Item **5** of the provisional agenda

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

PART I

PROGRAMME ISSUES

SUMMARY

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

Part I of this document contains information on the following programme issues:

A. **Finalized small island developing States (SIDS) action plan and implementation strategy**

In accordance with 197 EX/Decision 5 (I, D), this document, along with the associated document 199 EX/5.INF, presents UNESCO's finalized SIDS Action Plan for the period 2016-2021 and the Implementation Strategy of the Action Plan (first phase: 2016-2017).

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

B. **Options for the process to elaborate a preliminary text of a non-binding declaration of ethical principles in relation to climate change**

This document is submitted pursuant to 38 C/Resolution 42, whereby the Director-General was invited "to submit to the Executive Board, at its 199th session, options for the process" for the elaboration of a preliminary text of a declaration of ethical principles in relation to climate change.

Action expected of the Executive Board: Proposed decision in paragraph 11.

C. **Report on the celebration of the tenth anniversary of the African World Heritage Fund and African world heritage day**

The Executive Board at its 197th session invited the Director-General to report to the 199th session on the celebration of the tenth anniversary (2006-2016) of the African World Heritage Fund (AWHF) and African World Heritage Day, including the activities carried out by Member States.

The present report contains a list of activities organized by the AWHF on the occasion of its 10th anniversary and a web link to a list of the main activities planned by Member States to commemorate the 10th anniversary of the AWHF and African World Heritage Day.

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

D. **Report on UNESCO's action for the protection of culture and the promotion of cultural pluralism in the event of armed conflict**

The present document is submitted to the consideration of the Executive Board, pursuant to 38 C/Resolution 48 and 197 EX/Decision 10 on the "Reinforcement of UNESCO's action for the protection of culture and the promotion of cultural pluralism in the event of armed conflict".

It presents "a report on the activities carried out, as well as on the outcomes of the consultations undertaken with all relevant United Nations bodies in order to explore the best modalities for the implementation of the strategy".

Action expected of the Executive Board: Proposed decision in paragraph 32.

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

This information is presented pursuant to 197 EX/Decision 5 (II) on the follow-up by UNESCO of the situation in the Autonomous Republic of Crimea (Ukraine) within UNECO's fields of competence ,– including a review of existing and planned actions in UNESCO's fields of competence; information provided to the Secretariat on 10 February, 2016, by the Permanent Delegation of Ukraine on latest developments in the Autonomous Republic of Crimea and the city of Sevastopol (Ukraine) in UNESCO's fields of competence; and information provided by UNESCO's institutional partners: the United Nations Office of the High Commissioner for Human Rights, the Council of Europe Commissioner for Human Rights, the Representative on Freedom of the Media, Organisation for Security and Cooperation in Europe, the International Council on Monuments and Sites and Amnesty International.

Action expected of the Executive Board: Proposed decision in paragraph 14.

F. **Special post-conflict overall support programme for Côte d'Ivoire**

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

G. **Recent decisions and activities of the organizations of the United Nations system of relevance to the work of UNESCO**

Action expected of the Executive Board: Proposed decision in paragraph 19.

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A.   Finalized small island developing States (SIDS) action plan and implementation strategy
(Follow-up to 197 EX/Decision 5 (I, D))

1.   Furthering its response to 37 C/Resolution 1 (V) on *Reinforcing UNESCO's Strategy on Small Island Developing States*, the Organization developed a draft Action Plan for the small island developing States (SIDS) in line with the priorities set out in the outcome document of the Third International Conference on SIDS (1-4 September 2014), also referred to as the "SIDS Accelerated Modalities of Action (SAMOA) Pathway". The draft Action Plan was submitted to and welcomed by the Executive Board at its 196th session (document 196 EX/5 Part I (B)).

2.   In response to 196 EX/Decision 5 (I, B), the Director-General provided to the Executive Board at its 197th session a report on activities benefitting SIDS within the Organization's programme and budget 2014-2017, including an analysis of additional resource requirements (197 EX/5 Part I (D) and 197 EX/5.INF).

3.   The Executive Board acknowledged this additional information and requested the Director-General to present the finalized SIDS Action Plan along with an implementation strategy at its 199th session for adoption.

4.   It furthermore requested that the implementation strategy include: (a) the issue of climate change and its impact on SIDS, taking into account the direct links to, and implications arising from, the sustainable development goals (SDGs) and the twenty-first session of the Conference of the Parties (COP 21) to the United Nations Framework Convention on Climate Change (UNFCCC); (b) a table with a clear breakdown between regular budget and extrabudgetary funds so as to facilitate dialogue between SIDS Members of UNESCO, the Secretariat and potential bilateral and multilateral donors; (c) a strategy for securing extrabudgetary funds for SIDS (197 EX/Decision 5 (I, D)).

5.   Responding to the request to finalize the draft SIDS Action Plan, the Secretariat reviewed the draft presented at the 196th session of the Executive Board. The draft Action Plan was reinforced by linking objectives to specific actions, and content was harmonized by drawing together similar elements. The finalized SIDS Action Plan is presented in Part I of document 199 EX/5.INF.

6.   The Secretariat also elaborated an implementation strategy for the finalized SIDS Action Plan (cf. Part II of document 199 EX/5.INF), focusing on activities to be implemented within the 38 C/5. Through a house-wide effort involving all programme sectors at Headquarters and key field offices for SIDS, the 38 C/5 expected results (ERs) were systematically reviewed in order to identify the SIDS-relevant performance indicators (PI) and SIDS components within associated targets. Together, these PIs and SIDS-related targets from all Major Programmes constitute the core of UNESCO's first phase of implementation of the SIDS Action Plan and are detailed in Annex I of document 199 EX/5.INF.

7.   As requested, the proposed implementation strategy addresses the challenge of climate change and takes into account the SDGs and the outcomes of UNFCCC COP 21.

8.   Furthermore, Table 1 in Part II of document 199 EX/5.INF presents the financial resources available for implementation of SIDS activities of the 38 C/5 Approved (regular programme and secured extrabudgetary funds), with a focus on activities exclusively benefitting SIDS. As a result, the figures appearing in Table 1 are conservative as they are based primarily on 38 C/5 resources decentralized to field offices exclusively responsible for SIDS.

9.   Finally, a strategy for securing extrabudgetary funds for SIDS is included as part of the Implementation Strategy in Part II of document 199 EX/5.INF. It outlines the current context and describes a number of fundraising approaches and opportunities that may reinforce support for

SIDS. Annex II provides a comprehensive table proposing 38 C/5 extrabudgetary funding priorities for SIDS and indicating the funding gap.

10.   In addition, in the follow up to 197 EX/Decision 5 (I, D), the UNESCO Institute for Statistics has begun to prepare disaggregated data on SIDS in view of their presentation to the Executive Board at its 200th session.

11.   Furthermore, progress towards the implementation of the SIDS Action Plan will be reported by the Director-General at the 201st session.

Proposed decision

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

The Executive Board,

1.   Recalling 37 C/Resolution 1 (V) and 197 EX/Decision 5 (I, D),

2.   Having examined documents 199 EX/5 Part I (A) and 199 EX/5. INF,

3.   Stressing the importance of the SAMOA Pathway as the reference document for SIDS,

4.   Expresses its gratitude to the Director-General for the efforts made to finalize the SIDS Action Plan and approves the SIDS Action Plan as finalized;

5.   Welcomes the strategy for a first phase of implementation of the SIDS Action Plan contained in Part II of document 199 EX/5.INF;

6.   Requests the Director-General to implement the strategy and report on progress made thereon in the Organization's relevant statutory reports on programme implementation.

B.   Options for the process to elaborate a preliminary text of a non-binding declaration of ethical principles in relation to climate change

1.   By 38 C/Resolution 42, the General Conference invited the Director-General "to prepare, in close cooperation with COMEST, and in consultation with the Member States, a preliminary text of a non-binding declaration on ethical principles in relation to climate change, to complement existing reference instruments, taking into consideration the outcome of negotiation processes within the framework of the twenty-first and twenty-second sessions of the Conference of the Parties to the United Nations Framework Convention on Climate Change (UNFCCC), and to submit the text to it at its 39th session with funding from the regular budget and, if necessary, from extrabudgetary resources" and "to submit to the Executive Board at its 199th session options for the process".

2.   The General Conference adopted the above decision following consideration of the technical work of UNESCO's World Commission on the Ethics of Scientific Knowledge and Technology (COMEST), in particular the COMEST report on the "Ethical Principles for Climate Change: Adaptation and Mitigation" (2015), the outcome of negotiation processes under UNFCCC, and the results of the previous debates of UNESCO's governing bodies (35 C/Resolution 36, 185 EX/Decision 13, 186 EX/Decision 9, 36 C/Resolution 36, 190 EX/Decision 10, document 37 C/INF.4, and 195 EX/Decision 5.I (C)).

3.   COP 21 adopted the Paris Agreement under UNFCCC, which confirms the commitment of all countries to action on climate change on the basis of voluntary Intended Nationally Determined Contributions (INDCs). In this context, UNESCO's work on elaboration of a declaration of ethical principles in relation to climate change is pertinent and timely and could complement and reinforce the existing negotiation framework, as noted and recommended by UNESCO's Member States at the 38th session of the General Conference.

OPTIONS FOR THE PROCESS

4.   The preparation of a preliminary text of a declaration is guided by the "Multi-stage procedure for the elaboration, examination, adoption and follow-up of declarations, charters and similar standard-setting instruments adopted by the General Conference and not covered by the Rules of Procedure concerning recommendations to Member States and international conventions covered by the terms of Article IV, paragraph 4, of the Constitution" (33 C/Resolution 87).

Main stages of the process

5.   Given the applicable rules of procedure, time frame, resource considerations, and guidance from the Social and Human Sciences Commission at the 38th session of the General Conference, as well as the experience of UNESCO in developing similar instruments, the Director-General proposes the following options for the process:

- Stage 1: preparation of the first draft (April-August 2016);

- Stage 2: consultations with Member States (September- December 2016); and

- Stage 3: preparation of a final draft, integrating comments (January 2017-date of submission to an Executive Board session).

Stage 1: Preparation of the first draft

6.   It is proposed that the drafting should be entrusted to a multidisciplinary, geographically-balanced Ad Hoc Expert Group constituted according to Category VI of the Regulations for the general classification of the various categories of meetings convened by UNESCO. The size of the

Expert Group, its composition, working methods and duration need to be determined within the context of the time frame.

Stage 2: Consultation with Member States

7.   The first draft declaration will be circulated to Member States, scientific communities and other stakeholders, including civil society for a wider consultation. If desirable, Member States can organize, at their own cost, some national, subregional or regional consultations.

Stage 3: preparation of a final draft, integrating comments

8.   The feedback is integrated and the revised draft is submitted to a Category II meeting. A preliminary text should normally be available for the 39th General Conference.

Financial implications

9.   The following table presents options, indicating provisional amounts of extrabudgetary funds needed in some instances. It should be noted that the regular programme resources are already channelled into this activity through staff time and the organizational aspects relating to the consultation process.

Stage 1: Preparation of first draft by an Ad Hoc Experts Group (Category VI)	
1.A: a maximum of 36 members, serving in a "private capacity"	
1.B: a five-day meeting of the Ad Hoc Expert Group is convened. Member States may participate as Observers.	Extrabudgetary funds needed: $210,000
1.C: The Ad Hoc Expert Group works remotely, without a meeting	If extrabudgetary funds are not available
Stage 2: Consultations with Member States	
2.A: six-language versions of draft declaration are posted online	
2.B: Member States may organize and hold additional consultations at their own cost	
Stage 3: Preparation of final draft	
3.A: a three-day meeting of the Ad Hoc Expert Group is convened. Member States may participate as Observers	Extrabudgetary funds needed: $160,000
3.B: The Ad Hoc Expert Group works remotely, without a meeting	
3.C: A Category II intergovernmental meeting of experts appointed by Member States (open to all Member States) meets for three days in Paris following the Ad Hoc Expert Group	Extrabudgetary funds needed: $90,000

10.   The Secretariat will ensure that this process benefits from inter-sectoral UNESCO expertise by harnessing already planned meetings of relevant expert committees and intergovernmental programmes (COMEST, IBC, IHP, MAB, IOC, MOST, etc.), as well as with the Secretariat of UNFCCC, IPCC, UNEP, WMO, ILO, WHO, OHCHR, and various United Nations environmental protection conventions.

