to be a highly relevant international legal instrument. The Convention has significantly broadened the international discourse around cultural heritage and a majority of States Parties have integrated the Convention's provisions in cultural policies and laws. As many countries lack the financial and human resources to fully implement the Convention, UNESCO has put in place an extensive world-wide capacity-building programme. The evaluation also found that the Representative List is overrated and that other mechanisms are significantly underused. Non-governmental organizations (NGOs) have limited entry points to decision-making at the international level and could play a greater role in policy-making at the national level. Finally, linkages between the various culture conventions have not been fully exploited

**Background and purpose**

4.    As the only United Nations agency with a mandate in culture, UNESCO has developed a comprehensive series of standard-setting instruments in this field. Significant time and resources are spent on standard-setting activities related to these instruments and even though the visibility of some of this work is high, no comprehensive evaluation has ever been conducted of the standard-setting work of UNESCO. This evaluation was initiated to generate findings and recommendations regarding the relevance and effectiveness of standard-setting work of the culture sector with a focus on its impact on legislation, policies and strategies of Parties to the conventions. The evaluation is complemented by an audit of the working methods.

5.    The evaluation exercise of all normative work in the Culture Sector is still ongoing. Part one focuses on the 2003 Convention for the Safeguarding of the Intangible Cultural Heritage, which had never been evaluated. The findings of part one will be presented to the Convention's

Intergovernmental Committee at its next session scheduled for December 2013. The present paper therefore presents preliminary findings and conclusions on the standard-setting work related to the 2003 Convention.

**Methodology**

6.      Methodology comprised: in-depth desk study; interviews with UNESCO staff, representatives of States Parties, civil society organizations, tradition bearers and other stakeholders; online surveys of all States Parties and accredited NGOs; field missions to four countries; and observation of sessions of the Intergovernmental Committee as well as of its subsidiary and consultative bodies. The evaluation was conducted between March and July 2013 by the IOS Evaluation Section and an external consultant.[1]

**Preliminary findings**

7.      **State Parties consider the 2003 Convention for the Safeguarding of the Intangible Cultural Heritage to be a highly relevant international legal instrument**, which is, *inter alia*, demonstrated by an exceptionally high number of ratifications. In the past ten years, 153 States have become Parties to the Convention. This view is also shared by many non-state stakeholders involved in the implementation of the Convention, including NGOs, community-based organizations and members of the Academia.

8.      **Due to its standard-setting work, especially the 1972 Convention, but also the 2003 Convention and others, UNESCO is widely recognized as a leader in the field of cultural heritage.** Increasingly, the organization is also valued by Member States and other United Nations agencies for its efforts in demonstrating the links between culture and development. Work undertaken in the context of the implementation of the 2003 Convention contributes to this debate.

9.      **The 2003 Convention has significantly broadened the international discourse around the definition and meaning of cultural heritage.** Intangible cultural heritage is today recognized as a valuable and integral part of people's cultural heritage and as a key provider of people's identity, putting communities at centre stage.

10.     **A majority of States Parties have integrated the Convention's provisions in cultural policies and laws following ratification.** A high number of States Parties have also put in place a dedicated institutional framework for the implementation of the Convention, such as national intangible cultural heritage bodies and committees.

11.     **Integration of the provisions of the Convention in policies and laws other than culture (agriculture, health, tourism, etc.) remains a challenge.** While several States Parties have made such efforts, significantly more work needs to be done, both in terms of demonstrating the link between intangible cultural heritage and sustainable development and of putting the mechanisms in place that facilitate the required intersectoral work.

12.     **In many countries Government institutions lack the financial and human resources to successfully implement the Convention. Understanding the concepts of the Convention also often remains a challenge, both at the government and community levels.** This is especially evident when it comes to inventorying, design and implementation of safeguarding measures, cooperation with other States Parties, preparation of nomination files (both national and multinational), and community consultation and participation in all of these areas.

13.     **UNESCO has put in place an extensive world-wide capacity building programme with a network of qualified experts.** Of all the mechanisms established by the Convention and the Secretariat to support the implementation of the Convention, the capacity building programme is considered by many to be the most important. Its approach, consisting of a comprehensive, long-term engagement with States Parties and the utilization of a variety of training tools, contributes to

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[1]      The evaluation was made possible by the financial support of the Flanders Trust Fund.

the sustainability of the benefits generated. The programme could usefully be extended to include more support in policy and legislative development. More efforts are needed for follow-up and assessment of results achieved.

14. **While the Representative List has contributed to increasing the visibility of the Convention and to raising awareness about intangible cultural heritage, its relative importance is overrated. Other mechanisms, such as the List of Intangible Cultural Heritage in Need of Urgent Safeguarding, the Register of Best Safeguarding Practices and the International Assistance are underused.** A better balance needs to be found between these mechanisms by (a) clarifying all misperceptions regarding the concepts and intention of the Representative List; (b) promoting and, if necessary, rebranding the Urgent Safeguarding List; (c) promoting the International Assistance Programme; and (d) rethinking the way best practices are identified and disseminated.

15. **The 2003 Convention is closely linked to the 1972 and 2005 Conventions as well as to some of the work of the World Intellectual Property Organization.** While this is generally acknowledged by stakeholders, possibilities for strengthening policy and implementation connections, exchanging experiences and enhancing cooperation between the various culture conventions have not been fully exploited.

16. **Overall, the Convention lacks a monitoring and evaluation framework with objectives, indicators and benchmarks, which makes it difficult to measure and demonstrate results.** Periodic reports provide a valuable source of information on the implementation of the Convention. They should be complemented by other sources, so that a more complete data set on results achieved and lessons to be learned can be established.

17. **NGOs are recognized to play an important role in the implementation of the Convention at the country level.** Their role is primarily focused on the implementation of safeguarding measures with little or no input in cultural policy-making. At the international level, entry points for NGOs, including organizations representing ICH bearers, to contribute to decision making are limited. Recommendations made by the international NGO Forum, which is highly appreciated by NGOs, are hardly ever considered in detail and taken up by the Intergovernmental Committee. This is a lost opportunity, since the Convention management and policy-making might benefit from the input from a variety of stakeholders.

18. **The work of the UNESCO 2003 Convention Secretariat is considered to be of high quality.** Overall its services are much appreciated by States Parties, who consider the Secretariat to be professional, efficient and responsive. The Secretariat, however, lacks resources, which has put constraints on the number of nominations and proposals processed and on other activities.

## (2) Audit of standard-setting working methods in the Culture Sector

IOS conducted an audit of the working methods of the six conventions in the field of culture to assess the adequacy and efficiency of the working methods of UNESCO's standard-setting work in the Culture Sector. The audit found that the current situation is unsustainable as support from the regular programme budget decreases and the workload of the convention secretariats increases. There is thus a need to review the amount of Secretariat work that can be executed and cost-saving measures should be considered. Potential measures include reducing the frequency and duration of the meetings of governing bodies, synchronizing the meetings of the general assemblies, temporarily suspending fresh nominations, and using more sponsors for meeting expenses, including for translation and interpretation. The audit also found that there is an opportunity for a common platform across the culture conventions for support services given the synergies and nature of functions. Finally, alternative funding structures, such as those employed by other United Nations multilateral environment agencies, should be considered.

**Background**

19.    The audit review contributes to Executive Board decisions to implement results-based budgeting and improve accountability (191 EX/15 42) as well as address some challenges intergovernmental bodies face (191 EX/16 Part IV (5 and 6)). The scope of the review included working methods of the governing bodies as well as those in the secretariats and funding arrangements. Working methods of the governing bodies and broad functions of the secretariats for each convention are guided by the Convention/instrument itself, its operational directives and rules of procedures of its statutory organs.

20.    The convention budgets comprise about 80% of the total budget of the Culture Sector. The financial resources of the six culture conventions for the current biennium are given below.

| | 1954 Convention | 2001 Convention | 1970 Convention | 2005 Convention | 2003 Convention | 1972 Convention |
|---|---|---|---|---|---|---|
| Regular Programme | 643 357 | 589 273 | 1 343 406 | 2 105 095 | 4 388 565 | 9 891 944 |
| Extrabudgetary funds | 265 897 | 915 088 | 1 227 721 | 10 389 227 | 13 078 891 | 8000000* |
| TOTAL | 909 254 | 1 504 361 | 2 571 127 | 12 494 322 | 17 467 456 | 17891944** |
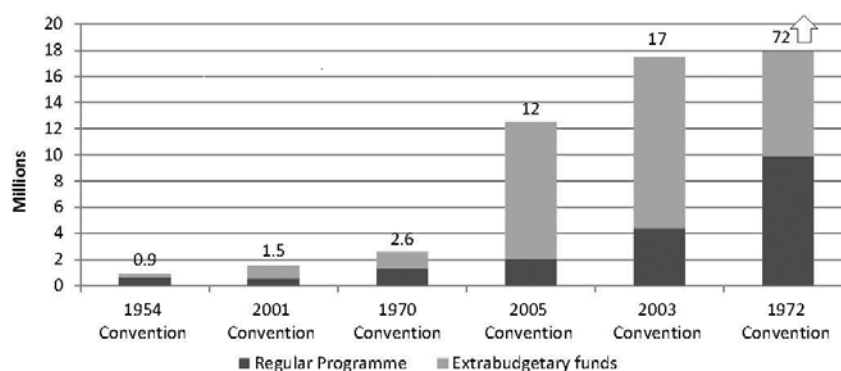


*Main findings*

*Governance arrangements*

21.    Governance of the conventions is carried out through periodic meetings of States Parties and intergovernmental committees relating to the conventions. The State Parties to the conventions meet periodically, generally once in two years with meetings ranging from one to five days. Intergovernmental committees meet annually or more frequently for durations ranging between two to twelve days. However, no intergovernmental committee had been established for two of the conventions, while for a third convention, a committee was only established in 2013.

22.    While a Cultural Convention Liaison Group (CCLG) comprising of the heads of the convention secretariat has been established to increase coordination among conventions, there is no institutional mechanism for interaction between the governing bodies of the conventions.

23.    Three funding modalities support the conventions' activities: (1) UNESCO Regular Programme support by way of activity funding and staff resources; (2) dedicated funds for a convention based on either assessed or voluntary contributions from Member States; and (3) other extrabudgetary funding. For the 2012-13 biennium, regular programme support totalled $18.4 million for the six conventions, of which $13.8 million was for staff resources to the Secretariat and $4.6 million for activity support. The activity support includes funding of some costs related to governing body and other subsidiary body meetings of these conventions, e.g. costs relating to translation, interpretation and some participant travel.

24. The Management Review of Environmental Governance within the United Nations system by the Joint Inspection Unit (JIU/REP/2008/3) found that general trust funds, formed through contributions from the Contracting (States) Parties on compulsory or voluntary basis, are often used to meet the expenses of the conventions, covering the ordinary expenditures of the secretariats, including staffing, administrative costs, preparation and translation of documents. Alternative funding mechanisms could be explored.

*Secretariat structure and functions*

25. The Secretariat generally assures the following functions:

(i) Arranging the statutory and other meetings relating to the conventions and implementation of their decisions and recommendations;

(ii) Providing support to the Intergovernmental Committees in processing and evaluating States Parties' requests and providing feedback to States Parties, for inscription based conventions;

(iii) Capacity-building in States Parties, either to support the conventions through training and other activities or assistance in formulating proposals for inscriptions;

(iv) Compiling and analysing periodic reports, submitted by States Parties, and providing other communications to support the conventions;

(v) Management of the relevant intergovernmental funds and granting of international and other categories of assistance.

26. Over the years, the work of the convention secretariats has increased due to: (a) an increase in the number of States Parties to the conventions; (b) an increase of the number of statutory meetings and their bodies; (c) an increase in the number of decisions and recommendations to be implemented by the secretariats; (d) an increase in the number of nominations; and (e) an increase in the number of periodic reports.

27. The secretariats for each convention vary in size and each is organized differently. For instance, the 1972 convention, which has the largest secretariat staff, is organized on a regional basis, while the 2003 convention is organized on a functional basis. Other convention secretariats have a flat structure given the smaller staff strengths. The degree of decentralization of activities to UNESCO field offices varies across the conventions, from 26 to 52% for the current biennium. There may be opportunities to further decentralize activities and staff resources to the field.

28. Support services such as information technology and web design and maintenance, communication and meeting logistics are thinly spread across each convention secretariat resulting in overlapping of resources and inadequate support service for some of the smaller conventions, e.g. those of 1970, 1954 and 2001.

29. During the prioritization exercise by the Executive Board (the fifth special session), the expected results relating to all six conventions received B-A budget priority ratings with special mention for the 1970 convention. This has implication for the regular programme budget support in the next biennium and could further worsen the resource output equation.

30. Extrabudgetary fundraising has been a challenge for the conventions. As the convention secretariats have relied on traditional donors such as Member States, the donor base is not well diversified. There is very little coordination across the conventions in terms of fundraising efforts. While some conventions or funds supporting the conventions have a formal fundraising strategy, others have yet to formulate one. Smaller conventions have no dedicated fundraising staff, which hampers their fundraising. A comprehensive fundraising strategy for all conventions could be helpful in increasing extrabudgetary contributions.

*The way forward*

31. The summary is for information only of the Executive Board. IOS will produce a detailed audit report on the working methods of these conventions and in consultation with the Culture Sector develop a set of recommendations for further action.

## (3) Diagnostic study of evaluations of UNESCO's extrabudgetary activities

UNESCO more than ever relies on extrabudgetary funding for delivering upon its mandate. As donors are increasingly concerned about value for money, UNESCO has stepped up its efforts to improve the accountability framework of its operations. A diagnostic study of 570 recent (self-) evaluation reports found that most reports are meeting basic reporting requirements. However, many challenges remain, such as improving the quality of the causal analysis and the evidence on processes of change brought about by UNESCO's projects.

IOS and BSP-CFS will continue to strengthen their collaboration to improve communication, guidance and quality assurance of evaluations of UNESCO's extrabudgetary activities.

### *Background*

32. In order to improve the quality of evaluations of extrabudgetary activities, the Secretariat has embarked on a number of measures, namely:

  (i) Updating and improving existing guidelines, rules and procedures for evaluations of extrabudgetary activities

  (ii) Improving communication and backstopping on evaluations of extrabudgetary activities

  (iii) Describing and assessing the current state of evaluation of UNESCO's extrabudgetary activities.

33. The first two activities are ongoing (several outputs have been generated). The third aspect has been finalized and the full report of the diagnostic study is now available on the IOS website.

34. The diagnostic study is the first of its kind. A total of 570 evaluation and self-evaluation reports were assessed: 435 final narrative reports and 135 external evaluation reports (mostly from 2009-2012). The assessment included both the format and content of the reports.

### *Findings*

35. Overall, the vast majority of final narrative reports meets the basic reporting requirements, i.e. they contain all relevant diagnostic information as well as a description of implementation and output delivery.

36. The majority (61%) of final narrative reports and a significant proportion (12%) of external evaluations did not include any discussion of the effects of activities, i.e. reporting was limited to implementation and output delivery. Of those final narrative reports that included information on effects, the discussion is limited.

37. In 86% of final narrative reports, there is a lack of clarity on the causal chain from intervention implementation to outputs and effects. This percentage is much lower in external evaluations, but still substantial (39%).

38.    Inconsistent use of RBM terminology among UNESCO staff, in part caused by different conventions used in donor agencies and UNESCO, adversely affects the quality of causal analysis in reports.

39.    The average quality of external evaluations is significantly higher than final narrative reports. This is to be expected given that the former rely on considerably more resources and evaluation expertise.

40.    The quality of reports has been relatively stable over time, with a slight decrease being noted. The lack of improvement is a cause for concern.

*The way forward*

41.    The findings of the study underline the importance for further action to strengthen the quality of evaluations, including self-evaluations, of extrabudgetary activities. New guidelines for (self-) evaluation were introduced at the end of 2012. In combination with communication and backstopping initiatives, this is expected to enhance the quality of reports.

   (1)    IOS and BSP-CFS will (i) maintain a close collaboration focusing on updating and improving existing guidelines, rules and procedures, and enhancing communication and backstopping on evaluations of extrabudgetary activities; (ii) maintain a database of (self-) evaluation reports to enable IOS to periodically assess the quality of reports; (iii) improve the integration of (self-) evaluation reports into UNESCO's results reporting.

   (2)    Headquarters, field offices and category 1 institutes should improve compliance with the rules and procedures on evaluation of extrabudgetary activities (many of which are not new). With guidance from IOS and BSP, they should improve the quality of causal analysis in (self-) evaluation reports.

   (3)    As stipulated in its Evaluation Plan (2012-2013), IOS will revise UNESCO's evaluation policy, taking into account the findings of the present study.

42.    Over time, improvements in UNESCO's evaluation system are expected to generate positive reputational effects and improvements in accountability and learning across the UNESCO system, which in turn will improve the delivery on its mandate.

**PROPOSED DECISION**

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

   The Executive Board,

   1.    Recalling 182 EX/Decision 6 (Annex paragraph 10), 35 C/Resolution 82(11), 186 EX/Decision 6 (VI),

   2.    Having examined document 192 EX/5 Part II,

   3.    Welcomes the evaluations and audit completed, 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.

United Nations
Educational, Scientific and
Cultural Organization

PARIS, 6 September 2013
Original: English/French

· 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

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.