Proposed decision

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

The Executive Board,

1.   Recalling 38 C/Resolution 42 and 33 C/Resolution 87,

2.   Having examined document 199 EX/5 Part I (B),

3.   Invites the Director-General to constitute an Ad Hoc Group of [a maximum of 36 experts] according to Category VI of the Regulations for the general classification of the various categories of meetings convened by UNESCO, having in its terms of reference the preparation of a first draft of a preliminary text of a declaration of ethical principles in relation to climate change;

4.   Requests the Director-General to submit the aforementioned first draft of a preliminary text of a declaration of ethical principles in relation to climate change to Member States for consultations;

5.   Further requests the Director-General to ensure that the Ad Hoc Group, taking into consideration the comments received from Member States as a result of such consultations, will prepare a revised draft of a preliminary text of a declaration of ethical principles in relation to climate change either at a meeting or through electronic means of communication;

6.   Further invites the Director-General to convene, subject to securing the required extrabudgetary funds, a Category II meeting with a view to finalize the preliminary text of a declaration;

7.   Decides that, if a Category II meeting is convened with a view to finalizing the preliminary text of a declaration in the light of the decisions in paragraphs 4-6 above:

(a)   invitations to participate in this meeting are to be sent to all Member States and Associate Members of UNESCO;

(b)   invitations to send observers to the Category II meeting are also to be sent to the States mentioned in paragraph (b) of the Annex of document 199 EX/5 Part I (B);

(c)   invitations to send observers to the Category II meeting are to be sent to the organizations of the United Nations system with which UNESCO has concluded mutual representation agreements and which are listed in paragraph (c) of the Annex of document 199 EX/5 Part I (B);

(d)   invitations to send observers to the intergovernmental meeting of experts (Category II) are to be sent to the organizations, institutions and other entities listed in paragraphs (d), (e), (f) and (g) of the Annex of document 199 EX/5 Part I (B);

8. <u>Further invites</u> the Director-General to submit the aforementioned preliminary text to it at its 202nd session to enable the Executive Board to formulate its recommendations thereon, which are to be transmitted, together with any observations or comments that the Director-General may wish to make, to the 39th session of the General Conference;

9. <u>Also appeals</u> to Member States and potential donors to make voluntary contributions for at least two meetings of an Ad Hoc Expert Group and a Category II meeting of experts appointed by Member States, to ensure a full-fledged and participatory consultative process.

ANNEX

The Director-General's proposals concerning invitations to the intergovernmental meeting of experts (Category II) are listed below:

(a)   Member States and Associate Members

In accordance with Article 21, paragraph 1 (a), of the Regulations for the general classification of the various categories of meetings convened by UNESCO, the Executive Board, on the Director-General's proposal and subject to the existing regulations applicable, shall decide on the Member States and Associate Members whose governments are to be invited to the meeting.

1.   In accordance with Article 21, paragraph 2, of the Regulations, Member States and Associate Members not invited under Article 21, paragraph 1, of the Regulations, may send observers to the meeting.

2.   In accordance with Article 23 of the Regulations, the governments of the Member States and Associate Members that are invited to participate have the right to vote.

(b)   Non-Member States

Under Article 21, paragraph 3, of the Regulations, the Executive Board may designate non-Member States to be invited to send observers to the meeting.

The Director-General proposes that States that are not members of UNESCO but are members of at least one of the organizations of the United Nations system be invited to send observers. At the time of preparation of the present document, those States were Holy See and Liechtenstein.

In addition, the Director-General proposes that the Executive Board invite to the meeting, as observers, any States that become members of any of the organizations of the United Nations system before the opening of the meeting.

(c)   International organizations

Under Article 21, paragraph 4, of the Regulations for the general classification of the various categories of meetings convened by UNESCO, the following organizations of the United Nations system, with which UNESCO has concluded mutual representation agreements, may send representatives as observers to this meeting:

United Nations (UN), its funds, programmes, specialized agencies and regional commissions, including:

- United Nations (UN)
- United Nations Environment Programme (UNEP)
- World Meteorological Organization (WMO)
- International Maritime Organization (IMO)
- Food and Agriculture Organization (FAO)
- International Atomic Energy Agency (IAEA)
- United Nations High Commissioner for Human Rights (UNOHCHR)
- United Nations High Commissioner for Refugees (UNHCR)
- United Nations Women/United Nations Entity for Gender Equality and the Empowerment of Women (UN Women)
- International Labour Organization (ILO)
- World Health Organization (WHO)
- United Nations Development Programme (UNDP)
- United Nations Population Fund (UNFPA)
- United Nations Human Settlements Programme (UN-Habitat)

–   United Nations Children's Fund (UNICEF)
–   International Monetary Fund (IMF)
–   United Nations Industrial Development Organization (UNIDO)
–   United Nations Conference on Trade and Development (UNCTAD)
–   International Fund for Agricultural Development (IFAD)
–   World Food Programme (WFP)
–   United Nations World Tourism Organization (WTO)
–   United Nations World Trade Organization (WTO)
–   World Intellectual Property Organization (WIPO)
–   International Telecommunication Union (ITU)
–   Universal Postal Union (UPU)
–   United Nations Relief and Works Agency for Palestine Refugees in the Near East
–   United Nations University (UNU)
–   United Nations Institute for Disarmament Research
–   United Nations Institute for Training and Research (UNITAR)
–   United Nations International Research and Training Institute for the Advancement of Women
–   Economic Commission for Africa
–   Economic Commission for Europe
–   Economic Commission for Latin America and the Caribbean
–   Economic and Social Commission for Asia and the Pacific
–   Economic and Social Commission for Western Asia

(d)   Organization of the United Nations system with which UNESCO has not concluded mutual representation agreements (Article 21.5 (a))

Pursuant to Article 21, paragraph 5 (a), of the Regulations, the Director-General proposes that the following organization of the United Nations system with which UNESCO has not concluded mutual representation agreements be invited to send observers to the meeting:

• World Bank

(e)   Other intergovernmental organizations

Pursuant to Article 21, paragraph 5 (b), of the Regulations for the general classification of the various categories of meetings convened by UNESCO, the Director-General proposes that the following intergovernmental organizations be invited to send observers to the meeting:

•   African Centre for Applied Research and Training in Social Development (ACARTSOD)
•   African Union
•   Caribbean Council for Science and Technology (CCST)
•   Commission on Science and Technology for Sustainable Development in the South (COMSATS)
•   Commonwealth Secretariat
•   Council of Europe
•   European Bank for Reconstruction and Development (EBRD)
•   European Union
•   Geoscience Division of Secretariat of the Pacific Community (SPC)
•   International Centre for Agriculture and the Biosciences (CAB International)
•   International Institute for the Unification of Private Law
•   International Organisation of la Francophonie
•   Islamic Educational, Scientific and Cultural Organization
•   Latin American Faculty of Social Sciences (FLACSO)
•   Organization for the Development of the Senegal River (OMVS)
•   Organization for Economic Co-operation and Development

- Organization of Ibero-American States for Education, Science and Culture
- Pacific Regional Environment Programme (SPREP)
- Regional Organization for the Protection of the Marine Environment (ROPME)
- The Cooperation Council for the Arab States of the Gulf
- The Arab League

(f)   International non-governmental organizations

Pursuant to Article 21, paragraph 5 (c) of the Regulations for the general classification of the various categories of meetings convened by UNESCO, the Director-General proposes that the following non-governmental organizations (NGOs) be invited to send observers to the meeting, in accordance with the Directives concerning UNESCO's partnership with non-governmental organizations:

- Arab Organization for Human Rights (AOHR)
- Association of Asian Social Science Research Councils (AASSREC)
- Club of Rome (COR)
- Education International (EI)
- Forest Peoples Programme (FPP)
- Foundation for Environmental Education (FEE)
- Human Rights Information and Documentation Systems, International (HURIDOCS)
- Indigenous Peoples of Africa Coordinating Committee (IPACC)
- International Academy of People's Diplomacy
- International Association for Political Science Students (IAPSS)
- International Association of Academies of Sciences (IAAS)
- International Association of Educators for Peace (IAEP)
- International Association of Hydrogeologists (IAH)
- International Association of Universities
- International Astronautical Federation (IAF)
- International Astronomical Union
- International Consortium on Landslides (ICL)
- International Council for Philosophy and Humanistic Studies (ICPHS)
- International Council for Science (ICSU)
- International Eurasian Academy of Sciences (IEAS)
- International Federation for Human Rights (IFHR)
- International Ocean Institute (IOI)
- International Seismological Centre (ISC)
- International Solar Energy Society (ISES)
- International Scientific Council for Island Development (INSULA)
- International Social Science Council (ISSC)
- International Union for Conservation of Nature (IUCN)
- International Work Group for Indigenous Affairs (IWGIA)
- Latin American Association for Human Rights
- Mediterranean Information Office for Environment, Culture and Sustainable Development (MIO-ECSDE)
- PEN International (PEN)
- ROTARY International
- Religions for Peace (RFP)
- Scientific Committee on Problems of the Environment (SCOPE)
- World Federation of Scientific Workers (WFSW)
- World Energy Council (WEC)
- World Mountain People Association (WMPA)
- World Peace Council (WPC)
- World Underwater Federation (CMAS)
- World Water Council (WWC)

(g) Other entities

Pursuant to Article 21, paragraphs 4 and 5 (a), the Director-General proposes that the following United Nations Conventions, advisory bodies, programmes and networks be invited to send observers to the meeting:

- United Nations Framework Convention on Climate Change (UNFCCC)
- Green Climate Fund
- Intergovernmental Panel on Climate Change (IPCC)
- UNESCO's World Commission on the Ethics of Scientific Knowledge and Technology (COMEST)
- UNESCO's International Bioethics Committee (IBC)
- UNESCO's Intergovernmental Oceanographic Commission (IOC)
- UNESCO's International Hydrological Programme (IHP)
- UNESCO's Man and the Biosphere Programme (MAB)
- UNESCO's Management of Social Transformations Programme (MOST)
- Scientific Advisory Board of the United Nations Secretary-General
- Convention on Biological Diversity
- United Nations Convention to Combat Desertification
- The Vienna Convention for the Protection of the Ozone Layer
- Convention for the protection of the Mediterranean Sea against pollution (Barcelona Convention)
- The Climate Group States & Regions Alliance
- Nrg4SD, Network of Regional Governments for Sustainable Development
- R20 Regions of Climate Action.

C.   Report on the celebration of the tenth anniversary of the African World Heritage Fund and African world heritage day

I.   **BACKGROUND**

1.   The African World Heritage Fund (AWHF) was established and launched on 5 May 2006 at Sterkfontein, South Africa, with the mission to assist the 54 African States Parties to the World Heritage Convention in the effective implementation of the 1972 World Heritage Convention on the African continent. In 2009, at the 35th session of the General Conference (35 C/Resolution 56), the AWHF was established as a category 2 centre under the auspices of UNESCO.

2.   The Executive Board, in its 197 EX/Decision 36, welcomed the proposal of the Africa Group to celebrate the tenth anniversary of the African World Heritage Fund and to proclaim 5 May African World Heritage Day. The Decision also invited States Parties to the World Heritage Convention to organize events related to the celebration of the tenth anniversary of the AWHF and African World Heritage Day and to transmit to the Secretariat information on such activities.

3.   The tenth anniversary of the Fund will be celebrated on 5 May 2016 and will provide an excellent opportunity for African States Parties to review its achievements, take stock of the state of implementation of the World Heritage Convention in the African continent and identify key challenges for its implementation reflect on future action.

II.   **ACTIVITIES ORGANIZED BY THE AFRICAN WORLD HERITAGE FUND (AWHF)**

4.   The AWHF in cooperation with the World Heritage Centre is organizing the following events and activities on the occasion of its tenth anniversary:

- A Regional Youth Forum on "Youth and World Heritage in Africa" will provide an opportunity for youth to increase their involvement in heritage promotion and protection. The Forum will be held at the Robben Island World Heritage Site near Cape Town, South Africa from 28 April to 5 May 2016.

- An international conference on African World Heritage "Conservation and Sustainable Development" (Cape Town, South Africa, 4-6 May 2016) will bring together heritage professionals and government officials to take stock of the work undertaken on Heritage and Development and reflect on a sustainable scenario for the African continent in line with the Sustainable Development Policy for World Heritage.