This document contains information on the following management issues:

**A.  Implementation of the Participation Programme and emergency assistance**

Pursuant to 36 C/Resolution 69 (II), paragraphs 2 (c) and 3, adopted by the General Conference, the Director-General submits to the Executive Board a report on requests approved under the Participation Programme and emergency assistance for 2012-2013, including those submitted by international non-governmental organizations (NGOs) which maintain official partnerships with UNESCO and indicating the amounts approved to finance them. The lists are provided online at the following address:
http://unesdoc.unesco.org/images/0022/002216/221686M.pdf

This document sets out and analyses the results expected from the implementation of the Programme.

Action expected of the Executive Board: proposed decision in paragraph 12.

**B.  Proposal for the organization of regional consultation meetings concerning the C/4 and C/5 documents**

By decision 187 EX/ 17 III (A), the Executive Board had "invit[ed] the Director-General to submit to it at its 191st session a proposal for the organization of the regional consultation meetings, including format, structure, costs and expected outcomes, with a view of allowing more informed and focused outcomes" (paragraph 4). It was then decided that the report would be made available to the 192nd session of the Executive Board. The present document aims at responding to this request.

Action expected of the Executive Board: proposed draft decision in paragraph 13.

**C. Report by the Director-General on the progressive implementation of results-based budgeting at UNESCO**

In accordance with 191 EX/Decision 5.V, the Director-General presents in this document a report on a phased approach for the progressive implementation of results-based budgeting at UNESCO, including:

- An update on work being undertaken concerning the accountability framework;
- Initial estimates for investments needed to implement RBB; and
- A revised calendar of implementation which takes into account the discussions of the Executive Board at its 191st session.

Action expected of the Executive Board: decision in paragraph 13.

**D. Implementation of the action plan for improved management of extrabudgetary funds**

This document provides a progress report by the Director-General on the implementation of the Action Plan for Improved Management of Extrabudgetary Funds (174 EX/INF.4). It includes information on the programming of extrabudgetary activities under the Complementary Additional Programme (CAP) released in March 2012, as well as updates on resource mobilization and on the implementation, monitoring and evaluation of extrabudgetary activities, as well as measures to build capacity. The report also gives an update on the implementation of the cost recovery policy.

Financial and administrative implications of the reported activities fall within the parameters of the current C/5 document.

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

**E. Comprehensive partnership strategy**

This document gives a summary of the Comprehensive Partnership Strategy and of the process for its elaboration, taking into account the feedback from the Executive Board (187th, 190th, 191st sessions).

The Comprehensive Partnership Strategy comprises an umbrella statement and separate strategies for cooperation with the private sector, bilateral government donors, media companies, NGO's, parliamentarians, UNESCO Clubs and UNITWIN/Chairs, UNESCO Associated Schools Project Network, Goodwill Ambassadors, the UNEVOC Network and the category 2 institutes and centres. As requested by the 191st session of the Executive Board, specific targets and expected results aligned with the four-year programmatic period of document 37 C/5 have been elaborated for each strategy for engagement with individual categories of partner. The Comprehensive Partnership Strategy in its integrity including the targets and expected results for each category of partner is presented to the Executive Board as document 192 EX/5 Part III.INF.

This report has no financial implications.

Action expected of the Executive Board: Proposed decision in paragraph 13.

**F. Report by the Director-General on the after-service health insurance (ASHI) liability**

The Executive Board, 191 EX/Decision 29, requested the Director-General to report to it on the ASHI liability of the Organization.

Action expected of the Executive Board: None.

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A. **Implementation of the Participation Programme and emergency assistance**
    (Follow-up to 177 EX/Decision 56, 35 C/Resolution 67, 187 EX/Decision 6 (VIII), 36 C/Resolution 69, 190 EX/Decision 5 (VII)

1.    This document reports on results regarding the requests approved by the Director-General as at 9 June 2013, in respect of Member States, Associate Members and NGOs for the 2012-2013 biennium and on results expected from the implementation of this Programme. Of the requests received during the biennium, only those relating to the priorities set by the Organization have been approved by the Director-General, following evaluation by the programme sectors and recommendation by the Intersectoral Committee on the Participation Programme.

2.    To date, 584 requests, which amount to a total of US $11,905,125, have been approved by the Director-General, including 17 requests for emergency assistance. This amount, which represents nearly 100% of the overall appropriation for the Progamme's direct costs under revised document 36 C/5, is broken down as follows: (a) Member States: $10,494,905 for 530 requests; (b) NGOs: $546,400 for 37 requests; (c) emergency assistance: $774,820 for 17 requests for emergency assistance (three other requests are being processed).

3.    The approval process ended after 14 months, in early June 2013 following the tenth meeting of the Intersectoral Committee, instead of after 18 months as in previous biennia. It should be noted that Africa received $4.5 million, which represents 38% of the Programme's funds. While striving to improve the evaluation of projects, the Secretariat increased the exchanges with the countries concerned, in order to obtain more quickly the additional information requested by the programme sectors. The Committee took particular care to ensure that the projects recommended to the Director-General were linked to the Organization's global priorities and the strategic programmes, and were thus of particular benefit to Africa, least developed countries (LDCs), small island developing States (SIDS), and developing countries. More than 56 requests were not recommended due to non-compliance with the criteria of the relevant resolution on the Participation Programme.

4.    Taking into account the recommendations in the audit report by the External Auditor on the Participation Programme, the Sector for External Relations and Public Information (ERI) proceeded last April to consult several Member States on the main changes to be proposed in the draft resolution on the Programme based on the recommendations drawn up by the External Auditor in his report. Following these consultations, the Members of the Executive Board at their spring session approved all the changes proposed by ERI, in particular the reduction of the number of requests from ten to seven, the drawing up of a list of material and supplies not to be included in requests, the two-stage submission of requests, the introduction of annual GDP per capita as a selection criterion, the positioning of at least one request regarding "gender equality" at the top of the list, and the electronic submission of requests in future.

5.    In May 2013, ERI organized substantial presentations on the Participation Programme aiming to ensure a better understanding of its principles and rules. Particular attention was paid to the conclusions and recommendations of the external audit on the Programme and to the new changes proposed in the draft resolution at the subregional seminars of National Commissions in Honiara (Solomon Islands) and Kingston (Jamaica). Alongside these seminars, individual interviews on the progress of Participation Programme files were carried out with all participating countries. These interviews were judged very useful by the participants in their evaluation of the seminars. A similar presentation took place in Rabat (Morocco) in June, and others have been planned for the end of July in Gaborone (Botswana) and September in Quito (Ecuador) and Dakar (Senegal).

6.    Despite the efforts made, there are still many weaknesses in the requests submitted, such as incomplete forms, failure to submit pro forma invoices for equipment purchases, projects inconsistent with the Organization's fields of competence, or an insufficient description of the project and budget that do not meet the criteria laid down in the resolution on the Participation

Programme. ERI has further therefore strengthened the regular dialogue with the National Commissions in order to explain the rules in force. As recommended by the External Auditor, ERI will strive to develop an interactive tool including all formal directives and informal advice enabling National Commissions to ensure a certain standard of quality in requests and the required financial reports.

7. Furthermore, despite many reminders, several National Commissions have still not submitted financial and activity reports or made reimbursements for projects financed during previous biennia. Following efforts by ERI, several cases have been cleared but there is still much to be done, and suitable solutions need to be found to enable blocked countries to benefit from the Programmen's funds again.

8. As to the submission of financial reports and their compliance with 36 C/Resolution 69, many of the reports were submitted late to the Secretariat. Moreover, the budget distribution often did not correspond to what had initially been approved, many reports had not been dated and stamped, and the names and titles of the signatories were not provided. Observing that checks were insufficient if the supporting documents for the expenditures reported had not been examined, the External Auditor recommended that a more systematic checking procedure be introduced by ERI, the Bureau of Financial Management (BFM) and the Internal Oversight Service (IOS), involving the field offices. This option is currently being studied by the Secretariat.

9. The tables below show the breakdown of requests approved, by programme sector, by region and by priority group mainstreamed in all UNESCO programmes, namely Africa, women, youth, the least developed countries (LDCs), developing countries, small island developing States (SIDS), post-conflict or post-disaster (PCPD) countries, middle-income countries (MICs) and transition countries. They also contain data on emergency assistance.

**(a) Breakdown of requests approved by programme sector**

| Sector | Number of requests | Amount approved in US $ |
|---|---|---|
| ED | 188 | 3,886,261 |
| SC | 82 | 1,761,921 |
| SHS | 45 | 866,020 |
| CLT | 88 | 1,752,424 |
| CI | 56 | 1,159,881 |
| ODG/GE | 13 | 284,572 |
| ERI | 51 | 649,826 |
| BSP | 7 | 134,000 |
| Total | 530 | 10,494,905 |

**(b)** **Breakdown of requests approved, by region, with rate of expenditure**

| Region | Number of requests | Funds allocated in US $ | Expenditure in US $ | Rate of expenditure % as at 30.06.2013 |
|---|---|---|---|---|
| Africa | 193 | 3,765,015 | 3,271,965 | 86 |
| Asia and the Pacific | 122 | 2,454,197 | 1,943,712 | 79 |
| Latin America and the Caribbean | 106 | 2,052,214 | 1,718,161 | 83 |
| Europe (Group 1) | 3 | 65,000 | 65,000 | 100 |
| Europe (Group 2) | 59 | 1,138,762 | 1,055,762 | 92 |
| Arab States | 47 | 1,019,717 | 839,700 | 82 |
| International NGOs | 37 | 546,400 | 500,400 | 90 |
| Emergency assistance | 17 | 774,820 | 762,149 | 97 |
| IIEP funds carried forward* | | 89,000 | 89,000 | 100 |
| Sub-total | 584 | 11,905,125 | 10,245,849 | 88 |
| Unallocated balance | | 123,575 | 0 | 0 |
| Operating costs of the Participation Programme | | 26,300 | 17,517 | 67 |
| **Total** | | **12,055,000** | **10,263,366** | **76** |

\*    Funds not used in 2011 and carried forward to 2012

**(c)** **Breakdown by priority group**

| Group | Number of requests | Amount approved in US $ |
|---|---|---|
| Africa | 197 | 3,847,725 |
| Women | 48 | 1,024,870 |
| Youth | 59 | 1,149,570 |
| Least developed countries (LDCs) | 136 | 2,657,652 |
| Small island developing States (SIDS | 68 | 1,346,358 |

10.    In the following tables, requests from non-governmental organizations (NGOs) in official partnership with UNESCFO are broken down by region of project implementation, by UNESCO field of competence and by the aforementioned priority groups.

**(a) Breakdown of requests approved for non-governmental organizations, by region of project implementation**

| Region | Number of requests | Amount approved in US $ |
|---|---|---|
| Africa | 15 | 227,000 |
| Latin America and the Caribbean | 5 | 76,000 |
| Asia and the Pacific | 7 | 106,000 |
| Europe (Group 1) | 7 | 100,400 |
| Europe (Group 2) | 3 | 37,000 |
| **Total** | **37** | **546,400** |

**(b) Breakdown of requests approved for NGOs by programme sector**

| Sector | Number of requests | Amount approved |
|---|---|---|
| CI | 5 | 79,000 |
| ODG | 3 | 44,400 |
| CLT | 2 | 30,000 |
| ED | 14 | 213,000 |
| SC | 4 | 52,000 |
| SHS | 6 | 91,000 |
| BSP | 3 | 37,000 |
| **Total** | **37** | **546,400** |

11. **Requests approved under emergency assistance**

| Region/Member State | Number of requests | Amount approved in US$ |
|---|---|---|
| Congo | 1 | 50,000 |
| Comoros | 1 | 50,000 |
| Madagascar | 2 | 73,000 |
| Central African Republic | 1 | 46,820 |
| Niger | 1 | 50,000 |
| Senegal | 1 | 50,000 |
| Kenya | 1 | 50,000 |
| Equatorial Guinea | 1 | 30,000 |
| Seychelles | 1 | 50,000 |
| Haiti | 1 | 50,000 |
| Guatemala | 1 | 50,000 |
| Democratic People's Republic of Korea | 1 | 50,000 |
| Samoa | 1 | 50,000 |
| Palau | 1 | 50,000 |
| Palestine | 1 | 50,000 |
| Sudan | 1 | 25,000 |
| **Total** | **17** | **774,820** |

**Action expected of the Executive Board**

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

The Executive Board,

1. Having examined document 192 EX/5 Part III,

2. Takes note of the detailed analysis of the implementation of the Participation Programme and emergency assistance, and of the results recorded;

3. Invites the Secretariat and the Member States to cooperate actively to further optimize the Participation Programme by ensuring the effective implementation of the recommendations of UNESCO's External Auditor in his report on the Participation Programme.

**B.** **Proposal for the organization of regional consultation meetings concerning the C/4 and C/5 documents**
(Follow-up to 187 EX/Decision 17 (III, A))

1.    By decision 187 EX/ 17 III (A), the Executive Board had "invit[ed] the Director-General to submit to it at its 191st session a proposal for the organization of the regional consultation meetings, including format, structure, costs and expected outcomes, with a view of allowing more informed and focused outcomes" (paragraph 4). It was then decided that the report would be made available to the 192nd session of the Executive Board. The present document aims at responding to this request.

2.    In line with the recommendations by the Executive Board (187 EX/Decision 17 III (A), the General Conference had furthermore in 36 C/Resolution 104 Part II decided to:

(a)    maintain the current practice of holding regional consultations on programme matters, as proposed by the Director-General, for the transitional period 2012-2013 and that thereafter there be regional consultations every four years starting in 2016 for the preparation of the four-year Programme and Budget (C/5 document); and that the consultations for the preparation of the eight-year Medium-Term Strategy (C/4 document) be held in 2020;

(b)    circulate the questionnaire on the Programme and Budget to Member States, National Commissions, NGOs and agencies of the United Nations system, and to make the results of this questionnaire available before the regional consultation meetings, thereby allowing for more informed and focused discussion;

(c)    introduce a quantitative and qualitative approach to the questionnaire so as to facilitate decision-making by Member States and provide for more informed priority-setting.

3.    For the Director-General's consultations leading to documents draft 37 C/4 and 37 C/5, the above provisions have been implemented. For the first time, online questionnaires have been developed and circulated, yielding a record number of responses of 115 Member States, two Associate Members, one Observer, 93 international non-governmental organizations, three United Nations organizations, and two intergovernmental organizations across all regions. The questionnaires featured a quantitative and qualitative approach designed to facilitate decision-making and to allow for more informed priority-setting. To this end, a new mechanism involving the allocation of a maximum number of points had been applied to the quantitative questions, in order to strengthen programmatic focus, including as stipulated in strategic direction one of the Independent External Evaluation (IEE).

4.    The online questionnaires were complemented by five regional consultations, which were organized between June and September 2012. The Director-General's preliminary proposals for the draft documents 37 C/4 and 37 C/5 were developed on the basis of the outcomes of these consultations. Due to financial constraints, the Secretariat had called on the generosity of Member States to conduct the regional meetings where possible and feasible on a self-financing basis. Thanks to the substantial financial support of the host countries of these consultations (Côte d'Ivoire, Viet Nam, Slovakia, Uruguay and Oman) and other Member States, representatives from 154 Member States and Associate Members, including National Commissions, were able to participate in the consultations. Member States' coverage included expenses relating to full-board accommodation for participants. The travel expenses for representatives from LDCs and SIDS were covered by UNESCO.

**Proposal for future consultations**

5.    Based on the experience and lessons learned from previous practice, the approach suggested for the development of future C/4 and C/5 documents will maintain as a key element the

focus on consultation with Member States, including National Commissions, NGOs and organizations of the United Nations system. The expected outcomes of the consultation process will continue to be the provision of guidance and input on programme priorities from the regions to inform the Director-General's preliminary proposals on the C/4 and C/5 documents. This includes the provision of input on the strategic positioning and comparative advantage of the Organization, its thematic priorities and leadership roles, modalities of work, as well as on selected management issues.

6.    The format of the consultations however will need to evolve and be conceived in a more innovative, effective and cost efficient manner that capitalizes on modern communication and knowledge exchange practices, moving gradually from in-person meetings to ICT-facilitated discussions and remote participation meetings. This is in line with the recent decision of the Executive Board inviting the Secretariat to consider the feasibility of gradually moving towards more "virtual meetings", "[…] having regard, *inter alia*, to the need to ensure appropriate geographical representation across different time zones, as well as technical and infrastructural difficulties countries may face", including low connectivity (see 191 EX/Decision 15).

7.    ICT-facilitated consultations would then be conducted in several phases and consist in:

(a)    Firstly, an online survey through electronic questionnaires, addressed to Member States, NGOs and organizations of the United Nations system designed in the six official languages of the Organization and covering a broad range of programme and management issues, featuring quantitative and qualitative prioritization elements. The questionnaires would furthermore be accompanied by relevant background reports and information such as programme reviews. The structure of the online questionnaires will build on lessons learned and improvements made from previous experience, and take forward the successful elements applied for the 37 C/4 and C/5 consultations. As previously, the Secretariat will prepare analytic summaries of comments and proposals submitted by Member States, NGOs and organizations of the United Nations system.;

(b)    Secondly, for the regional consultations of the Director-General with Member States, including National Commissions for UNESCO, an analysis and synthesis by region of views expressed in the responses to the questionnaires, which would be prepared by the Secretariat. The Secretariat would make available online the individual responses received as well as the regional syntheses, to serve as background framework for structured and focused discussions at the regional level.