- As the main event of the celebration, the 10th Anniversary Night of African Legends (Cape Town, South Africa, 6 May 2016) will feature artistic performance by the continent's musicians and an award ceremony recognizing individuals or companies playing an outstanding role in heritage conservation and sustainable development in Africa. The results of the Youth Forum and the below conference will be presented at the event.

- The African World Heritage Youth Awards campaign (2017) will be launched as a special programme celebrating young people's contribution to conserving African heritage sites through innovation and technology platforms. This awards ceremony will be relayed to other youth innovation and science-related platforms.

- An African World Heritage app/information Portal will be created on mobile platforms to showcase maps, photos and data on all African World Heritage sites. Bloggers pages will be featured, linking the best youth blogger on issues relating to African heritage and sustainable development.

- A travelling exhibition organized by the AWHF entitled "African Heritage under Attack" will spotlight the negative effects of local conflicts, natural disasters and poaching activities on African heritage. This photo exhibition will be on display at Museum Africa, Newtown Johannesburg until 28 March 2016 after which it will travel to the Maropeng, Cradle of Humankind World Heritage site in Gauteng, South Africa.

- A side event at the African Union Heads of States Summit (June 2016, Kigali, Rwanda, to be confirmed) will aim to raise awareness about the work of AWHF and seek support from participating States. The side event will also feature the launch of an exhibition entitled 'African World Heritage: a pathway to development'.

III. ACTIVITIES ORGANIZED BY MEMBER STATES

5.   In a letter of 5 January 2016, the Director of the World Heritage Centre requested African States Parties to inform the Secretariat of the activities planned to commemorate this celebration by 31 January 2016. A full list of events and activities, including information on those received after 31 January 2016, can be consulted at the following website: http://awhf.net/index.php/10th-anniversary-of-the-awhf/

IV. PROPOSED DECISION

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

The Executive Board,

1.   Having examined document 199 EX/5 Part I (C),

2.   Recalling 197 EX/Decision 36 as well as 38 C/Resolution 53 by which the General Conference approved the celebration of the tenth anniversary of the AWHF and the proclamation of 5 May as African World Heritage Day,

3.   Expresses appreciation for the AWHF's efforts to implement a series of activities to increase international awareness of African heritage;

4.   Takes note of the events and activities organized by Member States on the occasion of the celebration of the tenth anniversary of the AWHF and of African World Heritage Day;

5.   Encourages all Member States to further promote this celebration with a view to reaffirming their commitment to the conservation and protection of African World Heritage in line with the provisions of the World Heritage Convention.

D. **Report on UNESCO's action for the protection of culture and the promotion of cultural pluralism in the event of armed conflict**)
(Follow-up to 197 EX/Decision 10, and 38 C/Resolution 48)

I.   Background

1.   At its 38th session, the General Conference adopted 38 C/Resolution 48, concerning the reinforcement of UNESCO's action for the protection of culture and the promotion of cultural pluralism in the event of armed conflict.

2.   The Resolution invited the Director-General to elaborate, in coordination with Member States and relevant actors, an action plan in order to further refine and implement the strategy, in accordance with UNESCO mandate (paragraph 2); invited Member States to support the elaboration of the action plan for the implementation of the strategy, by defining mechanisms of rapid response and mobilization of national experts, as well as by contributing to the Heritage Emergency Fund (paragraph 3); and invited the Director-General to explore, in collaboration with Member States, practical ways for implementing such mechanism for the rapid intervention and mobilization of national experts (paragraph 4). Paragraph 7 invited the Director-General to begin the integration of the provisions of the revised strategy among the priorities of the Draft 39 C/5 preliminary proposals, to be presented to the Executive Board at its 200th session.

3.   Lastly, paragraph 5 of the Resolution invited the Director-General to submit at the 199th session of the Executive Board "a report on the activities carried out, as well as on the outcomes of the consultations undertaken with all relevant United Nations bodies in order to explore the best modalities for the implementation of the strategy".

II.   Report on progress

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

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

5.   Regarding Syria, a workshop dedicated to the fight against illicit trafficking and restitution of cultural property took place from 30 November to 2 December 2015 in Beirut, Lebanon. The three-day training covered various aspects of stakeholder engagement, international legal framework and preventive measures to facilitate return and restitution of cultural objects. Twenty-five participants in the training included staff from the Directorate-General of Antiquities and Museums (DGAM), from the INTERPOL National Central Bureau in Damascus, as well as Syrian and Jordan customs and police officers. In addition, a three-day training on 3D digital documentation was held from 11 to 13 January 2015 in Beirut. This pilot project involved five trainees (engineers and architects) selected by the DGAM and was organized in the framework of the EU-funded project "Emergency Safeguarding of the Syrian Cultural Heritage", in partnership with ICOMOS and CyArk (Project Anqa).

6.   In Iraq, a symposium on "Threats to the Diversity of Cultural Expressions and Means for Addressing its Protection and Promotion" was held on 30 November 2015 in Erbil, Kurdistan Region of Iraq, within the framework of the implementation of the 2005 Convention for the Protection and Promotion of the Diversity of Cultural Expressions and UNESCO's #Unite4Heritage campaign, under the patronage of the Minister of Culture of the Kurdistan Regional Government (KRG). Participants called for urgent action to stop cultural cleansing and to protect and promote Iraq's cultural diversity.

7.   For Libya, a UNESCO organized workshop on the reinforcement of the implementation of the World Heritage Convention in Tunis from 4 to 7 October 2015 for 16 staff from different territorial offices of the Libyan Directorate of Antiquities (DoA) provided the opportunity to review the state of conservation of the World Heritage Sites in Libya and draw the first draft of the country's Tentative List as an emergency inventory and protection tool.

8.   On 10 and 11 October 2015, staff from the Libyan DoA received training and technical assistance on the installation of security systems at the World Heritage property of Cyrene. As a result, the fencing off of the most threatened areas at the World Heritage site is underway, as well as the installation of a pilot anti-intrusion system. Anti-intrusion and security sets for museums are being procured. Moreover, from 29 October to 5 November 2015, UNESCO organized the second cycle of the "Risk-Preparedness for Cultural Collections and Built Heritage" training course in Tunis, in cooperation with ICCROM Athar and the Institut National du Patrimoine. This was a follow-up to the introductory training conducted in June 2015 in Djerba and engaged 27 participants from several offices of the DOA, the Historic Cities Authority, municipalities and cultural associations. In response to the crisis in Yemen, two representatives of the General Organization for the Preservation of Historic Cities of Yemen (GOPHCY) and the General Organization of Antiquities, Museums, and Manuscripts of Yemen (GOAMM) also participated in this training.

9.   In addition, an international expert meeting on the safeguarding of Libyan cultural heritage is being organized by UNESCO, in cooperation with ICCROM and the United States Embassy in Tunisia. The main purpose of this meeting, which is planned to take place in May in Rome, is to achieve agreement on a comprehensive action plan which will include concrete steps and benchmarks covering several areas of cultural heritage preservation in Libya, from built and movable heritage to civil society engagement in heritage protection.

10.   In Mali, following the reconstruction by UNESCO of 14 mausoleums in Timbuktu, a ceremony to consecrate the mausoleums was held on 4 February at the initiative of the local community. This represented the final phase of the cultural rebirth of the Timbuktu mausoleums after their destruction by the armed groups who occupied the city in 2012.

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

11.   To engage with relevant stakeholders outside the culture domain, UNESCO conducted a number of consultations in Geneva and New York with the United Nations and other humanitarian and peacebuilding actors. As a result, increased opportunities for cooperation and synergy were identified, which will be integrated into the Action Plan for the implementation of the Strategy. These include the training of humanitarian actors and peacekeeping forces, the development of materials on the relevance of culture in conflict prevention and emergency response; and the systematic inclusion of culture in various United Nations assessment and planning tools.

12.   Training of United Nations peacekeepers will build on the positive experience of the UNESCO Office in Bamako in working with the MINUSMA, as well as on recent training organized by the UNESCO Office in Beirut for the UNIFIL staff, in partnership with the International Committee of the Blue Shield and the Lebanese Ministry of Culture. The Secretariat to the 1954 Hague Convention and its two (1954 and 1999) Protocols also provided assistance to the French army in the drafting of their Handbook on the Protection of Cultural Property in the event of Armed Conflict, which is the instrument governing the activities of operational command on the ground. Moreover, in cooperation with the UNESCO Chair in Cultural Property Protection and Peace at Newcastle University, training materials on cultural property protection, addressed to peacekeepers and military personnel, are being developed. The Secretariat of the 1954 Convention and its two (1954 and 1999) Protocols also initiated co-operation with the San Remo International Institute of Humanitarian Law. UNESCO held discussions with representatives of NATO on 26 October 2015, on potential areas of cooperation. These could include the exchange

of information, such as coordinates of cultural assets, the training of military staff, as well as advocacy at NATO political level, with a view to ensuring that culture and heritage are systematically taken into consideration in NATO's military and peace-keeping operations. Equally, thanks to the support and initiative of the Ministry of Defence of France, a tool kit has been developed for the French army forces engaged in military peace-keeping operations to sensitize and train them on issues of identification and protection of cultural heritage.

13.   Furthermore, an expert meeting on the Responsibility to Protect and its application to the protection of cultural heritage, including through the establishment of protected cultural zones and the creation of safe havens, was organized by UNESCO on 26 and 27 November 2015, with the participation of international experts, UNESCO institutional partners and the United Nations. It resulted in a number of recommendations, which will be reflected in the Action Plan for the implementation of the Strategy.

14.   UNESCO continues to cooperate actively with the International Criminal Court (ICC) regarding the fight against impunity of perpetrators of the war crime relating to the intentional destruction of cultural property, by providing substantial contributions based on its Field work.

15.   Regarding the fight against illicit trafficking, and the follow-up to the adoption of United Nations Security Council Resolutions 2199 and 2253, the Director-General sent two circular letters to Member States, requesting information regarding their implementation of the resolutions. She also convened and chaired a videoconference with the Heads of INTERPOL, UNIDROIT, UNODC and WCO, on 25 January last, to monitor progress and identify future collaborative actions, in close coordination with the United Nations Security Council Sanctions Monitoring Team (UNSMT). The Secretariat provides regularly inputs to reports of the United Nations Sanctions Monitoring Team as well as of the United Nations Secretary-General. Moreover, UNESCO has become a member of the Working Group of Counter-Terrorism Implementation Task Force (CTITF). Future activities revolve around enhanced sharing of information, training, and joint research and actions into trafficking routes.

16.   In order to enhance the integration of culture and heritage in humanitarian aid and human rights policy frameworks, UNESCO will promote culture as a tool for resilience in the context of humanitarian emergencies on the occasion of the World Humanitarian Summit (Istanbul, 23-24 May 2016). In addition, the Secretariat will cooperate with the Office of the United Nations Special Rapporteur in the field of Cultural Rights, Professor Karima Bennoune, and with the Secretariat to the United Nations Committee on Economic, Social and Cultural Rights (CESCR), with a view to integrating cultural aspects in their regular reporting on the implementation of the International Covenant on Economic, Social and Cultural Rights.

17.   Moreover, the signature of a Partnership Agreement with the International Committee of the Red Cross (ICRC) is scheduled at the end of February. Its provisions concern the sharing of information, the promotion of the principle of the 1954 Convention, as well as the training of ICRC personnel and volunteers in Cultural Property Protection, with a view to including this specific aspect of International Humanitarian Law (IHL) in the Committee's advocacy, capacity-building and operational activities.

II.C   Advocacy and outreach

18.   In the framework of the #Unite4Heritage Campaign, a number of activities were carried out in the field and at Headquarters in order to increase awareness about the protection of cultural heritage in times of war. The UNESCO Office in Beirut launched eight workshops targeting 1,600 students aged between 11 and 15 years on 21 October 2015 under the patronage of the Lebanese Minister of Culture, HE Raymond Arayji, and in collaboration with Biladi, an NGO specialized in heritage preservation. This initiative also aimed at introducing participants to the UNESCO Conventions. The UNESCO Office in Ramallah, in cooperation with UNESCO's Networks of Mediterranean Youth (NET-MED Youth) project in Palestine, organized a volunteering activity for

Palestinian youth in the Gaza Strip on 19 October 2015. The UNESCO Amman Office and the As Salt Development Corporation organized an Open Cultural Visit to the Old City of As-Salt on 14 November 2015, under the Patronage of H.E. Mr Nayef Al Fayez, Minister of Tourism and Antiquities of Jordan. At Headquarters, the Choeur philarmonique international (CPI), UNESCO Artists for Peace, dedicated a concert on 26 January 2016 to the protection of cultural heritage, with more than 1,300 people in attendance.