(c)    Thirdly, on the basis of the regional syntheses, a virtual meeting at the regional level would be held, with remote participation from all Member States representatives, including National Commissions of the region, and UNESCO staff. The group's discussions would be steered by a chair elected by the group, assisted by a moderator designated among the Member States representatives and supported by members of the Secretariat. Discussions at the regional level should lead to a summary report containing a synthesis of views and proposals expressed by the participants concerning major programme priorities and future orientations of the Organization.

(d)    *Optional*: The virtual meeting could be preceded by a time-bound online collaboration (exchange of views in a discussion forum), moderated by the Secretariat, particularly among representatives of Member States from within the region or subregion.

8.    Based on costs incurred in the past for the organization of previous regional consultations meetings,[1] the move towards virtual and online consultations could yield considerable cost-savings both in terms of travel cost and hospitality and in terms of efficiency, as remote participation may enable more focused discussions. While an initial investment would have to be made to acquire

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[1]    Depending on the region, the average cost per participant for a three-day meeting was within a range of US $4,000-4,300 in 2012.

the appropriate infrastructure [2] and ensure adequate capacities among Member States representatives to engage in and moderate online discussions effectively, and/or for in-country technical support, where required, the ICT-facilitated approach would constitute a more cost-effective alternative to a three-day in-person meeting.

9.     UNESCO is in the process of acquiring a software application license which would allow holding remote participation meetings with participants from around the world. Experience in that regard by several organizations has demonstrated encouraging results. The cost of such meetings could almost exclusively be limited to staff time cost.

10.    If and when needed, the proposed online consultation process could be followed and complemented by an in-person regional meeting of a maximum duration of two days to enable participants to further discuss and refine their proposals on the regional priorities, including based on the analysis and synthesis of the questionnaires. The organization of in-person regional consultation meetings would have to be agreed upon by Member States. Funding would have to be secured from extrabudgetary sources, on a self-financing basis where applicable, or a combination thereof (for example as applied for documents 37 C/4 and C/5, see paragraph 4). It is to be recalled that for the preparation of the draft 37 C/4 and C/5 documents, some regional consultation meetings had already been conducted on a self-financing basis: Different funding modalities were applied, ranging from full coverage of costs by the host country to a cost-sharing between Secretariat and Member States. In the future, the Secretariat could help identifying alternative funding modalities also through facilitating North-South-South and South-South cooperation.

11.    Some discussions have taken place among Member States, notably in the context of the follow-up to the Independent External Evaluation (IEE), concerning the possibility of holding the global and/or regional consultations (through in-person meetings) at the General Conference, partly from a cost-sharing perspective. Holding such consultations, were this option to be pursued, at the General Conference session at which the C/5 document is adopted would clearly be too late, as considerations arising from such consultations would need to be taken into account by the Secretariat at the time of preparing the Director-General's preliminary proposals. On the other hand, holding consultations in conjunction with the preceding session of the General Conference (October/November 2015 for document 39 C/5) would appear to bring forward the consultation process by another six months and make it more unwieldy. The consultations could not be held – for example – without prior preparations, including a questionnaire, and the elaboration of a preparatory document by the Secretariat. This would mean that for a C/5 document to be adopted in 2017 for implementation in 2018-2021, the planning process would begin mid-2014. Considering the desire of Member States for a lighter process, this would not seem appropriate. Although at first sight an interesting idea, it would seem that holding consultation meetings during the sessions of the General Conference is not a practicable option.

12.    With respect to the 2016 consultations for the preparation of document 39 C/5, the Secretariat will develop a roadmap, including a costed plan, timetable and suggested operational details, to be submitted to the Executive Board at an appropriate session in the 2014-2015 biennium. Regarding the preparations for the next C/4 and C/5 documents in 2020, it might at this stage be premature to determine the procedure to be followed without having the benefit of the experience from the 2016 consultation process.

**Proposed decision**

13.    After examining the present document, the Executive Board may wish to adopt the following decision:

The Executive Board,

1.     <u>Recalling</u> 187 EX/17 III (A) and 36 C/Res 104 (II),

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[2]     Including necessary upgrades to support multilingual remote participation.

2. <u>Having examined</u> the present document and the proposal therein,

3. <u>Reiterating</u> the importance and added value of the Director-General consultations with Member States, including National Commissions, IGOS, NGOs and organizations of the United Nations system in determining the orientation and programme priorities of the C/4 and C/5 documents;

4. <u>Cognizant of</u> the financial constraints faced by the Organization, and <u>taking into account</u> the actual costs that would arise from in-person consultations;

5. <u>Invites</u> the Director-General to implement the proposed consultation modalities as outlined in paragraph 7 above;

6. <u>Invites</u> Member States to make continued use of the alternative financing modalities proposed in paragraph 10, should they wish to continue holding in-person meetings, starting with the consultation in 2016 for the preparation of the 39 C/5 document;

7. <u>Invites</u> the Director-General to submit to it at an appropriate session in the 2014-2015 biennium a full-fledged roadmap and costed plan for the 2016 consultations on the preparation of the 39 C/5.

**C.** **Report by the Director-General on the progressive implementation of results-based budgeting at UNESCO**
(Follow-up to 190 EX/Decision 19 (II), 191 EX/Decision 5 (V))

1. As requested in 36 C/Resolution 110, the Director General presented in 190 EX/19 Part II proposals for changing certain of UNESCO's budgeting techniques in an effort to move towards results-based budgeting, including proposals to change the budget presentation with more focus on results (beginning with the Major Programmes in document 37 C/5), and to change the programming and budgeting cycle to allow the preparation of work plans at an earlier stage ideally prior to preparing the draft C/5 document, etc.

2. After having reviewed the Director-General's proposals, the Executive Board, *inter alia*, approved the application of a budget presentation focused on results for document 37 C/5, and invited the Director-General in 190 EX/Decision 19 Part II, paragraph 6 to present to it at its 191st session a phased approach for the progressive implementation of results-based budgeting which includes:

  (a) a calendar of implementation;

  (b) a description of the actions that need to be taken in order to meet the conditions for the successful implementation of results-based budgeting;

  (c) information concerning the investments needed in terms of required staff skills, training, staff time, control processes and IT developments;

  (d) an accountability framework which clearly specifies levels of accountability for senior staff at Headquarters and in the field, and gives the appropriate authority to the directors of field offices;

  (e) appropriate levels of resources and inputs required to attain expected results; and

  (f) a cost classification.

3. In this regard, the Director-General presented to the Executive Board in 191 EX/5 Add, a report proposing a phased approach for the progressive implementation of results-based budgeting which outlined:

  • the actions which the Secretariat would need to take in order to successfully implement results-based budgeting; and

  • a draft calendar of implementation.

4. Estimates of levels of resources needed by expected results for 2014-2015 in accordance with a new costs classification were also presented at the 191st Executive Board session in the draft document 37 C/5.

5. Unfortunately at the last Board session information on the accountability framework and estimates of the investments that would be needed to implement RBB were not available. In this regard, and as requested in 191 EX/Decision 5.V, the Director-General presents in the current report:

  • An update on the work being undertaken concerning the accountability framework for UNESCO's field offices;

  • Estimates of the investments needed to implement RBB; and

- A revised calendar of implementation which take into account the discussions of the Executive Board at its 191st session.

**Accountability framework**

6.      At the time of preparation of the present document, the new management and accountability system for UNESCO's field offices was not yet finalized due to the need for extensive internal consultations. A draft of the document has been circulated for internal comments and was in the process of being finalized. After the approval by the Director-General, the new Accountability Framework for the field offices will be published as an Ivory Note, before the opening of the 192nd Executive Board session.

7.      The current framework first focuses on the management and accountability mechanisms for UNESCO's field offices, and foresees an enhanced delegation of authority and revised reporting lines.  Once completed for the field, efforts will then have to be made to update, rationalize, and consolidate as necessary the Accountability Framework for Headquarter units. This latter work was delayed in light of the numerous restructuring exercises that will be undertaken in the 36 and 37 C/5 biennia by a number of Headquarter units both in the Major Programmes and Central Services alike.

**Estimated investments needed to implement RBB**

8.      While 191 EX/5 Add. did outline the areas where investments would be needed, the present report aims at providing this information more clearly and provides some initial estimates of investments required. For example, the revised calendar of implementation now has a column which indicates the main type of investment that is likely to be needed for each action point (whether staff time, training or IT developments). This information is also summarized in the current section.

**Staff time**

9.      It should be noted that considerable amount of staff involvement in various sectors/bureaux of the organization would be needed for every aspect of the RBB project. In early 2013 a RBB project team was established comprising representatives from key stakeholders in the five major programmes and central services (including BSP, BFM, ODG, IOS, and MSS/BKI etc.). This project team (or subsidiary working groups thereof) will be involved in and responsible for implementing each action point of the project. Although an important investment from the sectors/services will be involved in terms of commitment and participation, the Secretariat has not for the time being tried to estimate the value of the staff time that will be spent. Considering that most, if not all, of the staff time investment will be made by internal staff, these costs will be covered by existing resources.

**IT development and training requirements**

10.     However, some initial rough estimates for the main IT development and training requirements for 2014-2015 are now provided in the following table. It should be noted, however, that these estimates are still preliminary and will change as the specifications of the various IT developments become more concrete. The initial phase of the IT developments will focus on the planning and budgeting of projects. Thereafter, we will need to develop tools to ensure that proper monitoring can be done. In order to create a long-term solution with proper integration into our existing IT landscape we need to already understand how we will be able to monitor the realization of the projects in the next biennium. Nonetheless, given the ongoing financial situation particularly in the context of a reduced expenditure plan, every effort will be made to limit the financial costs of the RBB project by using to the maximum extent possible existing internal resources.

| Investment | Main purposes: | Est. Costs for 2014-2015 | Comments |
|---|---|---|---|
| **IT Development** | ▪ Develop IT tools:<br>○ To assist field offices and sectors to prepare their budget proposals at an earlier stage prior to the preparation of Draft C/5s,<br>○ To facilitate the arbitration and validation of the proposals by the Sector ADGs.<br><br>▪ Modify reporting tools to ensure that statutory and managerial reports could be provided using the same axis used in the C/5 budget or project documents for extrabudgetary projects. | $790K | The estimated costs can vary depending on whether the tools could be developed internally or whether external products would have to be purchased. The initial estimates were based on the assumption that three additional IT developers would be needed (over and above the existing staff) for internal development as well as external expertise to ensure a long-term solution integrated with our existing IT landscape. The price of purchasing external products cannot be determined at this stage and would only be available once the IT specifications are finalized. |
| **Training** | ▪ Establish (online) training modules and conduct training sessions at Headquarters and in the field to develop programme specialists' competency in appropriate budgeting of activities/projects,<br><br>▪ Provide additional training to the sectors and field offices before additional management processes and controls (if any) are decentralized in the context of RBB | $20-$50K | To the extent possible internal resources will be used to develop the training material and video/web/teleconference methods will be used to conduct the training. |

**Revised draft calendar of Implementation**

11. The Director-General provides in the following Annex a revised calendar of implementation which takes into account discussions held on this item at the 191st session of the Executive Board. Action points are numbered for ease. Also, a column was added in the calendar, which indicates the main type of investment that is likely to be needed for each action point (e.g. staff time, training or IT developments).

12. The wording of certain actions points were modified for clarity or their proposed timeframe for implementation were modified as requested by Member States at the 191st session of the Executive Board. For example, the following changes have been made vis-à-vis the calendar previously presented:

Action point 1.1: Adaptation of a new consultation questionnaire (for the preparation of 39 C/5) will be done in or before the third quarter of 2015 in order to have more time to allow Member States be involved in the preparation of the format and to provide input on strategic priorities and on the impact on activities in the previous biennium;

Action point 2.1, 2.2 & 5: Definition of clear and measurable programme priorities and expected results will be undertaken in or before the third quarter of 2015 so that they can be submitted to the General Conference in 2015. It should be noted, however, that the results for the next quadrennial cycle (2014-2017 for the 37/38 C/5s) have already been primarily established, thus the effects of these action points will be mainly visible from the preparation of

39/40 C/5s (2018-2021). Accordingly the efforts for establishing clearer criteria for prioritizing activities will be also brought forward to the same timing.

Action point 6 and 7:  Elaboration on the important choice between different budget presentations in the context of RBB will be undertaken at an earlier stage so that proposals will be presented to the General Conference in 2015.

**Proposed decision**

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

The Executive Board,

1.  Having examined document 192 EX/5 Part III.C,

2.  Takes note of the work being undertaken concerning the accountability framework, the preliminary estimates of investments needed to implement RBB, and the revised calendar of implementation for a phased implementation of RBB.

3.  Requests the Director General to proceed with the phased implementation of results-based budgeting, and to present periodic reports to the Executive Board on its implementation.

# ANNEX

## REVISED CALENDAR OF IMPLEMENTATION

The following section presents a revised draft calendar of implementation which takes into consideration the decisions held at the 191st session of the Executive Board.

| Action | Main Invest. Type | 36 C/5 2013 | | | | 37 C/5 2014 | | | | 2015 | | | | 38 C/5 2016 | | | | 2017 | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | 1 | 2 | 3 | 4 GC | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 GC | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 GC |
| **Major Base-lines** | | | | | | | | | | | | | | | | | | | | | |
| Regional Consultations | | | | | | | | | | | | | | | ▰ | | | | | | |
| Preparation of the Preliminary Proposals | | | | | | | | | | | | | | | | ▰ | | | | | |
| Preparation of the Draft C/5 | | | | | | ▰ | | | | | | | | | | | ▰ | ▰ | | | |
| Preparation of the Approved C/5 | | | | | | | | | | | | | ▰ | | | | | | | | ▰ |
| **PROGRAMMATIC PLANNING/PROGRAMMING** | | | | | | | | | | | | | | | | | | | | | |
| 1. Adapt the Consultation process further to ensure that UNESCO's activities remain relevant and consistent with Member States' needs. | | | | | | | | | | | | | | | | | | | | | |
| 1.1. Adapt the consultation questionnaire (for the C/5) to include a section where Member States could list: priority issues which they face at the country/regional/global levels related to UNESCO's mandate; what they are currently doing to address these issues, where they think UNESCO could be of most assistance; and how they assess UNESCO's involvement in addressing country/regional level concerns in the past. | S | | | | | | | | | ▰ | | | | | | | | | | | |
| 2. Define clear and measurable Programme Priorities and Expected Results: | | | | | | | | | | | | | | | | | | | | | |
| 2.1. Build on RBM guidelines and training to assist in this regard, | T/S | | | | | | | | | ▰ | ▰ | | | | | | | | | | |
| 2.2. To the extent practicable, obtain input from field offices for country level priorities and activities/projects. | T/S | | | | | | | | | ▰ | ▰ | | | | | | | | | | |
| **COSTING** | | | | | | | | | | | | | | | | | | | | | |
| 3. Design adapted response plans (work-plans) aimed at achieving the expected results: | | | | | | | | | | | | | | | | | | | | | |
| 3.1. Develop standardized templates for field level plans and for Headquarters based and interregional activities including:<br>▪ standardized resource allocation templates<br>▪ criteria for the prioritization of activities/projects (by importance and chronology)<br>▪ strengthened baselines and targets/benchmarks to help track the programmes' implementation and impact over time | S | | | | | ▰ | ▰ | | | | | | | ▰ | | | | | | | |
| 4. Define and cost the inputs needed to carry out the activities/projects: | | | ▰ | ▰ | ▰ | ▰ | ▰ | ▰ | | | | | | ▰ | ▰ | ▰ | | | | | |
| 4.1. Determine cost-standards to facilitate the costing of activities | S | | | | | | | | | | | | | | | | | | | | |
| 4.2. Establish a cost review team to improve transparency, facilitate continuous improvement in the costing methods, and help identify ways of containing costs. | S | | | | ▰ | ▰ | | | | | | | | | | | | | | | |
| 4.3. Develop an IT tool to assist field offices and sectors to prepare their budget proposals | IT/S | | | | ▰ | | | | | | | | | | | | | | | | |
| 4.4. Establish (online) training modules and conduct training sessions at Headquarters and in the field to develop programme specialists' competency in budgeting activities/projects. | T/IT/S | | | | | ▰ | | | | | | | | | | | | | | | |