19. UNESCO also joined forces with the tourism industry to raise the awareness of tourists and the general public on the importance of sustainable tourism and the need to protect cultural heritage. The international travel guide book publisher Lonely Planet France published on their website a short article warning tourists on the risks of illicit trafficking in cultural property. UNESCO's awareness-raising clips about the fight against illicit trafficking in cultural property are now also being disseminated through XL screens at airports in Georgia. Equally, UNESCO, in partnership with the Comité Colbert in France, has developed an awareness campaign on preventing the illicit trafficking of cultural heritage. UNESCO will pursue further efforts to expand such partnerships among its Member States.

20. A campaign for the universal ratification of the 1954 Convention for the Protection of Cultural Property in the Event of Armed Conflict and its two Protocols, as well as the 1970 Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property is being launched. The campaign will draw on personal advocacy, the media and other means to sensitize Member States that have not yet ratified the Conventions and the public in general.

21. In cooperation with the Governments of Italy and Jordan, and in collaboration with INTERPOL and UNODC, UNESCO is also contributing to an advocacy initiative on illicit trafficking of cultural objects at the United Nations Headquarters in New York. After a kick-off event in the autumn of 2015, three additional events will take place between March and May 2016, highlighting aspects relevant to destination countries and the art market; countries of transition and transfer of illegally transported cultural property; as well as cultural heritage destruction and countries of origin.

22. With the aim of strengthening further UNESCO's international advocacy for the protection of cultural heritage during armed conflict, the Director-General took part in the launch of the initiative "United in Diversity" on 3 December 2015 in Paris, led by the mayors of 60 cities across the world aiming to highlight their commitment to building peace through culture. The Director-General continued to condemn destructions of cultural heritage through a number of public statements and called for their halting in Iraq (20 January) and Syria (5 and 11 October, 24 December). She also reminded conflict parties in Syria of their legal obligations on 5 October 2015.

III. Towards the elaboration of the Action Plan

23. The Strategy presented in document 38 C/48 contained a detailed description of "priority areas of action" (paragraphs 17 to 36), outlining the various types of activities that UNESCO considered as necessary for its implementation, over the intended period of six years. The elaboration of an Action Plan, as requested by the General Conference, will help defining which specific activities – within the overall framework of the Strategy and in accordance with its two objectives – the Organization intends to focus on during the short to medium-term period.

24. As this Action Plan is to be elaborated "in coordination with Member States and relevant actors", the Secretariat presented the above-mentioned initial elements for an Action Plan also during the intersessional meeting of the Executive Board on 19 February 2016. The outcomes of the debate at the intersessional meeting of February, as well as at the 199th session of the Executive Board, will inform the development and further refining of the Action Plan. Other consultations will be held with key United Nations partners and other relevant actors, as

appropriate, in the course of the following months. Based on these consultations, a comprehensive Action Plan will be prepared for consideration by the Executive Board, at its 200th session.

25.   With a view to reinforcing the effectiveness of UNESCO in preparing and responding to emergencies related to conflicts and natural disasters, an internal Steering Group for Emergencies has been established within the Culture Sector, to ensure coordination and provide strategic orientation within the Culture Sector and across UNESCO sectors.

26.   The Action Plan to be elaborated with the support of Member States in paragraph 3 of 38 C/Resolution 48 was to include the elaboration of a mechanism for the rapid mobilization of national experts. Resolution 48 adopted by the Conference General at its 38th session also called on Member States to elaborate such mechanisms for the rapid mobilization of national experts. In this regard, the Italian Government has established, under the coordination of the Italian Ministry of Culture and Tourism, a national "Task Force" of experts in the framework of the Global Coalition "Unite4Heritage", whose experts would be available to assist in safeguarding cultural heritage at risk, at the request of UNESCO. A Memorandum of Understanding between UNESCO and the Government of Italy was signed in Rome on 16 February 2016.

27.   Concerning the call to contribute to the Heritage Emergency Fund (HEF) in paragraph 3 of 38 C/Resolution 48, the State of Qatar has agreed to contribute $2 million, as part of a pledge of ten million. Other contributions have been made so far by the Governments of Andorra, Estonia, Luxembourg, Monaco and Slovakia, as well as by a number of individuals. The Secretariat is pursuing additional avenues to mobilize the necessary resources for the implementation of the Strategy.

28.   In response to the request by the General Conference (38 C/Resolution 48, paragraph 4), the Secretariat has started a number of consultations to study practical ways for implementing the mechanism for the rapid intervention and mobilization of national experts under the coordination of UNESCO, foreseen in the adopted Strategy. These included discussions with the United Nations Department of Peace Keeping Operations (UNDPKO) in New York, as well as meetings with other United Nations agencies in Geneva.

29.   From these consultations, it appears that the most practical way to rapidly and effectively deploy experts on the ground would – in the great majority of cases – be through signature, between UNESCO and the relevant national authority, of "Stand-By Agreements" for the provision of stand-by personnel, in this case national experts. A model for such Stand-By Agreement is annexed to the UNESCO Human Resources Manual (HR Appendix 13 H), regulating all procedures related to the selection and deployment of personnel, including administrative, legal and financial aspects.

30.   For the purpose of the implementation of the mechanism called for in 38 C/Resolution 48, and in order to take into account the specific circumstances of different national counterparts, the above Model Agreement would need to be adapted for each individual case. It is important to underline that experts to be deployed under the coordination of UNESCO would always be subject to the security restrictions in place for United Nations personnel at the location in question.

31.   In some cases, and notably in the case of a UN peacekeeping mission decided by the United Nations Security Council, which would include in its mandate the protection of cultural heritage, the above-mentioned Stand-By Agreement might not be sufficient. In such circumstances, the selection and deployment of personnel would need to follow established United Nations procedures, and the specific role of UNESCO in this context – which may also depend on the provisions of the Resolution establishing the peacekeeping mission – requires additional consultation with UNDPKO and the United Nations Department of Field Support, among others. The Secretariat intends to continue these consultations and report more comprehensively on the matter at the 200th session of the Executive Board.

Proposed decision

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

The Executive Board,

1.   Recalling 38 C/Resolution 48, as well as 197 EX/Decision 10,

2.   Having examined document 199 EX/5 Part I (D),

3.   Takes note of the initial elements towards the Action Plan for the implementation of the Strategy, as described in document 199 EX/5 Part I (D);

4.   Welcomes the progress made in implementing the Strategy for the "reinforcement of UNESCO's action for the protection of culture and the promotion of cultural pluralism in the event of armed conflict";

5.   Further welcomes the contributions provided by several Member States to the Heritage Emergency Fund in support of UNESCO's strategy;

6.   Invites the Director-General to continue the necessary consultations with the Member States, United Nations and other concerned international organizations as appropriate, for the development of the Action Plan;

7.   Calls on all Member States to make additional voluntary contributions to the Heritage Emergency Fund for the implementation of the strategy;

8.   Requests the Director-General to further strengthen cooperation between UNESCO, relevant United Nations partners, and other concerned institutional stakeholders, for the implementation of this strategy, together with the Action Plan, and to submit a report thereon, at its 200th session.

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

I. BACKGROUND

1.   In 197 EX/Decision 5 (II) on the follow-up by UNESCO of the situation in the Autonomous Republic of Crimea (Ukraine), the Director-General was requested to continue collecting information from international organizations within and beyond the United Nations system, as well as from non-governmental organizations (NGOs) that have at their disposal relevant updates on the situation in the Autonomous Republic of Crimea (Ukraine); and to report on existing and planned actions within UNESCO's fields of competence.

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

3.   The organizations that had been invited to the Information Meeting at UNESCO Headquarters on 2 June 2015, given their relevance to UNESCO's fields of competence and existing partnership relations with UNESCO, were requested by the Director-General to provide relevant updates on the situation in the Autonomous Republic of Crimea (Ukraine) in UNESCO's spheres of competence – namely, the United Nations Office of the High Commissioner for Human Rights; the Office of the Commissioner for Human Rights, Council of Europe; the Representative on Freedom of the Media of the Organisation for Security and Cooperation in Europe; the International Council on Monuments and Sites (ICOMOS); and Amnesty International (Official Partner of UNESCO, with Associate Status).

4.   The Director-General consulted with the Chairperson of the Executive Board with a view to inviting respective governing bodies of the relevant UNESCO Conventions, as distinctive sovereign bodies chaired by Member States, to consider a coordinated assessment of the situation in the Autonomous Republic of Crimea and the city of Sevastopol (Ukraine) within UNESCO's fields of competence. In this respect, the Director-General wrote to the secretariats of the relevant Conventions to seize them of this issue.

5.   On 20 January 2016, the Chair of the Executive Board transmitted to the Director-General an aide memoire, drafted by the Permanent Delegation of Ukraine, on the implementation of the 197 EX/Decision 5 (II) "Follow-up of the Situation in the Autonomous Republic of Crimea (Ukraine)".

6.   With regard to the request in 197 EX/Decision 5 (II), on the follow-up by UNESCO of the situation in the Autonomous Republic of Crimea (Ukraine), for the Director-General "to establish a mechanism to monitor the situation in the Autonomous Republic of Crimea at the institutional level, in the form that she deems appropriate, in order to ensure direct UNESCO participation in the elaboration of relevant solutions to the issues within the competence of the Organization", regular consultations were held between the Director-General, the Assistant Director-General for External Relations and Public Information respectively with the Chairperson of the Executive Board and the Ambassador and Permanent Delegate of Ukraine, in order to consult on the possible modalities to implement the Executive Board decision. Moving forward, the Director-General will continue to strengthen information-sharing and exchanges with institutional partners of the Organisation on a regular basis, in order to ensure monitoring of developments in UNESCO's spheres of competence. This will include an Information Meeting with Member States on developments in the situation in the Autonomous Republic of Crimea (Ukraine) in UNESCO's spheres of competence, to be held at UNESCO Headquarters prior to the 199th session of the UNESCO Executive Board, with UNESCO partners, given their relevance to UNESCO's fields of competence and existing partnership relations with UNESCO.

7.   The Director-General stands ready to continue updating the Executive Board on this issue in the fields of UNESCO's competence as required.

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

8.   In all of its actions, UNESCO has been guided by the United Nations General Assembly Resolution of 27 March 2014, on "Territorial Integrity of Ukraine," which "affirms its commitment to the sovereignty, political independence, unity and territorial integrity of Ukraine within its internationally recognized borders."

9.   As reported in 197 EX/5 (II), under Major Programme I, there are four schools and institutions which are part of the UNESCO Associated Schools Network (ASPnet) located in the Autonomous Republic of Crimea (Ukraine): Gymnasium No. 9 of Simferopol City Council, Simferopol, Autonomous Republic of Crimea (Ukraine); Secondary school of I-III Degrees No. 14, Simferopol, Autonomous Republic of Crimea (Ukraine); Alexander Pushkin Secondary School, Gurzuf, Autonomous Republic of Crimea (Ukraine); and Sevastopol Liceum No.1, Sevastopol, Autonomous Republic of Crimea (Ukraine). The Education Sector has not received recent activity reports through the National Coordinator from these schools and institutions, which have not been active in the Network. On 19 December 1962, Ukraine ratified the 1960 Convention against Discrimination in Education. Ukraine has not submitted a report on the measures taken for its implementation during the last three consultations, held between 1995 and 2013.

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

11.   As reported in 197 EX/5 (II), under Major Programme III, the International Children Centre (ARTEK), located in Gurzuf, the Autonomous Republic of Crimea (Ukraine) became a category 2 centre under the auspices of UNESCO in July 2007. The objective of the Centre was to promote learning to live together, tolerance, understanding and knowledge about different peoples, cultures, customs and traditions among young people through artistic education and creativity. The agreement with UNESCO came to an end in July 2013 and may be renewed in conformity with the Integrated Comprehensive Strategy for Category 2 Centres. No action has been taken.