| Action | Main Invest. Type | 36 C/5 2013 | | | | 37 C/5 2014 | | | | 2015 | | | | 38 C/5 2016 | | | | 2017 | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | 1 | 2 | 3 | 4 (GC) | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 (GC) | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 (GC) |
| **PRIORITIZATION** | | | | | | | | | | | | | | | | | | | | | |
| 5. Establish clear criteria for prioritizing activities/projects and results to assist ADGs and Directors, and to ensure transparency in the process. | S | | | █ | █ | █ | █ | | | | | ▓ | | | | | | | | | |
| **PROGRAMME AND BUDGET PRESENTATION** | | | | | | | | | | | | | | | | | | | | | |
| 6. Determine the budget presentation reflecting RBB, e.g. present only the Major Programme budget by programme sectors' results, or attribute all the costs of the Organization by programme sectors' results, taking into consideration the advantages and drawbacks of the various options. | S | █ | | | | | █ | █ | | | | | | | | | | | ▫ | | | |
| 7. Identify reporting requirements, and modify reporting tools to ensure that statutory and managerial reports could be provided using the same axis used in the C/5 or project documents for extrabudgetary projects. | IT/S | | █ | | | | █ | █ | | ▓ | | | | | | | | | | | | |
|   o Phase 1 – Distribution of Programme vs. Programme Support Costs for MPs | | | █ | █ | | | | | | | | | | | | | | | | | | |
|   o Phase 2 – Distribution of Part II.B & II.C | | | | | | | █ | █ | | | | | | | | | | | | | | |
|   o Phase 3 -- Distribution of other budget Parts (I, III, IV etc.) | | | | | | | | | | ▓ | | | | | | | | | | | | |
| 8. Identify the most cost effective mechanism for reporting of staff costs by results. | IT/S | █ | █ | | | | | | | | | | | | | | | | | | | |
| **PROGRAMME IMPLEMENTATION** | | | | | | | | | | | | | | | | | | | | | |
| 9. Determine to what extent internal management processes and controls could be decentralized in the context of RBB to allow a certain level of flexibility while ensuring an acceptable level of financial control; | | | | █ | █ | | | | | | | | | | | | | | | | | |
| 10. Provide additional training to the sectors and field offices before the decentralization is implemented; | T/S | | | | | | | | | | | █ | █ | | | | | | | | | |
| 11. During the course of RBB implementation, continuously assess whether and to what extent the accountability framework should be revised | S | | | | | █ | █ | █ | █ | █ | █ | █ | █ | █ | █ | █ | █ | █ | █ | █ | █ | █ |
| 12. Periodically assess whether other internal policies need to be revised in order to provide a balanced level of autonomy and accountability e.g.: staff mobility policies, performance appraisal etc. | S | | | | | █ | █ | █ | | | | | | | █ | █ | | | | | | |
| **MONITORING / REPORTING** | | | | | | | | | | | | | | | | | | | | | |
| 13. Integrate the country level and Headquarters programme plan templates into the IT monitoring tools; | | | | | | | | █ | █ | | | | | | | █ | █ | | | | | |
| 14. Modify IT systems to ensure that statutory and managerial reports could be provided using the axis presented in the C/5 and activities or programme documents for extrabudgetary projects | IT/S | | █ | █ | | | | | | | | | | | | | | | | | | |
| 15. Determine how to better collect monitoring data on the achievement of results and how to assess programme impact on an on-going basis; and establish a mechanism for revising the targets/benchmarks of the expected results as necessary. | IT/S | | █ | █ | █ | | | | | █ | █ | | | | | | | | | | | |

| Action | Main Invest. Type | 36 C/5 2013 |||| 37 C/5 2014 |||| 2015 |||| 38 C/5 2016 |||| 2017 ||||
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | 1 | 2 | 3 | GC 4 | 1 | 2 | 3 | 4 | 1 | 2 | 3 | GC 4 | 1 | 2 | 3 | 4 | 1 | 2 | 3 | GC 4 |
| **EVALUATIONS** | | | | | | | | | | | | | | | | | | | | | |
| 16. Determine how best to integrate evaluation results into the programming process, e.g. | | | | | | | | | | | | | | | | | | | | | |
| 16.1. Include targeted questions in the consultation questionnaire to obtain feedback from Member States on the impact of UNESCO's activities in order to adapt programme requirements and activities with a view to achieving better results and more impact. | S/IT | | | | | | | | | | | | | ▓ | | | | | | | |
| 16.2. Periodically assess and strengthen the model for self-evaluations to be completed by programme specialists during the programme implementation. | S/T | | | ▓ | ▓ | ▓ | | | | | | | | ▓ | | | | | | | |
| 16.3. Determine how to best integrate the thematic evaluation results into programming decisions. | S | | | ▓ | ▓ | ▓ | | | | | | | | ▓ | | | | | | | |

\* Main type of investment: S = Staff Time, IT = IT development, T = Training

▓ Original Timeframe    ▓ New Timeframe

**D. Implementation of the action plan for improved management of extrabudgetary funds**
(Follow-up to 190 EX/Decision 28)

**Programming**

1. At a time when the overall ratio of extrabudgetary resources to regular programme resources is increasing, the need to ensure full alignment between extrabudgetary resources and regular programme has never been more important. This is precisely the role of the Complementary Additional Programme which links extrabudgetary activities and regular programme to help realize a common set of expected results and provides an overview of resource mobilisation targets for priority themes.

2. Between January 2012 and June 2013 across UNESCO's mandate, significant resources have been mobilized around the priority themes of the CAP. By way of example $30 million has been mobilized for literacy, $10 million for Water for Life, $26 million for youth lead social innovation, $44 million for cultural heritage, and $7 million for access to and preservation of information and knowledge.[3]

3. The need for sharper prioritization and even closer integration between extrabudgetary resources and regular programme with respect to the articulation of expected results, will be reflected in the next Complementary Additional Programme covering the period 2014 to 2015, and linked to the two-year budgetary period of the C/5 document.

4. UNESCO's wide range of partners and networks will also play a critical role in the delivery of the next C/5 document. Specific targets and expected results for each of the categories of partner covered by the "Comprehensive Partnership Strategy" including bilateral government donors, and the private sector have been programmed in alignment of the four-year programme period of document 37 C/5 and are presented in document 192 EX/5.INF.

**Resource mobilization**

5. Voluntary contributions (cash payments) to UNESCO have increased by 11% from $294.2 million in 2011 to $325.1 million in 2012.

6. An analysis of the cumulative total of signed agreements and cash transfers to special accounts shows that since January 2012 UNESCO has mobilized an amount of $393.6 million compared to a target for the biennium as a whole of $791 million.[4] The comparison of the pattern of voluntary contributions mobilized by UNESCO during the present biennium as at June 2013 ($393.6 million) with the amount of funds mobilized during the previous biennium as at 30 June 2011 ($384.2 million), shows that the flow of extrabudgetary resources remains stable despite the current financial crises.

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[3] Figures generated from SISTER corresponding to the cumulative total of signed agreements and cash transfers to special accounts.

[4] Figures generated from SISTER corresponding to the cumulative total of signed agreements and cash transfers to special accounts

| Programme Areas | Funds mobilized[5] | CAP Resource mobilization targets |
|---|---|---|
| Education | 166,032,911 | 140,000,000 |
| Natural sciences | 72,828,969 | 301,000,000 |
| Social and human sciences | 35,330,938 | 21,000,000 |
| Culture | 62,053,609 | 136,000,000 |
| Communication and information | 34,896,290 | 38,000,000 |
| Other[6] | 22,451,798 | 155,000,000 |
| **Grand total**[7] | **393,594,515** | **791,000,000** |

7. A good part of the increase in cash contributions at end 2012 compared to the corresponding figures at end 2011, is linked to contributions the Emergency Fund. At 30 June 2013 contributions to the Emergency Fund stood at $74.9 million with additional funds pledged in the amount of $70,413.

8. The creation of the Emergency Multi-donor Fund has contributed significantly to the expansion of UNESCO's donor base including contributions and pledges from Algeria, Andorra, Belize, Benin, Cameroon, Chad, Congo, Cyprus, Gabon, Iceland, Indonesia, Iraq, Kazakhstan, Luxembourg, Monaco, Mauritius, Namibia, Oman, Qatar (Office of Her Highness Sheikha Mozah), Saudi Arabia, San Marino, Timor-Leste and Turkey. It has also mobilized donations from private individuals including through the online donation facility set up for the Fund.

9. With voluntary contributions of $248.2 million in 2012, governments remain the largest funding source accounting for 76% of funds received. During the period, funds-in-trust agreements, including self-benefiting arrangements have been signed with many emerging donors including China, Malaysia, Angola, Cameroon, Mozambique and Pakistan. Further agreements are under negotiation with Azerbaijan, Kuwait, Indonesia and Thailand. At the same time, as the table on UNESCO's top 20 donors in 2012 below clearly indicates, UNESCO's traditional donors such as Japan, Italy, the Netherlands, Sweden, Norway, Denmark and Switzerland continue to be major supporters of UNESCO's action. Extrabudgetary cooperation with Sweden and Switzerland in particular, increased exponentially in 2012.

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5    Figures generated from SISTER corresponding to the cumulative total of signed agreements and cash transfers to special accounts.

6    Other interdisciplinary Programmes, Institute of Statistics and Programme Support activities.

7    Of which some $87 million were mobilized by the Brasilia office.

**TOP 20 Donors to UNESCO in 2012**
**(voluntary contributions received in cash)**

| Donor | in thousands of USD |
|---|---|
| Brazil[8] | 43,705 |
| Italy[9] | 40,310 |
| Saudi Arabia | 20,027 |
| Japan | 19,162 |
| Netherlands | 16,158 |
| Sweden | 14,944 |
| World Health Organization/UNAIDS | 10,806 |
| Norway | 10,121 |
| UNDP | 10,072 |
| European Union | 7,363 |
| Algeria | 6,640 |
| Iraq[10] | 6,066 |
| Indonesia | 5,953 |
| The Office of Her Highness Sheikha Mozah | 5,122 |
| Malaysia[11] | 5,108 |
| Turkey | 5,020 |
| China | 4,573 |
| IAEA | 4,197 |
| Denmark | 4,191 |
| Switzerland | 4,101 |

10.    Self-benefiting funds (in terms of voluntary contributions received in cash) remained relatively stable amounting to about $50.4 million in 2012 compared with $45.6 million in 2011.

| Donor | in thousands of US$ |
|---|---|
| Brazil | 43,545 |
| Iraq | 6,064 |
| Italy | 183 |
| Malaysia | 100 |
| Mexico | 150 |
| Morocco | 250 |
| Senegal | 138 |
| **TOTAL** | **50,430** |

11.    In line with the priority attached by the Director-General to cooperation with the private sector and the conclusions of the Independent External Evaluation, UNESCO continues to explore opportunities for enhancing cooperation with the private sector, in particular through a diversification of the private sector donor base. In this context, the efforts of targeting the dynamic private sector in the BRICS were further sustained resulting in mobilizing some $34 million in cash

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[8]    of which K$43,545  for self-benefiting activities.
[9]    of which K$183  for self-benefiting activities.
[10]   of which K$6,064  for self-benefiting activities.
[11]   of which K$ 100 for self-benefiting activities.

contributions for the year 2012, including the signing of a number of new private-sector partnerships with Chinese, Russian and Brazilian companies. In addition, existing partnerships have been scaled up during the past year such as with Procter & Gamble where the cause-related marketing campaign in support of girls and women education launched in France has been expanded to South-East Europe, the Balkans and Nordic Countries. Panasonic provided in-kind technical contribution to UNESCO as well as continuing its support to Sustainable Development through World Heritage Conservation and Education. Samsung contributed $1 million towards the Decade for Education for Sustainable Development in Viet Nam and PepsiCo supports technical and vocational education and skills development of young people in Myanmar.

12.    The cumulative total value of new agreements for both companies and foundations, including Framework Agreements increased from $22.3 million in 2011 to $28.8 million for the year 2012 (excluding contributions to Special Accounts such as the Criança Esperanza Partnership with TV Globo) representing an increase of 29% over one year.[12]

13.    2012 marked a significant milestone for United Nations funding sources as it is the last year of the pilot phase for the Delivery as One funds, for the major programmes funded by the MDG Achievement Fund programmes and for the UNDG Iraq Trust Fund, the three main pillars of the United Nations support to UNESCO's programme over the previous years. However, although UNDP contributions as administrative agent of Multi-Donor Trust Funds decreased in 2012, the overall level of contributions from United Nations sources has remained stable ($33.2 million in 2012 compared with $34.7 in 2011[13]) since WHO/UNAIDS paid its 2013 contribution to the Unified Budget, Results and Accountability. Framework Programme (UBRAF) in advance.

14.    The replenishment of the country delivery as one in 2012, the establishment of both country UNDAF trust funds and thematic funds and the Peace-Building Fund are expected to enhance the development of more joint programmes. Other significant highlights include a regional project on International Waters to be funded by UNDP/GEF for $2.5 million to improve global ecosystem-based governance of Large Marine Ecosystems and the Darfur Community Peace and Stability Fund (DCPSF) to promote peace-building and reconciliation in Darfur through the implementation of community-based recovery and development activities. In the first half of 2013, cooperation with the other United Nations agencies has been relatively steady, compared to the same period last year.

15.    Major highlights in UNESCO's cooperation with multilateral development banks include the close engagement with the Global Partnership for Education (GPE). The Financial Procedures Agreement has been concluded on 24 April 2013 between IBRD, as Trustee of the Global Partnership for Education Fund (Trust Fund) and UNESCO as a supervising entity and/or managing entity for the Trust Fund. Consequently, the Board of Directors of the Global Partnership for Education allocated funding to UNESCO as managing entity for the Chad Program Implementation Grant, and Cambodia Education Plan Development Grant, and as supervising entity for the Civil Society Education Fund.

16.    Another development that should be highlighted is UNESCO's efforts to negotiate mutually acceptable agreement templates to be used in situations when UNESCO provides technical assistance to a Member State under Bank-Financed Projects. In this regard, currently, UNESCO is negotiating a standard agreement template for IBRD loans/credits to governments to be implemented by UNESCO under agreement with the borrowing Government. Having a mutually acceptable standard modality/template in place will facilitate the involvement of UNESCO in the provision of technical assistance to the Members States under World Bank financed Projects.

17.    Furthermore, UNESCO has established a strategic cooperation with the OPEC Fund for International Development (OFID), and is reinforcing this cooperation in particular in the following areas: HIV and AIDS, improving access to quality education for Palestinian children, and solar

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[12]    Source: BSP database and SISTER.
[13]    Source: Volontary Contributions Report for 2012).

energy. UNESCO is also cooperating with the regional economic communities such as ECOWAS in the framework of the projects financed by the African Development Bank.

18.    Major efforts have been undertaken by the UNESCO Liaison Office in Brussels and BSP to ensure better coordination with Headquarters, field offices and category 1 institutes, with a view of strengthening the partnership between the European Union (EU) and UNESCO. The Memorandum of Understanding concluded with the EU in October 2012 has helped to enhance and to structure the dialogue between the EU and UNESCO, notably in the field of education and culture for development, freedom of expression, water, marine research, observation systems and hazard mitigation. The increased number of cooperation agreements bears witness to the enhanced policy dialogue between UNESCO and the EU. Examples of high impact programmes developed within the framework of UNESCO's cooperation with the EU include efforts to sustain the quality of education and promote vocational skills development opportunities for young Syrian refugees in Jordan (€4.3 million), a new initiative on freedom of expression in Nepal, a project in Jordan to enhance professional and accurate media reporting on the electoral process and a project in South-East Europe to promote media accountability. In 2012, UNESCO also pursued its cooperation with the EU to consolidate Haitian capacities for tsunami early warning system and preparedness, and to tackle disaster risk reduction through education and science in Latin America. Several new agreements are currently under negotiation on water management, vocational education and training, natural and cultural heritage and youth networks, among others.

19.    Secondments continue to play an important role in enhancing UNESCO's delivery capacity, and in facilitating knowledge transfer and networking. To give visibility to this very valuable resource, and UNESCO's evolving requirements for secondments, UNESCO opened a secondment website on its internet site (**http://www.unesco.org/new/en/unesco/partners-donors/partnering-with-unesco/secondment-of-experts/**) and on the extranet site for Member States and National Commissions (**http://www.unesco.org/new/en/member-states/resources/secondment-of-experts/**). UNESCO also benefits from short-term deployments of experts by the Norwegian Refugee Council primarily in support of UNESCO's action in post-conflict and post-disaster situations and countries in transition, including recent deployments to Libya, Myanmar and in favour of Syrian refugees in Jordan and Lebanon.

**Implementation, monitoring and evaluation**

20.    The expenditure rate against the annual allotment for extrabudgetary projects of the five Major Programme sectors as at 30 June 2013 stands at 38.9%. While this is below the theoretical time-elapsed rate of 50% for the period, it must be emphasized that it is based on indicative allotments made at the request of programme sectors during the year, and therefore may be an indicator of over ambitious planning, as much as sub-optimal delivery.

21.    To improve the quality of project design (a key factor for smooth implementation, monitoring and reporting), a new template for project document has been prepared with a much sharper results focus. Progress and final narrative reports have been also updated accordingly with a strong focus on RBM, risk management, sustainability, and other major factors. The preliminary feedback from the donor community on the improved quality of these documents is very positive.

22.    Efforts to boost UNESCO's capacity in project planning and resource mobilization have also been made through the organization of dedicated training as recommended by the External Auditor in his Audit on the Complementary Additional Programme in 2011 (reference: 187 EX/35). Since the audit, nine sessions have been organized and 148 colleagues have participated from different sectors at UNESCO Headquarters. Twenty-two staff were trained in the UNESCO Rabat Office, and a further 24 staff will be trained in the UNESCO Jakarta Office in July. The training provided by the Division for Cooperation with Extrabudgetary Funding Sources, focuses on programming, project design, and resource mobilization techniques.

23.    In addition, to enhance UNESCO's cooperation with the private sector, the Bureau of Strategic Planning (BSP/CFS) is developing dedicated training material and tools on cooperation with the private sector for UNESCO staff members, including a standard presentation of UNESCO to potential partners and a guide for business on how to work with UNESCO.