12.   Under Major Programme IV, the World Heritage Centre continues to monitor, to the extent possible, the state of conservation of the World Heritage property "Ancient City of Tauric Chersonese and its Chora", situated in the Autonomous Republic of Crimea (Ukraine). The property has not been reported by UNESCO's partners, non-governmental organizations or other concerned intergovernmental organizations, including ICOMOS and ICCROM, as facing threats to its Outstanding Universal Value. Further to concerns expressed by the Ukrainian authorities concerning the state of conservation of the World Heritage property, and further to 197 EX/Decision 5 (II) which invited the governing bodies of UNESCO to assess the situation in Ukraine within UNESCO's field of competence, a state of conservation report will be presented to

the attention of the World Heritage Committee at its 40th session, to be held in Istanbul, from 10 to 20 July, 2016. Concerns expressed by the Ukrainian authorities regarding the state of conservation of the "Complex of the Sudak Fortress Monuments of the 6th-16th c.", site included in the Tentative List of Ukraine in 2007, are being followed by the Secretariat in consultation with ICOMOS. No specific information has been received by the World Heritage Centre about possible threats relating to other sites included in the Tentative List of Ukraine that are situated in Crimea (the Bagçesaray Palace of the Crimean Khans; the Trading Posts and Fortifications on Genoese Trade Routes, From the Mediterranean to the Black Sea; the Cultural Landscape of "Cave Towns" of the Crimean Gothia; and the historical surroundings of Crimean Khans' capital in Bakhchysarai). On 14 February 2016, ICOMOS informed concerning reports about unauthorized archaeological research in different places, including the World Heritage site of Ancient City of Tauric Chersonese and its Chora, as well as possible illegal exports of cultural artefacts to the Russian Federation – ICOMOS was not in positon to confirm or deny this information at this stage.

With regard to cultural heritage in general, no information has been received by the Secretariat that cultural property in Crimea (Ukraine) has suffered damage or destruction, or that actions contravening the provisions of the 1954 Hague Convention for the Protection of Cultural Property in the Event of Armed Conflict and its first (1954) Protocol have been undertaken. The situation in this regard continues to be monitored by the Secretariat in cooperation with its partners, and in particular the International Committee of the Blue Shield, which brings together the international networks of ICOM, ICOMOS, the International Council on Archives and the International Federation of Library Associations and Institutions, and with the Ukrainian authorities. While Ukraine is party to the 1954 Hague Convention and its 1954 (First) Protocol, to date, the Secretariat has not been seized with a complaint alleging violation of any specific provision(s) thereof.

As concerns moveable cultural property, there is no indication currently from the specialized institutions with which UNESCO cooperates in this field, notably INTERPOL or the World Customs Organization, of cases involving the illicit trafficking of cultural objects originating from Crimea (Ukraine). With regard to museums, no information has been received about damage or threats.

Concerning the protection of underwater cultural heritage, the Underwater Archaeology Centre for the Black Sea Region, inaugurated in June 2013 with the support of UNESCO, along with the first Ukrainian museum related to underwater cultural heritage, located in Feodosya, Crimea (Ukraine), has been re-established in Nikolayev (Ukraine).

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

13.   Under Major Programme V, the Secretariat has continued to maintain contacts with international governmental organisations, such as the Organisation for Security and Cooperation in Europe, as well as international non-governmental organisations, relating to issues of freedom of expression and the safety of journalists in Ukraine and the region. Contacts have continued with the International Federation of Journalists, and the European Federation of Journalists, as well as with national unions of journalists in the region, including the Independent Media Trade Union of Ukraine and the National Union of the Journalists of Ukraine – as well as with a number of Ukrainian professional and media NGOs, which are part of the Global Forum for Media Development, an international membership network of media assistance groups that highlights the importance of independent, pluralistic and sustainable media in social and economic development.

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

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

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

Pursuant to 197 EX/Decision 5 (II) of the Executive Board of UNESCO, entitled "Follow-up of the situation in the Autonomous Republic of Crimea (Ukraine)".

The occupation and subsequent annexation of Crimea by Russia have led to massive and systematic violations of human rights in the peninsula, including violations within the area of competence of UNESCO. This situation has been caused mainly by the forced imposition of Russian legislation in the temporarily occupied territory, and by the policy of intolerance and discrimination pursued by the occupying authorities on grounds of ethnic origin, religion and political opinions. The most vulnerable groups are Ukrainians and Crimean Tatars. Thousands of residents of Crimea have had to leave their homes and flee to the mainland part of Ukraine in order to find refuge and protection from this persecution.

The following information on human rights violations in the Autonomous Republic of Crimea and the city of Sevastopol (Ukraine) within the fields of competence of UNESCO were collected by Ukrainian government bodies and by non-governmental organizations (NGOs) during the period from 15 October 2015 to 10 February 2016. Unfortunately, this information is incomplete owing to the lack of free access to the peninsula. Nonetheless, even the information which is available suggests a worsening of the situation of human rights in Crimea and a strengthening of the disturbing trend in systematic violations of the principles and provisions enshrined in UNESCO's fundamental documents in all areas, and this requires urgent and effective intervention by the Organization.

Education

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

Currently, education in Crimea has been entirely changed over to the Russian language. The situation regarding teaching in the Ukrainian language has worsened considerably. Of 3,500 classes formerly taught in the Ukrainian language, only 40 now remain.

Last year, a single Ukrainian secondary school in Simferopol converted to Russian as the language of instruction.

Currently, of the 586 schools in Crimea and the city of Sevastopol, there are none where instruction is given in Ukrainian.

Currently available information shows that the illegal authorities in Crimea are taking all possible measures to prevent children from studying the Ukrainian language.

There are numerous cases of dismissals of teachers specializing in the Ukrainian or Crimean Tatar languages. They have been offered two options: to change their profiles or to be dismissed.

A gradual weakening has been observed in the status of the Ukrainian language in the territory of the Autonomous Republic of Crimea and of Sevastopol (Ukraine) in the framework of the cultural environment, both in education and officialdom and in the use of the language in everyday life.

In Crimea, Ukrainian has ceased to be the official language, although the "legislation in force" guarantees equal status to the three languages, Russian, Ukrainian and Crimean Tatar.

The current situation in higher education is equally deplorable, particularly in light of the complete lack of any training of Ukrainian-language teachers.

The occupation authorities in Crimea have abolished the Taurida National V. I. Vernadsky University, which has been incorporated into the Crimean Federal University, with the loss of the right to study the Ukrainian or Crimean Tatar language.

In October 2015, the Taurida Academy (one of the structural subdivisions of the V. I. Vernadsky Federal University) dismissed Professor Vladimir Kazarin, head of the chair of Russian and foreign literature, following his statement at the Prague conference in which he stated that the attachment of Crimea to Russia had "completely devastated the educational space of Crimea".

Owing to the liquidation of the Taurida National V. I. Vernadsky University on 31 December 2015, the Ministry of Education and Science of Ukraine issued Order No. 1421 on "the organization of educational processes at the Taurida National V. I. Vernadsky University". The university resumed its work in Kyiv as of 1 February 2016. Instruction is given in Ukrainian, Russian, English and Crimean Tatar.

Despite organizational and financial difficulties relating to the resumed functioning of the university in the mainland part of Ukraine, the Ukrainian authorities have done everything possible to guarantee its students' right to a good education free from discrimination, pursuant to the provisions of the Convention against Discrimination in Education of 1960.

Science

The annexation of Crimea has deprived Ukraine of several unique scientific establishments located on the peninsula. These include the internationally-renowned Marine Hydrophysical Institute, the A. O. Kovalevsky Institute of Biology of the Southern Seas and the Black Sea Underwater Research Centre (all located in Sevastopol). The first two of these institutions comprised over 150 scientists working locally in research facilities; each of them had two research ships, laboratories, courses, and libraries each of which comprised over 100,000 items, including volumes printed in the late eighteenth and early nineteenth centuries. The three institutions had been active participants in UNESCO programmes and conferences.

Ukraine has also been deprived of its unique astrophysics and space science facilities located on the peninsula. The National Academy of Sciences of Ukraine has lost some invaluable facilities following the annexation of Crimea, including the Crimean Laser Observatory, the Crimean Astrophysical Observatory, which has a unique radio telescope, a powerful reflecting telescope and a large solar telescope. The National Space Facilities Control and Testing Centre in Eupatoria (Yevpatoria), which possesses one of the world's most powerful radio telescopes, and the Space Surveillance Centre located at Cape Khersones, have been not only taken away from Ukraine by force, but immediately handed over to the Space Defence Command of the Russian Ministry of Defence.

The situation of the academic scientific institutions in Crimea remains very serious. In May 2015 there were numerous demonstrations caused by the non-payment of wages to the staff of the A. O. Kovalevsky Institute of Biology of the Southern Seas and the Marine Hydrophysical Institute, illegally expropriated from the National Academy of Sciences of Ukraine. Nonetheless, the issue of non-payment of wage arrears to the staff of these scientific facilities in 2015 had not been resolved.

According to the staff of these institutions, the scope of their activities and the number of areas of research have been significantly reduced. Scientists in Crimea confirm that there are reasons to expect a significant reduction in the spectrum of these institutions' international relations and changes in the direction of their activities, "with emphasis on defence research".

The problem regarding the registration of these institutions' buildings remains acute. The Federal Agency for Scientific Organizations, managing academic institutions by order of the occupation authorities, is seeking to profit from them by depriving them of some of their property. Naturally, all this prevents normal organization of scientific work.

Unfortunately, the "Ministry of Education, Science and Youth" of Crimea is unable to provide sufficient funding for research work to be conducted at the same level which was formerly present, or at least to formulate priorities in specific scientific areas in order to make full use of the potential of these exceptional scientists.

The occupation of the peninsula has also had a negative impact on the functioning of the Crimean branch of the Institute of Archaeology of the National Academy of Sciences of Ukraine, located in Simferopol. According to the well-known Crimean archaeologist V. Mordvyntseva, "the 'Ministry' of science of Crimea is incompetent in science and in the protection of archaeological sites, but it is quite capable of having an impact, particularly a financial one, on the internal situation of the Institute. Being completely dependent on the government of the republic, the Institute is unlikely to attain its former role of independent expert arbiter, and this endangers numerous archaeological sites in Crimea".

Furthermore, the Institute's employees were expelled from its premises, archives and library. When the property of the Academy was declared to be "republican property" by the occupation authorities in Crimea, the Institute's buildings were illegally expropriated.

Culture

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

The expropriation of Ukrainian cultural goods in the occupied territory has become an everyday practice.

On 17 October 2015, the Government of the Russian Federation adopted a decree under which over 220 sites in the temporarily occupied territory of the Autonomous Republic of Crimea and the city of Sevastopol were classified as cultural sites of federal importance. On 20 October, the document was published on the website of the Government of the Russian Federation. The Government tasked the Russian Ministry of Culture with incorporating these sites into the single State register of the cultural heritage of Russia. In particular, the list includes the complex of the fortress of Sudak, the Palace of the Khan at Bakhchisarai, the fortress and ancient fortified town of Chufut-Kale, the Genoan fortresses of the city of Feodosia, complex structures of the Vorontsov Palace, the "Swallow's Nest" castle, a complex of buildings of the palace of Alexander III, the Sapun-Gora memorial complex and Malakoff Hill.

On 3 October 2015, the Government of the Russian Federation adopted a decree on the incorporation of the Khersones of Taurida national preserve into the register of cultural sites of federal importance.

By a decree of the President of the Russian Federation, dated 7 October, the world heritage site, the "Ancient City of Tauric Chersonese and its Chora", was added to the list of the most important cultural heritage sites. The decree entered into force on 1 January 2016.

In January 2016, the press revealed that the illegal authorities in the temporarily occupied territory of the Autonomous Republic of Crimea and the city of Sevastopol intend to carry out construction work on the "Ancient City of Tauric Chersonese and its Chora" – a UNESCO world heritage site – in violation of its conservation regime.

In particular, this relates to a decision by the "governor" of the city of Sevastopol, S. Minaylo, to undertake work for the replacement of historic tiles.

According to information available in late November 2015, the Russian authorities intend to register the complex of the Palace of the Khan at Bakhchisarai on the World Heritage List where it has already been presented by Ukraine.

Illicit trafficking in Ukrainian cultural property and its removal from the annexed territory of Crimea have received Government approval in Russia.

Recent information shows that there are currently cases of illicit trafficking of cultural property in occupied Crimea, in flagrant violation of the Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property (1970)

In particular, items from Crimean museums, the Sudak collections, the Taurida Central Museum in Simferopol, the unique collections of Chersones, and Aivazovsky paintings from the Feodosia Museum, have been removed for transport to the Hermitage Museum in Saint Petersburg.

Available information shows that paintings from the "I. K. Ayvazovsky Art Gallery" museum in Feodosia are to be moved to the Tretyakov gallery in Moscow. The exhibition will then move to Saint Petersburg.

An exhibition entitled "In the Land of the Griffin. Antique Archaeology of the Hermitage in Crimea" took place from 24 October 2015 to 24 January 2016. It comprised items from the collection of the Eastern Crimean Historical and Cultural Museum-Reserve, which can be used as evidence of their illicit removal from the temporarily occupied territory of the Autonomous Republic of Crimea and the city of Sevastopol (Ukraine), which is a flagrant violation of the Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property (1970).

Negligence by the occupying authorities in the conservation and protection of the cultural heritage is a serious problem for the safeguarding of archaeological objects and unique natural treasures of the peninsula.

The night of 16-17 November 2015 saw the destruction of the "Bezimenna" Tower No. 19 of the Sudak fortress (city of Sudak, Crimea), which was on the tentative list of UNESCO world heritage sites. The tower was built during Genoese rule in the late fourteenth century. The monument was well preserved before it collapsed, from top to bottom.

The night of 8 January 2016 saw the collapse of one of the banks of the "Silver Jets" waterfall, one of the most remarkable sites in Crimea, located near Bakhchisarai. There is every reason to believe that this is the first time, in the history of the preservation of natural heritage sites, that such an accident has been caused by negligence and neglect from the authorities in occupied Crimea. Experts believe that it will take at least 10,000 years for the bank to reform, creating a "Silver Jet" effect.

Freedom of conscience and religion

The occupation of Crimea by the Russian Federation has led to violations of the freedom of religion, such as intimidation of members of the clergy, discrimination, the destruction of the property of religious communities, the imposition by the occupying Power of alternate religious groups, the introduction of new religious authorities to upset the balance of interfaith relations, or bureaucratic delays and obstacles. These acts violate the right to freedom of thought, conscience and religion enshrined in Article 18 of the International Covenant on Civil and Political Rights, adopted by the General Assembly of the United Nations on 19 December 1966.

Currently, one of the main obstacles to the continuing existence of religious communities is the obligation imposed on them to re-register themselves in accordance with Russian legislation.

These communities report that the procedure entails almost insurmountable problems, owing to the enormous quantity of information they have to submit in writing and the cumbersome procedures for providing the information.

Any failure to re-register leads to major legal problems and difficulties in the use of municipal services, including the deactivation of lighting and heating and, in general, impediments to the use of churches and other places of prayer. According to the Organization for Security and Co-operation in Europe (OSCE), the requirements laid down by the Russian Federation for the registration of NGOs, media entities and religious groups are deliberately used against those who fail to show loyalty to the new government. The repression of the expression of dissident beliefs has significantly reduced cultural breadth and diversity and the scale of civil society in the peninsula.

Owing to difficulties with re-registration, most of the parishes in Crimea are in fact forced to split up and register independent religious communities, to avoid falling into a legal limbo and being in conflict with the occupying authorities. Artificial legal obstacles and excessively lengthy processes for the consideration of applications, as well as rules which are sometimes humiliating, established by the Russian authorities, lead to major delays in the re-registration of religious communities in Crimea. In particular, under legislation introduced by the occupying authorities, in order to be registered, the religious community must prove that its official leader is a Russian national.

The deadline for re-registration has been extended several times. Initially, the de facto "authorities" in Crimea ordered all religious communities to re-register by 1 March 2015; this deadline was later changed to 1 January 2016 owing to the low result indicators of the campaign. The information available shows that, as of early February 2016, of the 2,000 congregations actually present in Crimea, only about 50 had successfully re-registered. This number does not take into account the communities which chose to become subordinate to legal entities registered in Russia, for which simplified procedures are applied.

At the same time, the occupying authorities put considerable direct and indirect pressure on all churches (except those which come under the Patriarchate of Moscow), in order to suppress "disloyal" religious communities and increase their influence over the spiritual life of the peninsula.

Only nine religious communities of the Ukrainian Orthodox Church of the Patriarchate of Kyiv still remain, out of the 41 which existed formerly. Many priests have been forced to leave Crimea since the beginning of the Russian occupation. Priests and parishioners who have resisted despite the difficulties and are still present remain under constant pressure.

Churches have been taken by force in Sevastopol and in the village of Perevalne and parishioners have been attacked by members of the paramilitary "Crimean self-defence forces". None of this has been considered by the "prosecutor's office" of the peninsula, thereby creating a climate of impunity for the criminals.

Parishes of the Ukrainian Orthodox Church of the Patriarchate of Kyiv have also been eliminated in Kerch and Krasnoperekopsk. Some communities have lost their places of prayer because these have been rented to private individuals; these have cancelled rental contracts under pressure (this was the pretext under which the community of Kerch was deprived of the opportunity to pray). On 14 January 2016, the "court of arbitration of Crimea" adopted a similar resolution, whereby the Crimea diocese of the Ukrainian Orthodox Church of the Patriarchate of Kyiv was deprived of its premises where the diocese had had its management office. Without any legitimate reason, this religious organization has been forced to pay half a million roubles to the "ministry of land and property relations" of Crimea and move out of its premises immediately.

In the night of 31 October 2015, at the church of Saint Mary in Simferopol, an act of vandalism was committed by an unknown person. The front wall of the house was painted red and the titles of horror films were written in large letters. Similar criminal acts had already taken place during that period: on the entrance door of an old church, located in a temporary building, pentagrams and inverted crosses were drawn. The occupying authorities in Crimea have conducted no investigation regarding these acts.

The re-registration application of the Ukrainian Greek Orthodox Church, which has five parishes in Crimea, was submitted more than six months ago, but the registration has still not been confirmed. It should be noted that, at the same time, all applications from the Ukrainian Roman Catholic Church in Crimea have been rejected "for technical reasons" because some of the documents submitted had been completed in Ukrainian.

According to the Odessa-Crimea office of the Roman Catholic Exarchate, the occupying authorities use weak excuses to delay the registration of the relevant documents. At the same time, the Church has received a document stating that action documents issued by the competent authorities in Ukraine are valid until 16 March 2016. Thereafter, if there is no re-registration, the occupying authorities will abolish the Roman Catholic community and confiscate all churches and places of worship.

Currently, no particular complaints have been made openly against Roman Catholic priests by the de facto authorities, but anti-Ukrainian sentiment is spreading across the peninsula. The leader of the Greek Catholic community of Yalta was forced to leave Crimea in April 2014. The leadership of the Roman Catholic church has reported on several occasions, including the period from October 2015 to February 2016, that it has been subjected to propaganda attacks in which Greek Catholics were described as "radical nationalists". As a result, all the Church's priests have left Crimea, except one: the Reverend Bogdan. Service has continued despite that, although the priests have to take turns coming to lead prayer until the expiry of their migration cards: non-Russian nationals are allowed to stay in Russia and in the annexed Crimean territory for up to 90 days.

The occupying authorities have used a wide range of activities to bring about a split in the environment of Muslim religious communities, which were united before the occupation. In order to avoid pressure on religious activities from the occupying authorities, the Muslims of Crimea have been forced to establish the Spiritual Administration of Muslims of Crimea (SAMC) in the mainland part of Ukraine, with its headquarters in Kyiv. This decision was also motivated by a great number of Crimean Tatars, who had been forced to leave the peninsula by the occupying authorities.

To strengthen this pressure on the Muslim community, an alternate, pro-Russian organization, the Spiritual Directorate of Muslims of Crimea and Sebastopol, registered after the annexation of the peninsula as a Russian organization. On 16 January 2016, in Simferopol, this organization held a "conference of leaders of Crimean Tatars and of civil society", broadcast by the Crimean pro-government channel "Myllet". Participants expressed support for the Mufti of Crimean Muslims, Haji Emirali Ablayev, who is faithful to the occupying forces and who denounces the creation of SAMC. Furthermore, that "conference" was used to appeal to Crimean Tatars not to leave the peninsula and not to serve in the Ukrainian armed forces. All this can be seen as pressure to prevent the enjoyment of the constitutional rights of the Ukrainian population of Crimean Tatars.

At the same time, using criminals they have hired, the occupying authorities have been threatening Islamic centres.

On 17 November 2015, unknown persons broke the windows of the mosque in the village of Zavit-Leninski, in the Dzhankoy district of Crimea, by throwing bricks at the building. The imam of that mosque, Rustem Ahmetshayev, made a written complaint to the police. To date, the investigation is not known to have produced any result.

On 24 December 2015, arson was committed upon the Muslim religious centre in the village of Zhelyabovka, in the district of Nyzhniogirsky. In the prayer room, all the cupboards containing Islamic literature and copies of the Koran caught fire. Following this arson attack, a centre for religious prayer under construction was partially burnt.

According to Rustem Nyzhniogirsky, the leader of the Muslim religious community of the Temirov district, these were not the first arson attacks against religious buildings in the village.

The occupying authorities are continuing to carry out illegal searches and illicit interventions in religious communities, in some cases using techniques which are themselves illegal.

The special forces of the Russian Federation have introduced a practice of installing video surveillance equipment at premises belonging to religious communities, including mosques. The use of this method began on 14 August 2015, when video cameras were installed in the mosque of the village of Ai-Vasil (Vasilivka) in Yalta, and this means of supervising the activities of Muslim communities is becoming increasingly widespread. Representatives of the Federal Security Service of the Russian Federation (FSB) involved in this activity explain these illegal acts through the need to "combat terrorism", without providing any documentary evidence of the legitimacy of their actions (no prosecutor's warrant or certified decisions relating to any organization's illegal activities). Such acts represent interference in religious worship, violating the freedom of conscience and religion.

On the night of 11 January 2016, in the village de Mezhdurech'ye, in the Sudak region, insulting words and drawings were put on the walls of a former mosque by unknown persons.

On 28 January 2016 in Simferopol, the Russian security forces surrounded the mosque of the Islamic Cultural Centre at 7 Mokrousov Street, while carrying out a search. Even Muslims who had come to pray were not allowed to enter the mosque.

Religious communities report that this was the third search conducted at that mosque by Russian security forces. The previous time, several books which are considered as prohibited in Russia were deliberately and furtively planted, and this deception led to administrative proceedings being illegally initiated. This sort of falsification is widely practised by FSB in the territory of the annexed peninsula.

Furthermore, having inspected the infrastructure of the premises, the armed visitors to the mosque declared that "the state of communications was not in accordance with technical standards", which may lead to an administrative decision suspending the activities of the organization and even the expropriation of the organization and its premises.

Commenting on these events, the Mufti of the Spiritual Administration of Muslims of Ukraine ("Oumma") Said Isahilov said "These were new manuals sent to Crimea with instructions for dealing with 'undesirables'." Despite the flagrant acts, including those which were observed by human rights organizations to be harassment on religious grounds in the Crimean peninsula, the Russian government denies everything and states that the believers of all religions are receiving totally equal treatment.

Press freedom and safety of journalists

Public access to information is practically nonexistent in the Crimean peninsula; this situation differs from the official position of the authorities in the area. The available information consists entirely of propaganda media.

All independent journalists have been forced to leave the territory of Crimea, faced with the threat of investigation and penal prosecution by the so-called Crimean Self-Defence. The media whose activities are obstructed in the peninsula include the Internet channel "CrimeanOpenCh", the Internet Edition of the "Centre for Investigative Journalism," the edition of "Your Newspaper", the project "Reality", the team making the film "Public TV", by the Russian television channel "Dozhd/rain", the Polish Gazeta Wyborcza, and the project "Крим. Реалії" (Crimea. Reality).

The unprecedented pressure on local media began in 2015, when the invaders decided that the re-registration of Crimean media should begin at once, initiated by the Federal Service for Supervision of Communications, Information Technology and Mass Media (Roskomnadzor), in order to destroy independent media which were not controlled by the Kremlin and to prevent objective coverage of the situation in the peninsula by opposition and pro-Ukrainian journalists.

The denial of licences to print and electronic media owned by Crimean Tatars is the most blatant proof of this.

This is why 18 media entities owned by Crimean Tatars had to shut down in 2015. These included the Crimean Tatars' only television channel, ATP, which was subjected to raids and searches by the so-called Crimean security forces. On those occasions, technical equipment, recordings and recording equipment were seized.