24.    The aforementioned audit on the CAP also calls for a single document to be compiled covering *inter alia* general principles for mobilizing voluntary contributions, methods for approaching donors (who does what and how), clearance procedures, agreements and practicalities of project management and monitoring. The new "Practical Guide to UNESCO's Extrabudgetary Activities" constitutes such a document. The English language version is already available on the Extrabudgetary Helpdesk on UNESCO's intranet site, and will shortly be accompanied by the French language version. The Guide is a living document. It will be updated as appropriate in electronic format on the Extrabudgetary Helpdesk.

25.    A number of concrete measures have also been taken to strengthen the evaluation of extrabudgetary projects by IOS and BSP. A joint guidance note has been issued to clarify the applicable procedures. IOS has issued guidelines on the development of TOR for external evaluations. A new template has been issued for self-evaluation. IOS has launched an initiative to take stock of the evaluations of extrabudgetary projects and a single email address has been created for the receipt of such evaluations.

**Update on the implementation of the cost-recovery policy**

26.    In response to the increasingly competitive nature of fund raising and of the expanding proportion of extrabudgetary funding within UNESCO's overall resources, a review of budgeting and cost recovery policies, tools and processes was initiated with the aim of improving budgeting to ensure full inclusion of direct and indirect costs. The review was conducted by two working groups set up in November 2012 on cost recovery policy, and on tools and processes respectively, comprising senior managers, programme specialists and Administrative Officers.

27.    In addition to identifying barriers to effective cost recovery, the working group on policy identified the need for further guidance and coaching by the Secretariat to support field offices in developing strategic frameworks and integrating a fund mobilization strategy in the UNESCO Country Programming Documents.

28.    Standard cost lists based on the size of the project and location of office were presented and agreed by the working group. Integration of these standard costs into the budget tool, B4U, will assist programme specialists and Administrative Officers to build more complete and accurate project budgets. It was agreed that although the term "cost recovery" is used it would be more appropriate to talk about "full budgeting" or "costing". Where there is co-financing or in-kind contributions from Regular Programme resources, such resources should also be explicitly costed in the project budget.

(a)    The working group on processes and tools prepared a proposal for the simplification of procedures relative to the review and validation of standard extrabudgetary proposals which in turn was endorsed by the Change Management Working Group in July 2013. On this basis, IT-based solutions will be identified for implementing the simplified processes in UNESCO's systems.

(b)    The further enhancement of B4U is in progress. This web-based automated budget simulation tool will be made compulsory as soon as modifications to the system and training are completed. It will assist programme specialists in the development of budgeted work plans which include the level of resources required to deliver expected results.

**Proposed decision**

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

    The Executive Board,

    1. Having examined document 192 EX/5 Part III (D)

    2. Welcomes the efforts by the Director-General to strengthen the strategic orientation, coherence and programmatic concentration of the Complementary Additional Programme;

    3. Appreciates the improvement of the systems and tools linked to the preparation of extrabudgetary project proposals, including the development of the budget building tool "B4U".

    4. Takes note of the Director-General's efforts to mobilize funds to meet the shortfall of funding for UNESCO's regular programme through the Emergency Multi-donor Fund, as well as to mobilize additional funds to strengthen the scope and impact of UNESCO's regular programme through the Complementary Additional Programme;

    5. Takes notes of the importance attached to training on project design and resource mobilisation, the issue of the 'Practical Guide to UNESCO's extrabudgetary activities' and the introduction of new tools to improve the quality and RBM focus of monitoring and evaluation.

    6. Acknowledges the efforts made to simplify the review and validation of extrabudgetary proposals and encourages the Director-General to carry out the full implementation in the UNESCO's systems

    7. Also takes note of the Director-General's efforts to promote a better understanding of the cost-recovery policy and proper project budgeting;

    8. Encourages the Director-General to:

       (a) Ensure sharper prioritisation and even closer integration between extrabudgetary and regular programme with respect to the articulation of expected results, will be reflected in the next Complementary Additional Programme covering the period 2014 to 2015

       (b) strengthen UNESCO's delivery capacity and programmatic impact by enhancing capacities in project planning, resource mobilisation, and management of field office and Headquarters staff through dedicated training;

       (c) maximize resource mobilization through a further diversification of funding sources;

       (d) strengthen the implementation of the cost recovery policy, ensuring full budgeting (full inclusion of direct and indirect costs), while supporting efforts to develop common guidelines on cost recovery in the United Nations system;

    9. Invites the Director-General to report to the Executive Board at its 195th session on further developments and challenges encountered with regard to the management of extrabudgetary resources and activities at Headquarters and in the field, and on the implementation of the cost recovery policy and the total costs recovered.

**E.** **Policy framework for strategic partnerships: A comprehensive partnership strategy**
(Follow-up to 191 EX/Decision 16 (III))

1.     The "Comprehensive Partnership Strategy" is comprised of an umbrella statement which defines an overall framework for partnerships. This is set out in 190 EX/21 Part II. Separate strategies for engagement with individual categories of partner were set out in two INF documents: 190 EX/INF.7 and 191 EX/16 INF.3.

2.     The categories of partners covered by the Comprehensive Partnership Strategy in its integrity are the private sector, bilateral government donors, media companies, NGO's parliamentarians, UNESCO Clubs and UNITWIN/Chairs, UNESCO Associated Schools Project Network, Goodwill Ambassadors, the UNEVOC network and the category 2 institutes and centres.

3.     All individual strategies are analysed according to a set of common criteria. The arrangements in place are not uniform. They are tailored to the particular type of partner concerned, the nature of the cooperation with UNESCO and the level of risk perceived.

4.     National Commissions are considered as an integral part of UNESCO and are therefore not treated as external partners in the document. Where applicable, the role of National Commissions for UNESCO is described in the analysis of individual strategies.

5.     The "Policy Framework for Strategic Partnerships: a Comprehensive Partnership Strategy" was a response to:

(a)     Recommendations made in the Independent External Evaluation of UNESCO and by the Executive Board's Ad Hoc Working Group on the Independent External Evaluation of UNESCO, in particular the "need for UNESCO to develop a comprehensive policy and accountability framework for strategic partnerships that looks outwards to civil society, expert communities and the private sector".

(b)     The Executive Board's invitation to the Director-General "to develop, in close cooperation with Member States, a draft comprehensive and outward-looking UNESCO policy framework for strategic partnerships, to be submitted to it at its 187th session for transmission to the General Conference at its 36th session" and its suggestion "to include in the comprehensive policy framework distinct strategies for each category of partners, within the whole range of UNESCO's programmes".

6.     The 190th session of the Executive Board broadly endorsed the umbrella statement of the "Policy Framework for Strategic Partnership: a comprehensive partnership strategy" (190 EX/21 Part II) and the accompanying "separate strategies for engagement with individual categories of partners" (190 EX/INF.7).

7.     At the same time, the Executive Board requested UNESCO to include in the strategy three additional categories of partner, namely the Goodwill Ambassadors, the UNEVOC network and the category 2 institutes and centres.

8.     The Secretariat was also requested to elaborate specific targets and expected results which take into account the specificities of each category of partner.

9.     For the 191st session of the Executive Board, the strategies for the three additional categories of partner were submitted to the Board in their integrity as an INF. (191 EX/16.INF 3).

10.     Since targets and expected results for each category of partner, aligned with the four year programmatic period of the C/5 document, should be based on draft document 37 C/5 as reviewed by the 191st session of the Executive Board, the Director-General was requested to include targets and expected results for each category of partner within a document comprising the complete

comprehensive partnership strategy. This document is presented to the 192nd session of the Executive Board as 192 EX/5 Part III INF.

11.   Once endorsed by the Board, the comprehensive strategy should subsequently be adapted as appropriate in the light of the resolutions by the General Conference at its 37th session and posted thereafter on UNESCO's partnership website.

12.   The Director-General was requested to ensure that each ensuing C/5 document contains an annex with the targets and expected results for each category of partner covered by the Comprehensive Partnership Strategy.

**Proposed decision**

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

The Executive Board,

1.   Having examined document 192 EX/5 Part III (E),

2.   Takes note of the Comprehensive Partnership Strategy in its integrity contained in document 192 EX/5 Part III INF, which includes the targets and expected results for each category of partner, aligned with the four-year programmatic period of document 37 C/5;

3.   Invites the Director-General to adapt the comprehensive partnership strategy as appropriate in the light of the resolutions by the General Conference at its 37th session and thereafter ensure the comprehensive partnership strategy is posted on UNESCO's partnership website.

4.   Further invites the Director-General to ensure that each ensuing C/5 document contains an annex with the targets and expected results for each category of partner covered by the Comprehensive Partnership Strategy.

**F.** **Report by the Director-General on the after-service health insurance (ASHI) liability**
(Follow-up to 190 EX/Decision 32, 191 EX/Decision 29)

1.      The Director-General in document 191 EX/29 presented a funding proposal for ASHI to the Executive Board at its 191st session. The Board decided not to recommend including ASHI funding in document 37 C/5 and also requested the Director-General to report to it at its 192nd session.

2.      No new additional information on ASHI has been available to enable the Director-General to present a report to the 192nd session of the Board. The report will be presented in future sessions.

United Nations
Educational, Scientific and
Cultural Organization

Item **5** of the provisional agenda

# REPORT BY THE DIRECTOR-GENERAL ON THE 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

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.

This document contains information on the following human resources issues:

**A.    Geographical distribution and gender balance of the staff of the Secretariat**

**Source**: 190 EX/Decision 5 (XI), 36 C/Resolution 97.

**Background**: In accordance with 190 EX/Decision 5 (XI) and 36 C/Resolution 97, the Director-General submits to the Executive Board at its 192nd session a full report on the situation of the geographical distribution and gender balance of the staff of the Secretariat as at 1 June 2013.

**Purpose**: To inform the Executive Board on trends in the geographical distribution and the gender balance of the staff of the Secretariat as of 1 June 2013. Detailed information is presented in document 37 C/INF.12.

Action expected of the Executive Board: Proposed decision in paragraph 23.

**B.    Report by the Director-General on the use of consultant contracts in 2012 and the implementation of the revised policy on individual consultants and other specialists**

Pursuant to 171 EX/Decision 35 and 190 EX/Decision 5 Part IX, the Director-General submits her report on the use of consultant contracts by the Secretariat in 2012.

In 190 EX/Decision 5 Part IX, the Executive Board encouraged the Secretariat to continue its efforts to improve the quality of information provided on the content of contracts and the services delivered. It also recalled the need to ensure a wider geographical distribution and a better gender balance in the hiring of consultants where qualifications are equal.

The financial and administrative implications of the reported activities fall within the parameters of the current C/5 document.

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

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**A.    Geographical distribution and gender balance of the staff of the Secretariat**
(Follow-up to 187 EX/Decision 6 (IX), 36 C/Resolution 97, 190 EX/Decision 5 (XI))

**INTRODUCTION**

1.    This document is submitted pursuant to 190 EX/Decision 5 (XI) and 36 C/Resolution 97, requesting the Director-General to submit, at the <u>192nd session</u> of the Executive Board, <u>a full report</u> on the situation and results achieved in geographical distribution and a progress report on the achievement of gender balance at senior levels. By its 36 C/Resolution 97, the General Conference also requested the Director-General to submit, at <u>its 37th session</u>, <u>a report</u> on the situation of the geographical distribution and gender balance of the Secretariat.

2.    In order to rationalize the documents to the Governing Bodies, this report (192 EX/5) will be submitted to the General Conference as an INF document (37 C/INF.12). The report covers the **geographical distribution (Part I) and gender balance of staff (Part II)** and presents an update on progress, including trends and statistical data as at 1 June 2013. To make the document more concise, detailed tables and Action Plans previously included in the main document will be included in **37 C/INF.12**.

**PART I – GEOGRAPHICAL DISTRIBUTION OF THE STAFF**

**Methodology for the calculation of geographical quotas**

3.    Geographical distribution applies to international professional staff occupying geographical posts, i.e. established posts financed from UNESCO's Regular Programme. The methodology for the calculation of the geographical quotas, adopted by the General Conference in 2003 [1] is included in 37 C/INF.12.

**Overall situation**

4.    On 1 June 2013, UNESCO counts **195 Member States**, of which **157 (81%)** are represented within the Secretariat.

5. Table 1 shows that **64 (33%) Member States are normally represented**, 27 (14%) are over-represented, 66 (34%) are under-represented, and 38 (19%) are non-represented. Annexes III, IV and V in 37 C/INF.12 provide detailed information by country and a complete list of Member States by representation status.

**Table 1: Representation of Member States
(1 June 2013)**

| Status of representation | Number of Member States |
|---|---|
| Normally represented | 64 (33%) |
| Over-represented | 27 (14%) |
| Under-represented | 66 (34%) |
| **Total number of Member States represented** | **157 (81%)** |
| Non-represented | 38 (19%) |
| **Total number of Member States** | **195** |

**Evolution of the representation of Member States from January 2010 to June 2013**

6.    Overall, the global representation level of Member States has remained stable since January 2010, with a slight increase in the number of Member States represented, from 155 to 157. This corresponds to an increase of one percentage point from 80% to 81% in June 2013.

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[1]    In 32 C/Resolution 71, Report by the Director-General on the situation concerning the geographical distribution of staff.

7.    On the other hand, the number of normally represented countries has decreased significantly from 81, in June 2011, to 64 in June 2013. At the same time, the number of under-represented Member States has risen sharply (from 45 in June 2011 to 66 in June 2013).

**Table 2: Evolution of the Geographical distribution (1 Jan. 2010 to June 2013)**
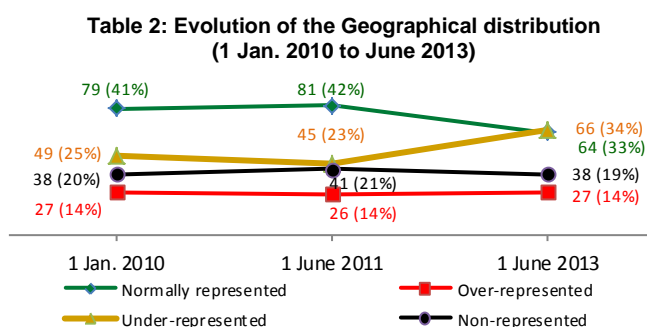


8.    This trend may be explained by the limited number of recruitments during this biennium due to financial constraints. Between June 2011 and June 2013, 114 staff on geographical posts left the Organization (retirements in majority) whereas only 45 external candidates were hired.

9.    In 2014/15, it is likely that the number of under-represented countries will continue to increase, due to the number of retirements on geographical posts, and the anticipated low level of recruitment. In addition, given the financial situation of the Organization, the launch of the Young Professional Programme has been suspended for the coming biennium (detailed information on the impact of retirements is available in Annex VI in 37 C/INF.12).

**Geographical distribution by regional group**

10.    The principle of individual quotas for each Member State is the sole official criterion of the Organization. The presentation of the situation by regional group is a usual practice in this report and is for indicative purposes only. The index for regional groups is calculated by adding the value of the minimum and maximum ranges for each Member State belonging to the regional group.

**Evolution since June 2011**

11.    As shown in Table 3, Groups II, III and IV are below the minimum index established. Groups I and V(a) decreased by 19 and 12 units respectively, remaining within the index.

**Table 3**
**Evolution of the geographical distribution by regional group (June 2011-June 2013)**

| Regional groups* | Index June 2013 | | 1 June 2011 | 1 June 2013 | Variation since June 2011 | Status |
|---|---|---|---|---|---|---|
| | Mini | Maxi | | | | |
| Group I | 176 | 300 | 272 (38%) | 253 (37%) | -19 | Within index |
| Group II | 61 | 112 | 65 (9%) | 60 (9%) | -5 | Below minimum index |
| Group III | 81 | 153 | 68 (9%) | 64 (9%) | -4 | Below minimum index |
| Group IV | 151 | 269 | 128 (18%) | 125 (19%) | -3 | Below minimum index |
| Group V(a) | 97 | 190 | 124 (17%) | 112 (17%) | -12 | Within index |
| Group V(b) | 45 | 81 | 61 (9%) | 60 (9%) | -1 | Within index |

\* Electoral groups: Group I; Group II; Group III: GRULAC; Group IV: ASPAC; Group V(a): Africa; Group V(b): Arab States

**Table 4. Number of non- and under-represented Member States within each Regional group**

| Regional groups* | Total Member States | % of Under and non-represented M.States |
|---|---|---|
| Group I | 27 | 11 (41%) |
| Group II | 25 | 10 (40%) |
| Group III | 33 | 20 (61%) |
| Group IV | 44 | 29 (66%) |
| Group V(a) | 47 | 23 (49%) |
| Group V(b) | 19 | 11 (58%) |
| **Total** | **195** | **104** |

12.    Table 4 shows that non- and under-represented countries are found in all regional groups, including those that are "within their indexes". While Group IV has the highest number of non- and under-represented Member States (29), Group III and Group V(a) follow closely (with 23 and 20 respectively). Groups I, II and V(b) count 10 to 11 non- or under-represented Member States.

## Representation at Director level and above by Regional Group

13.    The number of Directors on geographical posts has decreased from 86 to 72 (- 14) between June 2011 and June 2013. As a result, there has been a decrease in the number of Directors in all regional groups during the same period. Group I, IV and V(b) reduced by three, Groups III and V(a) reduced by two and Group II by one.