Owing to the prohibition of working in Crimea, the channel now works in the territory of the mainland part of Ukraine, but is experiencing serious funding problems because its owner, Lenur Islyamov, has lost the sources of financial support.

Although the ATP television channel is practically no longer functioning in the peninsula, its employees continue to be persecuted.

On 2 November 2015, raids were carried out by FSB on two former employees of ATP, L. Budzhurova and E. Islyamova, and at the home of the parents of its owner, L. Islyamov. It is reported that the Russian central bank has refused to grant a licence for foreign-exchange transactions by "Just Bank", which is owned by Mr Islyamov.

Ukrainian and international human rights organizations (Amnesty International, the Crimean Mission for Human Rights, the Information Centre for Human Rights) have reported pressure on freedom of expression by the Kremlin which is "absolutely insolent". Experts in media law believe that it is significant that in the territory of the peninsula there is no longer any radio station, in the traditional sense of the term, which its residents listened to until 2014. The situation is similar in relation to the press, including the Ukrainian press, which is no longer allowed in Crimea.

There is also a constantly growing number of Ukrainian and foreign websites which are blocked by the Russian side to prevent the population of Crimea from receiving information on alternative viewpoints. These websites include the most well-known Ukrainian internet publication, "Ukrainska Pravda" (Ukrainian Truth), the website "Gromadske TV" (Public TV), the internet publication "Glavkom", the projet "Krim Realii".

Human rights activists have recognized that the "authorities currently existing in Crimea" were unable to investigate a series of abductions and torture perpetrated against ordinary citizens and journalists. It has been emphasized that those who committed these crimes are not always prosecuted, despite assurances by the "Crimean public prosecutor's office" that it would conduct the appropriate investigation.

There have been numerous cases of obstruction of journalists' activities. On 15 January 2016 in Simferopol, the Russian security forces arrested a journalist, Zaire Akadyrov. The arrest occurred near the "Supreme Court of Crimea", which held a hearing on the case on 26 February. A freelance journalist and blogger, Zaire Akadyrov covered the story regularly on his blog.

Mr Kadyrov was taken to the police station, then released. On 22 January he was summoned to be interviewed in the office of the public prosecutor, but he was not informed as to the reason for it. On 27 January Mr Akadyrov appeared at the prosecutor's office of the Zaliznychne district of Simferopol with his lawyer Emile Kurbedinov. They met the prosecutor, Mr Kardash, who had nothing against him. The prosecutor asked whether Mr Akadyrov had any complaints regarding his arrest on 15 January near the Supreme Court. Having informed the prosecutor that he had complaints against officers of the Interior Ministry and of the OMON special forces, Mr Akadyrov handed to the prosecutor a written complaint relating to their actions.

The most important news website, "Events in Crimea", was blocked in the territory of Crimea on 29 January 2016. The website has reported that the reason for restricting access to it includes, "in the unified registry of domain names, indexes of web pages on internet and network addresses which make it possible to identify websites containing information whose dissemination is prohibited in Russia."

The Federal Service for Supervision of Communications, Information Technology and Mass Media (Roskomnadzor) sent a letter to the editors of the website containing the impossible and absurd demand that the home page should be deleted, because apparently it contained information "inciting mass disturbances and extremist activities". The site claims to have the largest audience (over 300,000 to 500,000) of all independent media in Crimea.

Employees of the Russian FSB have been monitoring the postal correspondence of inhabitants of Crimea who are suspected of involvement in extremism. In January, the "Crimea. Realities" site found lists of postal addresses of citizens of Crimea whose correspondence was to be closely monitored.

In addition to the political prisoners Oleg Sentsov, Gennady Afanasyev and Alexander Kolchenko, sentenced in the "Sentsov case" to long periods of imprisonment in the Russian Federation, the list also includes names of journalists, particularly the "Crimea. Reality" journalist Anna Andriyevska, against whom criminal proceedings for extremism are taking place in Crimea for her publication relating to the "Крим" (Crimea) Battalion on the website of the Centre for Investigative Journalism. Andriy Klymenko, the editor of "Blackseanews" and an expert with the "Maidan of foreign affairs", a Ukrainian public body, was also on that list.

It should also be noted that the Ukrainian media are currently unable to operate safely in the territory of Crimea. Consequently, Ukrainian publications and television channels generally use the accreditation of Russian media. For example, a filming crew from the television channel Inter is working in the peninsula. But this does not always ensure their safety. One example of this is the crew from the "Gromadske telebachennia" (public television), who were arrested by police in Crimea on 18 May 2015 when they were recording an interview with a member of the Mejlis of the Crimean Tatar People, Zaire Smedlyaev.

Minority rights coming under the mandate of UNESCO

The occupying authorities are putting growing pressure on the leaders of the Mejlis. On 20 January, the Kyiv Court of the Simferopol district submitted an appeal to the "prosecutor's office" of Crimea to adopt a measure of preventive detention against the Delegate of the President of Ukraine for the Crimean Tatar People, people's deputy M. Dzhemilev.

The so-called "prosecutor of Crimea" issued an international wanted person notice against the leaders of the Crimean Tatar People M. Dzhemilev and R. Chubarov, and a federal wanted person

notice against a Crimean Tatar politician, L. Islyamov, based on allegations of an "energy and food blockade" of the peninsula.

The leaders of the Crimean Tatar People, who use only peaceful methods, are prohibited from entering the peninsula, thus depriving the representatives of the Tatar community of Crimea of the right to freedom of expression.

The Vice-President of the Mejlis, Akhtem Chyyhoz, and personalities such as Asanov Ali and Mustafa Dehermendzhi, who have expressed their categorical opposition to the occupation, have now been in detention for several months, are further examples of the failure to respect freedom of expression.

All the cultural, humanitarian and religious institutions of the Crimean Tatars are experiencing the full force of the financial and social pressure and have received threats.

In early January 2016, FSB employees for Crimea and the city of Sevastopol sent copies of lists of persons for whom they have evidence of involvement in so-called "terrorist activities". The document lists their passport numbers and places of birth and residence. With this information, post office staff have been warned that if they receive a notice for any person on the list, they must inform the Russian FSB.

Ernest Ablyazimov (age 44) and Elvina Razakova (16) disappeared in occupied Crimea on 4 January and 13 January 2016, respectively. The security forces are currently searching for these persons.

A Crimean Tatar, Muedin Alvapov (age 21), was arrested in the city of Alupka on 23 January 2016. His brother, Mustafa Alvapov, is currently in the mainland part of Ukraine. The two brothers had been actively involved in a variety of social and political activities against the Russian occupation of Crimea. It is very likely that this was the reason for the arrest.

The occupying authorities in Crimea are pursuing a policy of unjustified raids against pro-Ukrainian activists. In October and November 2015, the home of Lenur Islyamov, the owner of the ATP television channel and the organizer of the blockade of the peninsula, was raided. The Crimean Field Mission on Human Rights reports that the home of the former ATP editor Lilie Budzhurova was raided by FSB on 2 November 2015. Her lawyer was not permitted to be present. On the same date, raids also took place at the homes of Lenur Islyamov's sister Elzara Islyamova, the former ATP director, and of his father Eden Islyamov.

According to the coordinator of the Crimean Contact Group on Human Rights, Abdureshyt Dzhepparov, who reported the Radio Free Europe (RFE) news on "Crimea. Realities", Russian FSB agents carried out illegal raids on 11 February 2016 at the homes of Crimean Tatars. They accuse them of extremism and seek to discredit them as "terrorists".

During this series of raids, the security forces have behaved aggressively, breaking open doors and windows, breaking windows and taking people away by force.

Raids have taken place at the homes of Damir Minadirov (Yalta), Bakhtiar Topuz (Yalta) Rustem Osmanov (Bakhchisarai), Nariman Mamedynov (Holmovka village, Bakhchisarai district), Arsen Khalilov (Holmovka village) and Emir-Usein Cook (Yalta), a member of the Crimean Contact Group on Human Rights. It is also reported that Muslim Aliyev, the Moscovskikh father and son (Viktorivka village), Vadim Syruka, Shamil Ilyasov and Enver Bekkirov have been arrested.

The Ministry of Foreign Affairs of Ukraine has adopted a declaration, calling for intensified pressure on the Russian Federation from worldwide public opinion, given that events in occupied Crimea are not only a flagrant violation of international law but also a contemptuous disregard for all human values.

On 12 February, the Ukrainian delegation to the United Nations sent an official letter to the President of the Security Council, expressing its profound concern regarding the illegal activities and flagrant human rights violations committed against Crimean Tatars by the Russian occupation forces in Crimea, which had led to massive illegal raids and unjustified detentions on 11 and 12 February 2016.

On 15 February 2016, the "prosecutor" of occupied Crimea, Natalia Poklonskaya, signed a declaration to the Supreme Court of the Autonomous Republic of Crimea on the prohibition of the activities of the Mejlis of the Crimean Tatar People.

She delivered copies of the prosecution documents relating to the prohibition of the organization's activities to Nariman Djelal, the Vice President of the Mejlis.

Since the occupation of the peninsula began almost two years ago, over 20 Crimean Tatars have been abducted and/or have disappeared without a trace; the condition of the bodies recovered shows that three of them were tortured before being killed.

The most recent cases of abduction and disappearances of Crimean Tatars are as follows: Ruslan Haniev and Arlene Terekhov, both resident in Kerch, disappeared on 15 December 2015.

At the beginning of the school year, the physical education teacher Mukhtar Arislanov, of Simferopol, disappeared without a trace. His parents accuse the Russian police of having abducted him (he was seen being led away by two men in police uniforms).

In late December 2015, a certain Ernest Ablyazimov disappeared in Simferopol. He was seen for the last time on 4 January, at the bus station.

There continue to be numerous cases of dismissals of representatives of the Crimean Tatar community and of abolition of their jobs.

Leonid Kuzmin, the co-founder of the Ukrainian Cultural Centre of Simferopol, who had worked as a history teacher in one of the city's schools, was dismissed in late January 2016.

The Crimea Human Rights Group reports that the Russian occupation forces are forcing inhabitants of Crimea who are Ukrainian passport-holders to fill in immigration cards, on the Ukrainian mainland side, when entering the territory of the peninsula.

In early January 2016, the management of the Svitanok cinema studio, Simferopol, decided to shut down that last Ukrainian children's centre in the Crimean peninsula. According to its director, Ms Petrova, a distinguished scholar of Ukrainian culture, the centre had been inspected several times in December 2015 on the grounds that children were being given a "nationalist" education.

During a "check" of the "Elif" Crimean Tatar centre in the city of Dzhankoy, on 29 January 2016, the security forces confiscated children's literature and interrogated the families of children attending the centre.

The goals of the "de-Ukrainianization" process in the peninsula are to destroy everything connected with Ukraine, and to ensure total obedience and the homogenization of society.

In this context, the "government" of Crimea prohibits Ukrainian symbols and printed publications.

Ukrainian passport-holders are threatened with social restrictions. They experience problems with purchasing train tickets, finding jobs, obtaining permanent residence permits, medical care, and so on.

Since the occupation of Crimea, over 15,000 Crimean Tatars have had to leave their native land and have become refugees, which constitutes a violation of the right to life.

Summary

The above information reflects a profound deterioration in the situation of occupied Crimea in UNESCO's areas of responsibility.

There is a continuing trend towards growth and expansion of flagrant violations of human rights, fundamental principles and agreements in the areas of education, science, preservation of cultural heritage, religious freedom and media freedom and the security of journalists.

The occupying authorities have continued their active use of administrative resource in order to transfer and redistribute objects of cultural and natural heritage and educational and scientific institutions belonging to Ukraine to the Russian federal government, often with a lack of transparency. In the absence of external monitoring and supervision, the illegal transfer of Ukrainian cultural property and the distortion of historical and cultural contexts during international presentations of this heritage property have unfortunately become habitual practice.

The situation in the Autonomous Republic of Crimea and Sevastopol (Ukraine) in all areas relating to the mandates of the United Nations and UNESCO, without exception, remains extremely serious and requires the immediate introduction of an effective mechanism for continuous monitoring by the Organization. The considerable quantity of relevant information provided by Ukraine, observation missions, the human rights monitoring agencies of other international bodies, and human rights NGOs, must be compiled, analysed and fully used to prepare practical recommendations and take effective measures to remedy the situation in the peninsula.