**Table 5. Geographical distribution by regional group of staff at Director Level and above – Variation June 2011 against June 2013**

| Regional groups | June 2011 | | June 2013 | | Variation since 1 June 2011 |
|---|---|---|---|---|---|
| | Directors and above level | % | Directors and above level | % | |
| Group I | 35 | 41% | 32 | 44% | -3 |
| Group II | 5 | 6% | 4 | 6% | -1 |
| Group III | 8 | 9% | 6 | 8% | -2 |
| Group IV | 13 | 15% | 10 | 14% | -3 |
| Group V(a) | 18 | 21% | 16 | 22% | -2 |
| Group V(b) | 7 | 8% | 4 | 6% | -3 |
| **Total** | **86** | **100%** | **72** | **100%** | **-14** |

## Geographical distribution using a post-weighing approach

14.    In 32 C/Resolution 71, the General Conference requested the Director-General to report on the geographical distribution of the staff in the Secretariat by grade for each Member State, using a post-weighing approach. Detailed information in 37 C/INF.12.

## PART II – GENDER BALANCE OF STAFF

15.    This section of the report presents an update on the gender balance in the Secretariat, and a progress report on the Action Plan for Gender Parity which aims at achieving 50% representation of women at senior management levels (D-1 and above) by 2015.

16.    The population covered by this report is larger than in the geographical distribution report, since the gender statistics cover all staff on fixed-term contracts irrespective of the source of funding; while geographical distribution data is restricted to geographical posts which are regular programme posts (RP). Therefore, the Director gender data includes Director posts financed by extrabudgetary funds, such as those in the Institutes.

**Progress report: Gender balance at Director level and above**

17.    Since June 2011, significant progress has been made in the representation of women at senior management levels, with an increase by 5% of the percentage of women Directors (from 27% to 32%, as of 1 June 2013) (Table 6).

18.    This trend is due mostly to the reduction in the number of men Directors (59, as compared to 75 in June 2011), while the number of women Directors remained the same (28). Due to the financial constraints, most of initiatives of the Action Plan have been slowed down or suspended in 2012/2013, in particular in terms of recruitment, but also the training initiatives for mid-level women. Detailed information on the status of the Action Plan for Gender Parity is contained in Annex VIII in 37 C/INF.12.

**Table 6. Situation of the gender balance at Director level by grade**
**from 1 June 2011 to 1 June 2013 (Regular programme and extrabudgetary funds)**

|  | 1 June 2011 | | | | | 1 June 2013 | | | | | Difference |
|---|---|---|---|---|---|---|---|---|---|---|---|
|  | F | %F | M | %M | Total | F | %F | M | %M | Total | %F |
| DDG | - | 0% | 1 | 100% | 1 | - | - | 1 | 100% | 1 | - |
| ADG | 5 | 45% | 6 | 55% | 11 | 5 | 45% | 6 | 55% | 11 | - |
| D-2 | 8 | 32% | 17 | 68% | 25 | 9 | 39% | 14 | 61% | 23 | +7 % |
| D-1 | 15 | 23% | 51 | 77% | 66 | 14 | 27% | 38 | 73% | 52 | +4 % |
| Total | 28 | 27% | 75 | 73% | 103 | 28 | 32% | 59 | 68% | 87 | +5 % |

**Gender balance at Professional level and above**

19.    As of 1 June 2013, gender parity has been achieved for UNESCO's Professional staff (P/D). This brings UNESCO in third position among the 12 large United Nations agencies[2] after UNICEF (50.4%) and UNFPA (50.1%). Overall, in the Professional category, women represent a slight majority (52%); this representation is increased in the junior levels, with 64 % at P-1/P-2 level and 55 % at P-3 level. At P-4 and P-5 levels, women represent 47% and 38% respectively.

**Table 7. Situation of the gender balance at Professional level by grade**
**Regular programme and extrabudgetary funds (1 June 2011 to 1 June 2013)**

|  | F | %F | M | %M | Total | F | %F | M | %M | Total | %F |
|---|---|---|---|---|---|---|---|---|---|---|---|
| DDG | - | 0% | 1 | 100% | 1 | - | 0% | 1 | 100% | 1 | - |
| ADG | 5 | 45% | 6 | 55% | 11 | 5 | 45% | 6 | 55% | 11 | - |
| D-2 | 8 | 32% | 17 | 68% | 25 | 9 | 39% | 14 | 61% | 23 | +7% |
| D-1 | 15 | 23% | 51 | 77% | 66 | 14 | 27% | 38 | 73% | 52 | +4% |
| Total D | 28 | 27% | 75 | 73% | 103 | 28 | 32% | 59 | 68% | 87 | +5% |
| P-5 | 61 | 39% | 95 | 61% | 156 | 54 | 38% | 87 | 62% | 141 | -1% |
| P-4 | 96 | 46% | 112 | 54% | 208 | 103 | 47% | 115 | 53% | 218 | +1% |
| P-3 | 150 | 52% | 136 | 48% | 286 | 150 | 55% | 123 | 45% | 273 | +2% |
| P-2/P-1 | 122 | 69% | 55 | 31% | 177 | 105 | 64% | 60 | 36% | 165 | -5% |
| Total P | 429 | 52% | 398 | 48% | 827 | 412 | 52% | 385 | 48% | 797 | - |
| Total D/P | 457 | 49% | 473 | 51% | 930 | 440 | 50% | 444 | 50% | 884 | +1% |

**PART III – CONCLUSION**

20.    A total of 157 Member States are represented within the Secretariat (81% of the Member States). While the overall level of representation remains stable, the number of under-represented

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2        CEB statistics as at 31 December 2012, 12 largest agencies in P/D population: United Nations, UNICEF, UNDP, WHO, UNHCR, WFP, FAO, IAEA, UNESCO, ILO, UNFPA and WIPO.

countries has increased and the number of normally represented countries has significantly decreased. This trend is mainly explained by the non-renewal of staff on geographical posts, due to the financial constraints of the Organization which has significantly reduced the level of recruitment.

21.    Most of the actions set out in the Action Plan for the improvement of the geographical distribution for 2011-2016 have been suspended (information on the status of the Action Plan is contained in the Annex II in 37 C/INF.12.

22.    As of June 2013, gender parity has been achieved in the Professional and above category (P/D) (50%/50%). UNESCO is among the highest ranking agencies in this respect. Although significant progress has been made at the senior management level (from 22% women Directors in 2009, start of the Action Plan for Gender Parity to 32% in June 2013), gender parity may prove difficult to achieve by end 2015. Among the 38 Directors scheduled to retire by end 2015, 29 are men. This could be an opportunity for enhancing gender parity. Therefore, particular attention will continue to be given when decisions are taken on appointment to senior level positions.

**Draft decision**

23.    The Executive Board may wish, in the light of the considerations set out in this document, to adopt a resolution along the following lines:

The Executive Board,

1.    Recalling 36 C/Resolution 97 and 190 EX/Decision 5 (IX),

2.    Having examined document 192 EX/5 Part IV,

3.    Recalling that the highest standards of integrity, efficiency and technical competence remain the paramount criteria for recruitment,

4.    Takes note of the information provided by the Director-General regarding the situation of the geographical distribution and the gender balance of the staff as at 1 June 2013;

5.    Invites the Director General to provide to the Executive Board at its 195th session an information note on the situation of the geographical distribution of the staff in the Secretariat and a progress report on the achievement of gender balance at senior levels, and to submit to the Executive Board a full report at its 197th session;

6.    Invites the Director-General to submit to the General Conference at its 38th session a full report on the situation of the geographical distribution and gender balance of the staff of the Secretariat.

**B.** **Report by The Director-General on the use of consultant contracts in 2012 and the implementation of the revised policy on individual consultants and other specialists** (Follow-up to 190 EX/Decision 5 (IX))

**INTRODUCTION**

1.     There are three types of standard contracts for service used by UNESCO: those with-profit organizations; non-profit organizations; and individual consultants and other specialists.

2.     This report covers contracts awarded to individual consultants and other specialists, who are hired by UNESCO in an advisory/consultative capacity or to provide the skills, expertise and knowledge required for a specific service or product.

**Update on policy implementation**

3.     The Director-General approved a new policy for individual consultants and other specialists in February 2012 which, *inter alia*, addressed recommendations in External Auditor reports[3] relating, in particular, to strengthened competitive bidding and clarity on the use of waivers, and incorporating new contractual modalities for individual authors, photographers and film and video production specialists. As these new contracts for individual specialists were only implemented in February 2012, and incorporated in the online contract management tool later in 2012, it is not possible to present data on these contracts in the present document.

4.     A single database to facilitate the tracking of individuals on temporary assistance contracts was introduced in 2012. Analysis of the data in the new system has enabled the Bureau of Human Resources Management to identify individuals currently working for UNESCO, who have been hired on successive temporary assistance contracts. Sectors and Bureaux have since been requested to identify more appropriate contract modalities for these individuals.

5.     A new consultant roster was introduced in January 2013, as part of UNESCO's new online e-recruitment tool. Training sessions for AO and other staff on the Roster's search facilities were organized at Headquarters and in the field (by video/audio conference) in February and March 2013.

**Special measures**

6.     Finally, the Director-General approved in March 2013 two special measures relating to individual consultant contracts. First, Sectors, Bureaux and field offices are, due to the financial constraints, instructed until further notice to reduce by 20% the fee element of all new contracts, irrespective of the funding source. Rates continue to be expressed in "up to" terms, to provide managers with flexibility to establish the appropriate remuneration to secure the necessary experience, expertise and quality of service through negotiation, taking into account the particular situation and any other relevant factors.

7.     Also, Sectors, Bureaux and field offices are now required to reduce by 20% the number of consultants funded from the regular budget. The baseline for the reduction is the number of individual consultants hired by Sectors, Bureaux and field offices during 2012.

**Data and trends on consultant contracts**

8.     This section presents data on consultant contracts issued between 2008 and 2012, at Headquarters and the field. Key statistics and tables are set out below while further detailed tables and charts are shown in Annexes I and II, available online. As in previous years' reports, data on contracts awarded by Brasilia Office are set out separately (in Annex III), to allow a clearer picture of the contracts awarded by field offices as a whole.

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[1]     182 EX/46: Report by the External Auditor on temporary contracts awarded by the Organization.

## Number of individual consultants

9.   The overall number of consultants in 2012 was 29% lower than in 2011 (21% lower in Headquarters; 32% lower in the field (Table 1)). The field accounted for 71% of the individual consultants hired in 2012.

**Table 1: Numbers of individual consultants:* 2008-2012**

| | 2008 | 2009 | 2010 | 2011 | 2012 | Evolution 2011-2012 |
|---|---|---|---|---|---|---|
| HQ | 825 | 1001 | 800 | 699 | 549 | -21% |
| *% HQ* | *35%* | *40%* | *32%* | *26%* | *29%* | |
| Field* | 1509 | 1512 | 1689 | 1981 | 1349 | -32% |
| *% Field* | *65%* | *60%* | *68%* | *74%* | *71%* | |
| | | | | | | |
| Total | 2334 | 2513 | 2489 | 2680 | 1898 | -29% |

*excluding data for Brasilia Office

## Number of individual consultant contracts

10.   The overall number of consultant contracts issued by UNESCO in 2012 was 26% lower than in 2011 (23% lower in Headquarters; 28% lower in the field (Table 2)). The field accounted for 67% of the individual consultant contracts awarded in 2012.

**Table 2: Numbers of individual consultant contracts:* 2008-2012**

| | 2008 | 2009 | 2010 | 2011 | 2012 | Evolution 2011-2012 |
|---|---|---|---|---|---|---|
| HQ | 1267 | 1523 | 1248 | 1084 | 840 | -23% |
| *% HQ* | *41%* | *46%* | *37%* | *31%* | *33%* | |
| Field* | 1808 | 1807 | 2107 | 2417 | 1741 | -28% |
| *% Field* | *59%* | *54%* | *63%* | *69%* | *67%* | |
| | | | | | | |
| Total | 3075 | 3330 | 3355 | 3501 | 2581 | -26% |

*excluding data for Brasilia Office

## Spending on individual consultant contracts

11.   Overall spending on individual consultant contracts by UNESCO in 2012 was 25% lower than in 2011 (23% lower in Headquarters and 26% lower in the field (Table 3)). The field accounted for 63% of the overall spending on individual consultant contracts.

**Table 3: Spending on Consultant Contracts:* 2008-2012 ($mill)**

| | 2008 | 2009 | 2010 | 2011 | 2012 | Evolution 2011-2012 |
|---|---|---|---|---|---|---|
| HQ | 9.550 | 11.192 | 10.150 | 8.743 | 6.765 | -23% |
| *% HQ* | *53%* | *51%* | *42%* | *36%* | *37%* | |
| Field* | 8.437 | 10.752 | 14.210 | 15.747 | 11.575 | -26% |
| *% Field* | *47%* | *49%* | *58%* | *64%* | *63%* | |
| | | | | | | |
| Total | 17.987 | 21.944 | 24.360 | 24.490 | 18.340 | -25% |

*excluding data for Brasilia Office

**Source of funding of contracts**

12. Spending on individual consultant contracts financed from the regular programme (RP) fell by 83% between 2011 and 2012 (78% lower in Headquarters and 85% lower in the field). The spending on contracts financed from extrabudgetary funds increased by 42% in 2012 (31% increase in Headquarters and 49% in the field), which accounted for 88% of the overall spending on consultant contracts in 2012, compared to 46% in 2011. (Table 4).

**Table 4: Spending on consultant contracts by source of funding: 2011 and 2012 ($mill)**

|  | 2011 | | | | | 2012 | | | | | Evolution 2011-2012 | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
|  | RP | %RP | ExB | %ExB | Total | RP | %RP | ExB | %ExB | Total | RP | ExB |
| HQ | 4.297 | 49% | 4.446 | 51% | **8.743** | 0.936 | 14% | 5.829 | 86% | **6.765** | -78% | 31% |
| Field* | 8.846 | 56% | 6.902 | 44% | **15.748** | 1.287 | 11% | 10.288 | 89% | **11.575** | -85% | 49% |
| **Total** | **13.143** | **54%** | **11.348** | **46%** | **24.491** | **2.223** | **12%** | **16.117** | **88%** | **18.340** | **-83%** | **42%** |

*excluding data for Brasilia Office

**Contracts by amount**

13. Most consultants contracts at Headquarters and the field continue to be under $10,000: 70% and 82% respectively in 2012, compared to 74% and 81% in 2011. Twenty-four contracts exceeding $50,000 were issued in 2012 (1% of the total), compared to 26 in 2011; five were at Headquarters and 19 were in the field (see Table 5, Annex I).

14. The average amount spent on individual consultant contracts issued at Headquarters fell by 0.1% (to US $8,054) between 2011 and 2012, and rose by 2% (to $6,648) in the field (excluding Brasilia Office) during the same period (see Table 6, Annex I).

**Duration of contracts**

15. Most consultant contracts are for short periods, typically under three months. Table 7, Annex I shows that in 2012, 71% of contracts issued at Headquarters and 75% in the field covered less than three months compared with 77% and 70% respectively in 2011. Seven per cent of contracts at Headquarters and 7% in the field in 2012 covered over six months.

**Contracts by Sector/Bureau at Headquarters**

16. 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 85% of overall spending in Headquarters in 2012, the same as in 2011, with three sectors – Culture, Education and Science – being responsible for 67% of the contracts issued in 2012, and for 81% of the total spending.

17. A breakdown of Headquarters spending on individual consultant contracts by the thematic area of the activity is set out in Annex II, and based on information extracted from the FABS system.

**Gender, nationality and retired staff**

18. The new consultant policy requires managers to give proper 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.

19. At Headquarters and in the field combined, 29% of the consultants granted contracts in 2012 were from Group 1 countries (32% in 2010-2011); 22% of consultants were from Group V (Afr), 16% Group IV, 16% Group V (Arab), 13% Group III and 4% Group II (see Table 9 in Annex I).

20.    At Headquarters, 57% of consultants granted contracts in 2012 were from Group 1 countries (65% in 2010-11); they accounted for 58% of total spending (65% in 2010-2011). In the field, 18% of consultants granted contracts in 2012 were from Group 1 (the same as in 2010-2011); they accounted for 33% of total spending (26% in 2010-2011). Twenty-six per cent of consultants in 2012 were from Group V (Afr), 19% Group V (Arab), 18% Group IV, 15% Group III and 4% Group II.

21.    Table 10, Annex I shows the nationality of consultants hired by UNESCO in 2012 by the Group in which the awarding office is located; and confirms the practice of local recruiting for local projects. Fifty-five per cent of consultants hired by offices in Group 1 countries were nationals of Group 1 countries. The numbers range from 68% to 100% in other regions: in Group IV offices, for example, 68% of consultants hired were nationals of Group IV countries, while all of the consultants hired by Group II offices were nationals of Group II countries.

22.    Forty-six per cent of consultants hired in Headquarters in 2012 were women (45% in 2011). The corresponding figure for the field was 35%, the same as in 2011. Overall, 38% of the consultants hired in 2012 were women, the same as in 2011 (Table 11, Annex I).

**Retired staff**

23.    The number of retired staff members granted a consultant contract decreased in 2012, from a total of 93 in 2011 to 42 in 2012. Eighteen retired staff were granted contracts at Headquarters in 2012, at a total cost of $0.195m, and 24 retired staff were granted contracts in the field ($0.432m). Overall, at Headquarters and the field, retired staff represented 2% of all consultants hired and 3% of total spending in 2012, compared to 3% and 6% respectively in 2011. (see Table 12, Annex I)

**One-dollar consultant contracts**

24.    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 one-dollar contracts must have the prior approval of the Office of the Director-General.

25.    Fourteen individuals were granted one-dollar contracts in Headquarters during 2012 (16 in 2011), of whom five were former UNESCO staff members. Table 13, Annex I shows the Sectors/Bureaux awarding one-dollar contracts in 2012.

**Financial and administrative implications**

26.    The activities mentioned in this report were foreseen in work plans.

**Proposed decision**

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

The Executive Board,

1.    Recalling 171 EX/Decision 35 and 190 EX/Decision 5 Part IX,

2.    Having examined document 192 EX/5 (Part IV),

3.    Takes note of the policy developments since the introduction of the new policy on contracts for individual consultants and other specialists in February 2012;

4.    Also takes note of the data, analyses and qualitative information presented in the report and encourages the Secretariat to continue its efforts to improve the quality of information provided on the content of contracts and services delivered;

5.    <u>Recalls</u> the need to ensure wider geographical distribution and a better gender balance in the hiring of consultants where qualifications are equal;

6.    <u>Invites</u> the Director-General to report at its 195th session on the use of consultants and the implementation of the modified policy on individual consultants and other specialists.

# ANNEX I

## STATISTICS ON CONSULTANT CONTRACTS ISSUED
## AT HEADQUARTERS AND THE FIELD
## (excluding Brasilia)

1.    Table 1 shows the number of individual consultant contracts awarded at Headquarters and field offices (excluding Brasilia Office) for each year between 2008 and 2012.

**Table 1: Numbers of individual consultant contracts:[*] 2008-2012**

| | 2008 | 2009 | 2010 | 2011 | 2012 | Evolution 2011-2012 |
|---|---|---|---|---|---|---|
| HQ | 1267 | 1523 | 1248 | 1084 | 840 | -23% |
| *% HQ* | *41%* | *46%* | *37%* | *31%* | *33%* | |
| Field* | 1808 | 1807 | 2107 | 2417 | 1741 | -28% |
| *% Field* | *59%* | *54%* | *63%* | *69%* | *67%* | |
| | | | | | | |
| Total | 3075 | 3330 | 3355 | 3501 | 2581 | -26% |

*excluding data for Brasilia Office

**Number of Consultant Contracts**



2.    Table 2 shows the number of individual consultants awarded contracts at Headquarters and the field offices (excluding Brasilia Office) for each year between 2008 and 2012.

**Table 2: Numbers of individual consultants:[*] 2008-2012**

| | 2008 | 2009 | 2010 | 2011 | 2012 | Evolution 2011-2012 |
|---|---|---|---|---|---|---|
| HQ | 825 | 1001 | 800 | 699 | 549 | -21% |
| *% HQ* | *35%* | *40%* | *32%* | *26%* | *29%* | |
| Field* | 1509 | 1512 | 1689 | 1981 | 1349 | -32% |
| *% Field* | *65%* | *60%* | *68%* | *74%* | *71%* | |
| | | | | | | |
| Total | 2334 | 2513 | 2489 | 2680 | 1898 | -29% |

*excluding data for Brasilia Office

**Number of Individual Consultant**



| | 2008 | 2009 | 2010 | 2011 | 2012* |
|---|---|---|---|---|---|
| Field | 1 509 | 1 512 | 1 689 | 1 981 | 1 349 |
| HQ | 825 | 1 001 | 800 | 699 | 549 |

■ HQ ■ Field

3.    Table 3 shows the overall spending on individual consultant contracts awarded at Headquarters and in field offices (excluding Brasilia Office) for each year between 2008 and 2012.

**Table 3: Spending on consultant contracts:\* 2008-2012** ($mill)

| | 2008 | 2009 | 2010 | 2011 | 2012 | Evolution 2011-2012 |
|---|---|---|---|---|---|---|
| HQ | 9.550 | 11.192 | 10.150 | 8.743 | 6.765 | -23% |
| *% HQ* | *53%* | *51%* | *42%* | *36%* | *37%* | |
| Field* | 8.437 | 10.752 | 14.210 | 15.747 | 11.575 | -26% |
| *% Field* | *47%* | *49%* | *58%* | *64%* | *63%* | |
| | | | | | | |
| **Total** | **17.987** | **21.944** | **24.360** | **24.490** | **18.340** | -25% |

*excluding data for Brasilia Office

**Spending on Consultant Contracts ($mill)**



| | 2008 | 2009 | 2010 | 2011 | 2012 |
|---|---|---|---|---|---|
| Field | 8.44 | 10.75 | 14.21 | 15.75 | 11.58 |
| HQ | 9.55 | 11.19 | 10.15 | 8.74 | 6.77 |

■ HQ ■ Field

4.    Table 4 shows the overall spending on individual consultant contracts awarded at Headquarters and in the field (excluding Brasilia Office) in 2011 and 2012 by source of funding.

**Table 4: Spending on consultant contracts by source of funding: 2011 and 2012 ($mill)**

| | 2011 | | | | | 2012 | | | | | Evolution 2011-2012 | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | RP | %RP | ExB | %ExB | Total | RP | %RP | ExB | %ExB | Total | RP | ExB |
| HQ | 4.297 | 49% | 4.446 | 51% | **8.743** | 0.936 | 14% | 5.829 | 86% | **6.765** | -78% | 31% |
| Field* | 8.846 | 56% | 6.902 | 44% | **15.748** | 1.287 | 11% | 10.288 | 89% | **11.575** | -85% | 49% |
| **Total** | **13.143** | **54%** | **11.348** | **46%** | **24.491** | **2.223** | **12%** | **16.117** | **88%** | **18.340** | **-83%** | **42%** |

*excluding data for Brasilia Office

5.    Table 5 and the two pie-charts show overall spending on individual consultant contracts awarded at Headquarters and the field (excluding Brasilia Office) in 2011 and 2012, by size of contract.

**Table 5: Number of consultant contracts by size of contract: 2011 and 2012 (US dollar)**

| US dollar | HQ | | | | Field* | | | |
|---|---|---|---|---|---|---|---|---|
| | 2011 | % | 2012 | % | 2011 | % | 2012 | % |
| Less than 5000 | 568 | 52% | 391 | 47% | 1426 | 59% | 1084 | 62% |
| 5000 to 9999 | 234 | 22% | 201 | 24% | 529 | 22% | 345 | 20% |
| 10000 to 24999 | 216 | 20% | 212 | 25% | 365 | 15% | 236 | 14% |
| 25000 to 49999 | 54 | 5% | 31 | 4% | 83 | 3% | 57 | 3% |
| 50000 and over | 12 | 1% | 5 | 1% | 14 | 1% | 19 | 1% |
| **Total** | **1084** | **100%** | **840** | **100%** | **2417** | **100%** | **1741** | **100%** |

*excluding data for Brasilia Office



% of contracts by size (US$)
HQ 2012

% of contracts by size (US$)
Field 2012

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 2008 and 2012.

**Table 6: Average amount of consultant contracts: 2008-2012**($mill)

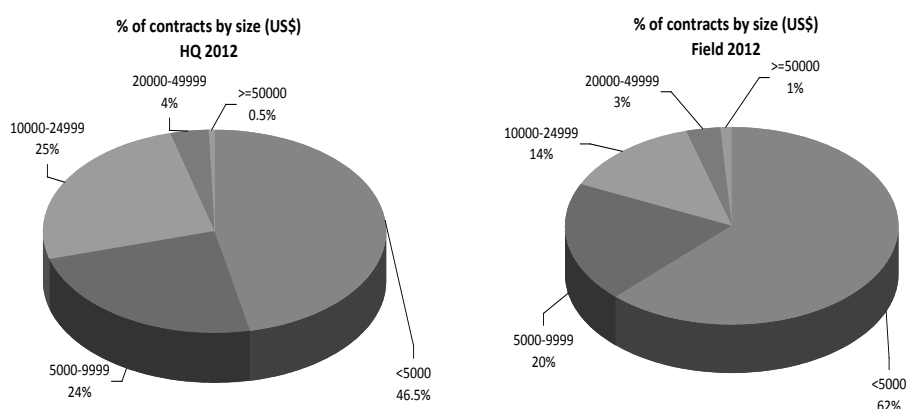| | 2008 | 2009 | 2010 | 2011 | 2012 | Evolution 2011-2012 |
|---|---|---|---|---|---|---|
| HQ | 7 537 | 7 349 | 8 133 | 8 066 | 8 054 | -0.1% |
| Field* | 4 666 | 5 950 | 6 744 | 6 515 | 6 648 | 2.0% |
| **Total** | **5 849** | **6 590** | **7 261** | **6 995** | **7 106** | 1.6% |

*excluding data for Brasilia Office

7.    Table 7 and the two pie-charts show overall spending on individual consultant contracts awarded at Headquarters and the field (excluding Brasilia Office) in 2011 and 2012, by duration of contract.

**Table 7: Number of consultant contracts by duration of contract: 2011 and 2012**

| | HQ | | | | Field* | | | |
|---|---|---|---|---|---|---|---|---|
| | 2011 | % | 2012 | % | 2011 | % | 2012 | % |
| Under 1 month | 454 | 42% | 238 | 28% | 710 | 29% | 499 | 29% |
| 1 to 3 months | 378 | 35% | 362 | 43% | 985 | 41% | 813 | 47% |
| 3 to 6 months | 177 | 16% | 184 | 22% | 484 | 20% | 303 | 17% |
| Over 6 months | 75 | 7% | 56 | 7% | 238 | 10% | 126 | 7% |
| **Total** | **1084** | **100%** | **840** | **100%** | **2417** | **100%** | **1741** | **100%** |

*excluding data for Brasilia Office

**% of contracts by duration**
**HQ 2012**



**Number of contracts by duration**
**Field 2012**
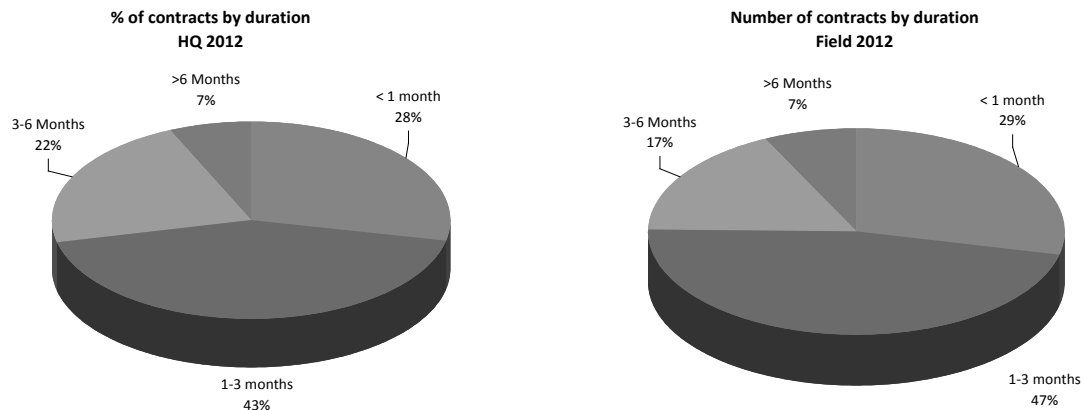


8.    Table 8 shows the number and spending on consultant contracts in 2011 and 2012, by sector.

**Table 8: Number and spending on consultant contracts by sector/bureau: 2011-2012 ($m)**

| | **2011** | | | |
|---|---|---|---|---|
| | **Number** | **%** | **Amount ($mill)** | **%** |
| CI | 22 | **2.0%** | 0.173 | **2.0%** |
| CLT | 315 | **29.1%** | 2.565 | **29.3%** |
| ED | 167 | **15.4%** | 1.824 | **20.9%** |
| SC | 212 | **19.6%** | 2.434 | **27.8%** |
| SHS | 52 | **4.8%** | 0.412 | **4.7%** |
| ERI | 169 | **15.6%** | 0.275 | **3.1%** |
| AFR | 12 | **1.1%** | 0.129 | **1.5%** |
| MSS | 37 | **3.4%** | 0.079 | **0.9%** |
| CENT[1] | 98 | **9.0%** | 0.853 | **9.8%** |
| Total | 1084 | **100%** | 8.743 | **100%** |

[1]BFC, BSP, HRM, IOS, ETH, ODG

| | **2012** | | | |
|---|---|---|---|---|
| | **Number** | **%** | **Amount ($mill)** | **%** |
| CI | 25 | **2.9%** | 0.178 | **2.6%** |
| CLT | 302 | **34.8%** | 2.830 | **41.8%** |
| ED | 111 | **12.8%** | 0.972 | **14.4%** |
| SC | 148 | **17.0%** | 1.680 | **24.8%** |
| SHS | 8 | **0.9%** | 0.055 | **0.8%** |
| ERI | 80 | **9.2%** | 0.275 | **4.1%** |
| AFR | 14 | **1.6%** | 0.150 | **2.2%** |
| MSS | 35 | **4.0%** | 0.042 | **0.6%** |
| CENT[1] | 146 | **16.8%** | 0.583 | **8.6%** |
| Total | 869 | **100%** | 6.765 | **100%** |

[1]BFC, BSP, HRM, IOS, ETH, ODG

9.    Table 9 shows the number and spending on individual consultant contracts issued at Headquarters and field offices for 2010-2011 and 2012, by the regional group of the individual consultant.

**Table 9: Number of consultants and spending on contracts,**
**by consultant region: 2010-11 and 2012**

| | **HQ** | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| **Regional Group** | **Number 2010-11** | **%** | **Number 2012** | **%** | **Amt $m 2010-11** | **%** | **Amt $m 2012** | **%** |
| I | 979 | *65%* | 313 | *57%* | 12.283 | *65%* | 3.950 | *58%* |
| II | 52 | *3%* | 25 | *5%* | 0.650 | *3%* | 0.266 | *4%* |
| III | 119 | *8%* | 37 | *7%* | 1.781 | *9%* | 0.489 | *7%* |
| IV | 110 | *7%* | 64 | *12%* | 1.559 | *8%* | 0.841 | *12%* |
| V AFR | 163 | *11%* | 66 | *12%* | 1.644 | *9%* | 0.816 | *12%* |
| V arab | 76 | *5%* | 44 | *8%* | 0.976 | *5%* | 0.403 | *6%* |
| Total | 1499 | *100%* | 549 | *100%* | 18.893 | *100%* | 6.765 | *100%* |

| Regional Group | Field* | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | Number 2010-11 | % | Number 2012 | % | Amt $m 2010-11 | % | Amt $m 2012 | % |
| I | 652 | 18% | 238 | 18% | 7.889 | 26% | 3.779 | 33% |
| II | 229 | 6% | 59 | 4% | 0.703 | 2% | 0.243 | 2% |
| III | 746 | 20% | 206 | 15% | 5.954 | 20% | 1.418 | 12% |
| IV | 592 | 16% | 241 | 18% | 4.076 | 14% | 2.263 | 20% |
| V AFR | 842 | 23% | 351 | 26% | 6.436 | 21% | 2.122 | 18% |
| V arab | 609 | 17% | 254 | 19% | 4.899 | 16% | 1.750 | 15% |
| Total | 3670 | 100% | 1349 | 100% | 29.957 | 100% | 11.575 | 100% |

*Excluding data for Brasilia Office

| Regional Group | HQ and Field* | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | Number 2010-11 | % | Number 2012 | % | Amt $m 2010-11 | % | Amt $m 2012 | % |
| I | 1631 | 32% | 551 | 29% | 20.172 | 41% | 7.729 | 42% |
| II | 281 | 5% | 84 | 4% | 1.353 | 3% | 0.509 | 3% |
| III | 865 | 17% | 243 | 13% | 7.735 | 16% | 1.907 | 10% |
| IV | 702 | 14% | 305 | 16% | 5.635 | 12% | 3.104 | 17% |
| V AFR | 1005 | 19% | 417 | 22% | 8.080 | 17% | 2.938 | 16% |
| V arab | 685 | 13% | 298 | 16% | 5.875 | 12% | 2.153 | 12% |
| Total | 5169 | 100% | 1898 | 100% | 48.850 | 100% | 18.340 | 100% |

*Excluding data for Brasilia Office

10.    Table 10 shows the percentage of consultant contracts (based on number) issued in 2012, by the regional group of the individual consultant and the regional group of the awarding office (Headquarters and field combined).

**Table 10: Nationality of consultants hired in 2012 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 | 55% | 0% | 6% | 26% | 16% | 18% | 29% |
| II | 8% | 100% | 0% | 5% | 0% | 1% | 4% |
| III | 6% | 0% | 93% | 0% | 2% | 1% | 13% |
| IV | 11% | 0% | 0% | 68% | 1% | 4% | 16% |
| V Afr | 12% | 0% | 0% | 1% | 79% | 2% | 22% |
| V Arab | 8% | 0% | 0% | 0% | 1% | 74% | 16% |
| Total | 100% | 100% | 100% | 100% | 100% | 100% | 100% |

11.    Table 11 shows the number of individual consultants hired in 2011 and 2012 at Headquarters and the field, by gender.

| | HQ | | | | Field* | | | | HQ and Field* | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | 2011 | % of total | 2012 | % of total | 2011 | % of total | 2012 | % of total | 2011 | % of total | 2012 | % of total |
| Male | 384 | 55% | 299 | 54% | 1280 | 65% | 877 | 65% | 1664 | 62% | 1176 | 62% |
| Female | 315 | 45% | 250 | 46% | 701 | 35% | 472 | 35% | 1016 | 38% | 722 | 38% |
| Total | 699 | 100% | 549 | 100% | 1981 | 100% | 1349 | 100% | 2680 | 100% | 1898 | 100% |

*Excluding data for Brasilia Office

12.   Table 12 shows the number and spending on consultant contracts issued at Headquarters and the field in 2011 and 2012 to former UNESCO staff.

**Table 12: Number and Spending on Consultant Contracts of Retired staff: 2011 and 2012**

| | | | | | $ million | | |
|---|---|---|---|---|---|---|---|
| | | Number | Retired staff | % | Total spending | Spending Retired staff | % |
| **2011** | HQ | 699 | 47 | 7% | 8.743 | 0.696 | 8% |
| | Field* | 1981 | 46 | 2% | 15.747 | 0.712 | 5% |
| | Total | 2680 | 93 | 3% | 24.490 | 1.408 | 6% |
| **2012** | HQ | 552 | 18 | 3% | 6.765 | 0.195 | 3% |
| | Field* | 1354 | 24 | 2% | 11.575 | 0.432 | 4% |
| | Total | 1906 | 42 | 2% | 18.340 | 0.627 | 3% |

*Excluding data for Brasilia Office

13.   Table 13 shows the number of $1 consultant contracts issued at Headquarters in 2012, by sector.

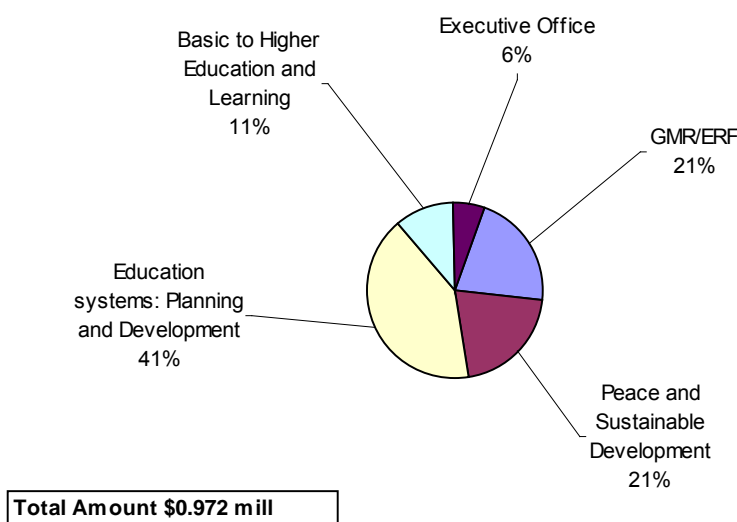| | |
|---|---|
| BSP | 2 |
| CI | 1 |
| CLT/WHC | 5 |
| ODG | 11 |
| SHS | 2 |
| SC/IOC | 2 |
| Total | 23 |

**ANNEX II**

**HEADQUARTERS SPENDING ON CONSULTANT CONTRACTS
BY THEMATIC AREA OF ACTIVITY**

Spending on individual consultant contracts by the five programme sectors accounted for 85% of overall spending at Headquarters in 2012. More detailed information by thematic area of activity is set out below, based on data extracted from the FABS system. Some sectors were restructured during the period and the raw data used to construct the charts were adjusted to correspond as closely as possible to the new structures.

**Education**

ED Sector spent $0.972m on consultant contracts in 2012 ($1.824m in 2011): 41% related to Planning and Development of education systems; 21% to the *Global Monitoring Report*; 21% to Peace and Sustainable Development and 11% to Basic/Higher Education/Learning Activities.



Basic to Higher Education and Learning 11%
Executive Office 6%
GMR/ERF 21%
Education systems: Planning and Development 41%
Peace and Sustainable Development 21%

Total Amount $0.972 mill

**Communication and Information (CI)**

CI spent $178,000 on individual consultant contracts in 2012 ($173,000 in 2011): 48% related to Freedom of Expression/Media Development projects, 44% related to Knowledge Societies.



Coordination and Evaluation 8%
Freedom of Expression, Media Dev.t 48%
Knowledge Societies 44%

Total Amount = $0 .178 mill
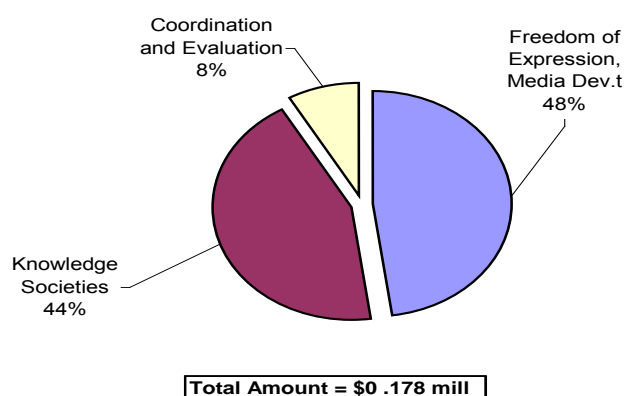
## Culture (CLT) and World Heritage Centre (WHC)

CLT spent $1.824m on individual consultant contracts in 2012 ($1.427m in 2011) of which 87% related to Cultural Expressions and Heritage and 9% to Diversity, Development and Dialogue.
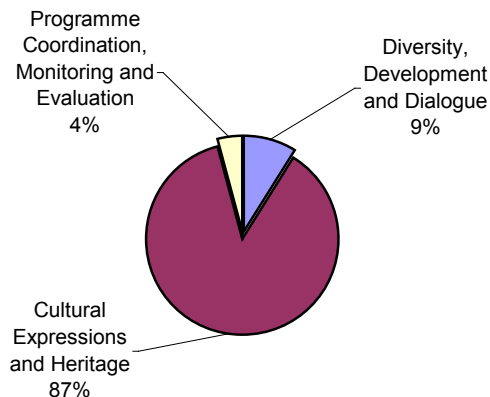


Total Amount $ 1.824 mill

WHC spent $1.007m on consultant contracts in 2012 ($1.138m in 2011), of which 40% related to the Special Projects unit, 40% to regional projects and 16% to Communication, Education and Partnerships.
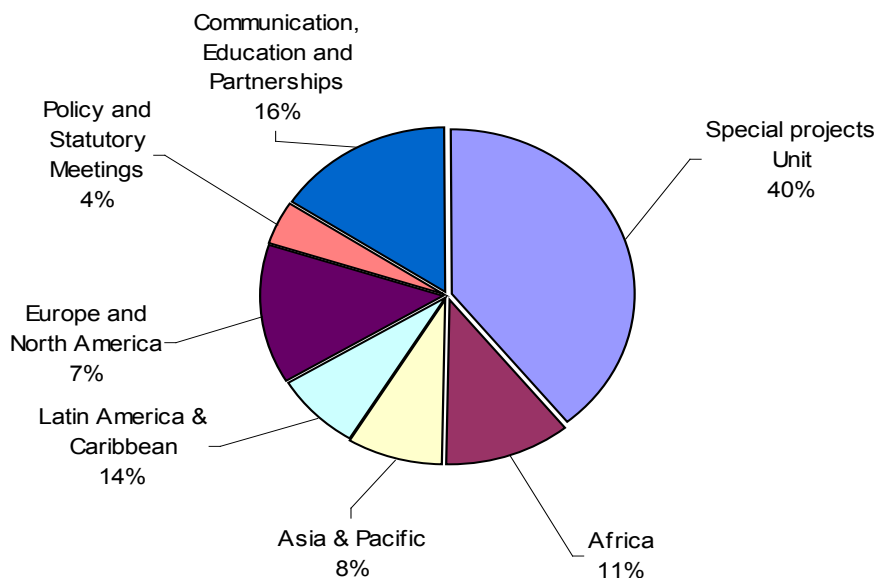


Total Amount $1.007 mill

### Science (SC and IOC)

SC sector spent $1.240m on consultant contracts in 2012 ($1.839m in 2011), of which 45% related to Water Sciences, 40% to Science Policy and Capacity-Building and 15% to Ecological and Earth Sciences.



Total Amount $1.240 mill
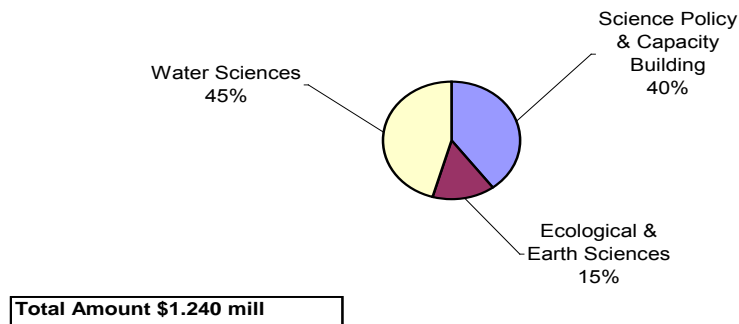
IOC spent $0.441m on individual consultant contracts in 2012 ($0.595 m in 2011), of which 78% related to Ocean Sciences, Observation and Services and 19% to Policy Activities.



Total Amount $0.441 mill
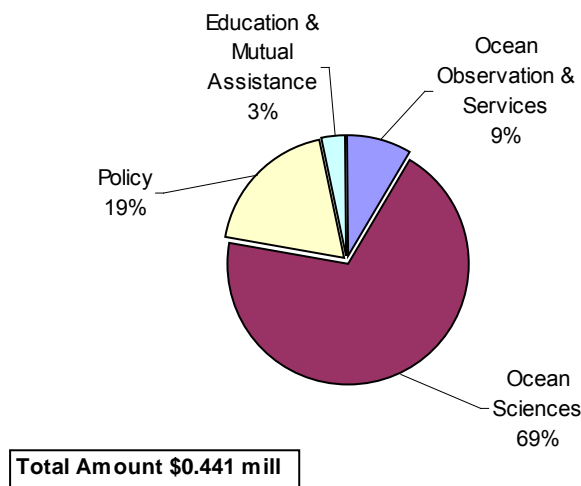
### Social and Human Sciences (SHS)

No charts have been produced for SHS sector, which only issued eight consultant contracts in 2012, for an overall value of $55,000.

**ANNEX III**

**CONSULTANT CONTRACTS IN UNESCO BRASILIA OFFICE**

**Number and amount**

1.    Table A shows that 803 individual consultant contracts were awarded by Brasilia Office in 2012, 2% higher than in 2011 but 31% lower than 2010. Overall spending in 2012 was 6% higher than 2011, at $22.984 million, but 19% lower than in 2010.

**Table A**
**Number and Amount of Consultant Contracts**
**Brasilia Office 2008-2012**

|  | Individual Contracts | |
|---|---|---|
|  | **Number** | **$ mill** |
| **2008** | 1545 | 19,193 |
| **2009** | 1069 | 20,425 |
| **2010** | 1165 | 28,306 |
| **2011** | 789 | 21,697 |
| **2012** | 803 | 22,984 |

2.    Seven-hundred-and-sixty-one individual consultants were hired in 2012. Seven-hundred-and-fifty-eight were nationals of countries in Group III, while 60% were female.

**Source of funds**

3.    Table B shows that all of the spending on consultant contracts in 2012 was financed from extrabudgetary sources, compared with over 99% in 2011 and 91% in 2010.

**Table B**
**Spending on Consultant Contracts by source of funding**
**Brasilia Office 2008-2012**

|  | Amount ($ million) | | |
|---|---|---|---|
|  | **RP** | **ExB** | **Total** |
| **2008** | 0,508 | 18,685 | 19,193 |
| **2009** | 0,411 | 20,015 | 20,426 |
| **2010** | 2,526 | 25,780 | 28,306 |
| **2011** | 0,065 | 21,632 | 21,697 |
| **2012** | 0,000 | 22,984 | 22,984 |

## Contracts by amount

4. <u>Table C</u> shows that 52% of consultant contracts awarded in 2012 were less than $25,000 compared to 44% in 2011; 9% of the contracts were for over $50,000 (the same as 2011).

**Table C**
**Number of Consultant Contracts by amount**
**Brasilia Office 2011 and 2012**

| Amount ($ mill) | Individual Contracts | | | |
|---|---|---|---|---|
| | **2011** | **%** | **2012** | **%** |
| **Less than 5000** | 76 | *10%* | 40 | *5%* |
| **5000 to 9999** | 82 | *10%* | 51 | *6%* |
| **10000 to 24999** | 191 | *24%* | 326 | *41%* |
| **25000 to 49999** | 367 | *47%* | 317 | *39%* |
| **50000 and over** | 73 | *9%* | 69 | *9%* |
| **Total** | 789 | *100%* | 803 | *100%* |

## Duration of contracts

5. <u>Table D</u> shows that 14% of consultant contracts awarded in 2012 were for less than three months, compared with 21% in 2011; 54% were for over six months (56% in 2011).

**Table D**
**Number of Consultant Contracts by duration**
**Brasilia Office 2011 and 2012**

| | Individual Contracts | | | |
|---|---|---|---|---|
| | **2011** | **%** | **2012** | **%** |
| **Less than 1 month** | 36 | *5%* | 19 | *2%* |
| **1 to 3 months** | 127 | *16%* | 98 | *12%* |
| **3 to 6 months** | 183 | *23%* | 251 | *31%* |
| **Over 6 months** | 443 | *56%* | 435 | *54%* |
| **Total** | 789 | *100%* | 803 | *100%* |

United Nations
Educational, Scientific and
Cultural Organization

PARIS, 2 October 2013
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Item **5** of the provisional agenda

**REPORT BY THE DIRECTOR-GENERAL ON THE 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**

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**COMMENTS BY THE UNESCO STAFF UNION (STU)**

Pursuant to Item 9.2 of the UNESCO Administrative Manual, the UNESCO Staff Union (STU) submits its comments on this report by the Director-General.

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1.      STU takes note of the reports by the Director-General on (i) the geographical distribution and gender balance of the staff of the Secretariat and (ii) the use of consultant contracts in 2012 and the implementation of the revised policy on individual consultants and other specialists.

*Part A. Geographical distribution and gender balance of the staff of the Secretariat*

2.      STU is aware that decisions regarding recruitment are the prerogative of the Director-General, but is still concerned about the imbalance in the **geographical distribution of staff by regional group**. As indicated in paragraph 12, Table 4 shows that the highest percentage of under- and non-represented Member States are in Groups III, IV, V(a) and V(b). STU also notes that **most staff at Director level and above (44%) are from Group I**.

3.      STU endorses the Executive Board's request to ensure wider geographical distribution but would like to have the means of achieving this spelled out in the document.

4.      In regards to **gender balance at Professional level and above**, while the overall average indicates that parity was achieved on 1 June 2013 (50% women and 50% men), an **imbalance remains at certain grades** within this category of staff. Imbalances increase significantly at the highest levels: 64% of P-2/P-1 posts are held by women while women only hold 27% of D-1 posts.

5.      STU regrets to highlight that the ratio women to men is 1.61/1 (495 women and 307 men) in the G category. The ratio for all categories in the Organization is 1.31/1 (843 women and 645 men). In order to have an holistic approach to gender equality, STU recommends that **gender statistics should include all categories of UNESCO staff members**.

6.      STU also regrets that the Young Professional Programme has been suspended.

*Part B. Report by the Director-General on the use of consultant contracts in 2012 and the implementation of the revised policy on individual consultants and other specialists*

7.      STU wishes to draw the Executive Board's attention to certain failures and inconsistencies with regard to the use of consultants.

8.      Often, outside experts are hired before it has been verified whether the required skills are in fact available internally. Similarly, there is a trend towards making staff members "generalists", which automatically increases the need for "expert" consultants. This is inconsistent with the requirement to reduce the number of consultants funded from the regular programme (paragraph 7, part B).

9.      The breakdown of the **geographical distribution of consultants** by regional group (Table 9, paragraph 9) shows a **major imbalance in favour of Group I** both at Headquarters (58% of the total) and in the field (33% of total). This imbalance in the geographical distribution of consultants is inconsistent with the Organization's best interests: an appropriate selection process would provide a wider range of expertise that is more representative of the Organization.

10.     STU notes that **the use of consultants is blatantly imbalanced between sectors**. As an example, the Education Sector halved the amount of consultant contracts in 2012, bringing the total amount spent down to $972,000 (14.4% of the Organization's total), whereas the Culture Sector increased the amount of consultant contracts by 12.5%, bringing the total amount spent in 2012 up to $2,831,000 (41.8% of the Organization's total).

11.     Lastly, the **recruitment of former or recently retired staff as consultants is not acceptable** to STU. Although these people do have the required skills and knowledge of the Organization, their recruitment is an obstacle to the use of existing skills among staff members and their career development, which is not in the interest of the Organization because it impedes succession and poses a threat to institutional memory. STU calls for an immediate halt to the extension of any UNESCO staff member beyond the statutory retirement age and to their recruitment as consultants.