As is well known, during the short period which has passed since the adoption by the Executive Board of UNESCO at its 197th session of the decision on follow-up of the situation in the Autonomous Republic of Crimea (Ukraine), Europe's principal international organizations and institutions (such as OSCE, the Council of Europe and the European Parliament) have done a great deal of work to collect relevant information and have already published their positions on the situation of human rights in the peninsula. Of particular significance is the adoption by the European Parliament, on 4 February 2016, of a resolution condemning the unprecedented level of human rights violations by the Russian authorities in Crimea against its whole population, particularly Crimean Tatars.

The use of this data set is certainly an important activity, but not exhaustive. Ukraine believes that there is still a major gap in the follow-up of events in Crimea being conducted by worldwide and European organizations. This gap should be filled by the work of our Organization in its specific areas of responsibility.

We believe that these activities should be of a systemic nature, in the framework of a clearly defined follow-up mechanism; its key element should certainly be the implementation of constant monitoring directly in the field.

Based on a realistic assessment of the main trends in the development of the situation in Crimea (Ukraine) in the areas of competence of UNESCO, it can be predicted that the problem will not be completely resolved by the 199th session of the Executive Board. Ukraine therefore believes that regular forms of monitoring and communication of results to subsequent sessions of the Board should be introduced. In that context, it may be reasonable to set up a focal point within the UNESCO Secretariat.

The two years of occupation by the Russian Federation of the Autonomous Republic of Crimea and Sevastopol (Ukraine) has been accompanied by massive and systematic violations of fundamental human rights and freedoms and the legitimate interests of citizens. The occupying authorities are fully responsible for the situation described, including a critical situation relating to the preservation of cultural and historical heritage and other areas falling within UNESCO's mandate.

IV.   INFORMATION FROM INSTITUTIONAL PARTNERS

The United Nations Office of the High Commissioner for Human Rights – Extract from OHCHR Quarterly Report on Human Rights Situation in Ukraine (issued on 3 March, 2016) provided by OHCHR

Freedom of opinion and expression

Crimean residents continued to be pressured, intimidated and sanctioned for expressing views challenging Crimea's status as a part of the Russian Federation or expressing attachment to Ukraine publicly or via social media networks.

On 28 December 2015, FSB officers and about 25 Crimean Cossacks entered the village of Dolinka after it was found that a Ukrainian flag had been painted at a nearby bus station. Although the village has an ethnically mixed population, only Crimean Tatar residents were interrogated about the "incident". All houses with Crimean Tatar flags were photographed. Village residents who had taken part in the May 2015 commemoration of the deportation of the Crimean Tatars were systematically sought out for interrogation. The leader of the Cossack group declared he had come to the village to "protect" Russians, Ukrainians and Crimean Tatars from "manifestations of extremism." No houses were raided nor any arrests made. However, the action, triggered by the display of a national symbol by an anonymous person, appears illegitimate and unnecessary. It appears that the raid of Dolinka was also intended to intimidate local Crimean Tatars who take pride in their national identity and are keen to publicly demonstrate it.

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

On 23 September 2015, a "court" in Crimea prolonged for two months the pre-trial detention of a pro-Ukrainian activist, Yurii Ilchenko, for having published on a social network an article condemning the "annexation" of Crimea and calling for an "end to the war allegedly waged by the Russian Federation against Ukraine". Ilchenko was arrested on 2 July 2015 in Sevastopol, and accused of "inciting national, racial or religious enmity".

The imam of a mosque in the Bakhchysaraiskyi district was sentenced in August 2015 to two years of probation for stating his views in a private conversation at his workplace. He allegedly told three people that Crimea will be returned to Ukraine, after which "a war will start in which the Russians will be massacred and many Muslims will be killed". The Imam denied using these words. A 'court' found him guilty of "inciting inter-ethnic animosity" after criminal proceedings were opened by the "centre for combating extremism" of the Crimean "ministry of interior" based on a complaint made by the three individuals. The 'court' decision also prohibits the imam, during the period of his sentence, "to conduct activities related to the dissemination of any information".

Education, culture and religion

1 January 2016 marked the deadline for all religious communities to re-register under Russian Federation law. According to the website of the Russian Federation Ministry of Justice, 365 of them operating in Crimea had been re-registered on that date. However, over 1,000 religious communities that were recognized under Ukrainian law no longer have legal status. Stringent legal

requirements under Russian legislation have either prevented or discouraged re-registration of many religious communities. HRMMU recalls that it is essential to ensure that all procedures for registration are accessible, inclusive, non-discriminatory and not unduly burdensome, as freedom of religion or belief has a status prior and independent of any administrative recognition procedures. Religious minorities should be respected in their freedom of religion or belief even without registration.

The Ukraine Orthodox Church of the Kyiv Patriarchate (UOC-KP) features among the unregistered religious communities. Supporting Crimea as a part of Ukraine, it chose not to follow registration procedures deriving from Russian Federation law and currently has no legal status. The UOC-KP has been under pressure to cooperate with the *de facto* authorities and its refusal to do so has led to the seizure and closure of at least five churches[1] throughout the peninsula since March 2014. The Cathedral of St. Vladimir and Olga in Simferopol could be the latest place of worship to close after the Crimean "ministry of land and property relations" informed the Crimean Diocese of the UOC-KP in May 2015 that the rental agreement for the church premises had been cancelled. On 16 January 2016, a Crimean "arbitration court" found in favor of the "ministry", ordering the UOC-KP to leave the Cathedral within 10 days and fining it in the amount of almost 600,000 RUB (about 7,900 USD) for unpaid rent arrears. Metropolitan Kliment of the Crimean Diocese of the UOC-KP told HRMMU he would not abide by the 'court' decision, which as of 10 February 2016 had not been enforced.

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

Education in Ukrainian language dropped significantly in the past two years. In 2013, when the curriculum of Ukraine was last used, the number of children educated in Ukrainian was 12,694; in 2014, it was 2,154; and in 2015, it is 949. Twenty-two schools across the peninsula are currently providing teaching in Ukrainian but only two schools – in Alushta and Feodosiya – offer full primary and secondary education (grades 1 to 9) in that language. The number of children educated in Crimean Tatar language has remained relatively stable. In 2015, Crimean Tatar is the language of education of 5,334 children. In 2014 the figure was 5,146, and in 2013, it was 5,551. Currently, teaching is done exclusively in Crimean Tatar language in 15 Crimean schools. Some Ukrainian and Crimean Tatar parents told HRMMU that the *de facto* authorities were discouraging the use of minority languages, notably by preventing the grouping of children by language preference and placing them in classes with Russian language education. This claim is disputed by the *de facto* authorities. The "minister of education, science and youth" of Crimea stated in September that separate classes were opened for minority language education if at least seven parents would request it.

On 18 May 2015, commemorative events were held throughout Ukraine to mark the 71st anniversary of the deportation of the Crimean Tatars. In Crimea, the *de facto* authorities organized official ceremonies and visited the construction site of a future memorial complex dedicated to the victims of the deportation. However, they prohibited all rallies planned by the Crimean Tatar Mejlis, invoking the necessity to avoid political manipulation of the commemoration. In addition, about 60 Crimean Tatars taking part in an unauthorized motorcade in Simferopol were arrested by the Crimean "police", interrogated for several hours, and released after being fined. Restrictions were also applied to the commemoration of the Crimean Tatar Flag Day on 26 June. While Crimean

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[1]   On 1 June 2014 the church in Perevalnoe was seized by so-called "cossacks". Originally the church was closed to visitors but later priests of the Moscow patriarchate started conducting services there. The church of the apostles Peter and Paul and holy prelate Nicholas, which is located on the territory formerly belonging to the naval training center of the armed forces of Ukraine in Sevastopol was seized. UOC-KP parishes in Krasnoperekopsk, Kerch and Saki were also closed.

Tatar organizations loyal to *de facto* authorities were able to organize a car rally and deploy a huge Crimean Tatar flag, "pro-unity" activists and members of the Mejlis were formally warned by the Crimean "prosecutor's office" not to organize any events dedicated to the celebration.

COMMISSIONER FOR HUMAN RIGHTS

COMMISSAIRE AUX DROITS DE L'HOMME

Ref: CommHR/IG/sf 001-2016

Ms Irina BOKOVA
Director-General of UNESCO
United Nations Educational,
Scientific and Cultural Organization
7, place de Fontenoy
75352 Paris 07 SP
France

Strasbourg, 7 January 2016

Dear Director General,

Thank you for your letter dated 11 December 2015. As you know, I travelled to Kyiv, Moscow and Crimea from 7 to 12 September 2014 and in October 2014 published a report on this mission including an *in situ* assessment of the human rights situation in Crimea since March 2014.

The above-mentioned report covered issues related to: the accountability for serious human rights violations, including efforts to combat impunity; status of "self-defence" forces; conditions of detention and the possible transfer for humanitarian reasons of persons who are currently imprisoned in the region (both sentenced and remand); national and other minorities; nationality-related issues; and the situation of human rights defenders.

Since then, I have not returned to Crimea for a mission and so am not able to furnish further elements that those contained in this report.

Yours sincerely,

Nils Muižnieks

REPORT

BY NILS MUIŽNIEKS

COMMISSIONER FOR HUMAN RIGHTS OF THE COUNCIL OF EUROPE

FOLLOWING HIS MISSION IN KYIV, MOSCOW AND CRIMEA

FROM 7 TO 12 SEPTEMBER 2014

CommDH(2014)19

INTRODUCTION

1. Commissioner Nils Muižnieks and his delegation carried out a mission to Kyiv, Moscow and Crimea[1] from 7 to 12 September 2014.[2] The present report represents an overview of the issues which have been discussed during his mission.

2. The Commissioner would like to thank the authorities of Ukraine and the Russian Federation for their co-operation and efforts to ensure that his mission was carried out in full compliance with his mandate. In particular, he would like to express his gratitude to the Permanent Representations of both countries to the Council of Europe, as well as the respective Ministries of Foreign Affairs for facilitating this mission. The Commissioner would also like to thank the Council of Europe Offices in Kyiv and Moscow for their valuable help and assistance provided in the course of this mission. More generally, the Commissioner would like to thank all of his interlocutors for their valuable contributions and willingness to share their views on human rights issues.

1   KYIV (7-8 SEPTEMBER 2014)

3. In Kyiv, the Commissioner had meetings with the Minister of Foreign Affairs, Mr Pavlo Klimkin; the Deputy Minister of Justice, Ms Inna Yemelianova;[3] the Parliamentary Commissioner for Human Rights (Ombudsperson), Ms Valeria Lutkovska, as well as representatives of civil society organisations, including those representing the interests of persons displaced from Crimea.

4. Issues discussed included the situation of displaced persons in Ukraine;[4] judicial and police reforms; the need to ensure accountability for serious human rights violations, in particular those which have occurred since December 2013, as well as the importance of combating impunity as part of the reconciliation process.

5. The Commissioner welcomed the ceasefire agreement signed in Minsk on 5 September 2014 as an important step towards improving the humanitarian situation in the east of Ukraine. However, he expressed concern to his official interlocutors about the provision related to the adoption of an amnesty law. He received assurances that the relevant legislation will be compliant with international human rights standards, which require that those responsible for serious human rights violations be brought to justice.

6. The Commissioner also had an in-depth discussion with various interlocutors as to the best ways of ensuring a more systematic approach towards working on human rights issues in

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[1] The mission of the Commissioner for Human Rights was aimed at fostering the effective enjoyment of human rights. It cannot be interpreted as recognising either the authorities that exercise de facto jurisdiction or any altered status of the territory in question.

[2] The Commissioner was accompanied by Ms Isil Gachet, Director of his Office, Ms Bojana Urumova, Deputy to the Director, and two Advisers, Ms Olena Petsun (Kyiv and Moscow only) and Mr Vahagn Muradyan.

[3] Ms Yemelianova has since resigned from the function of Deputy Minister of Justice.

[4] According to figures provided by UNHCR, the number of displaced persons in Ukraine as of 16 October 2014 was 417 246, including 398 467 from the east and 18 779 from Crimea. See also in this regard the letter the Commissioner sent to the Prime Minister of Ukraine, Mr Arseniy Yatsenyuk, on 27 June 2014 (published 17 July 2014), in which the Commissioner outlined his main concerns regarding displaced persons in the country and made recommendations aimed at improving their situation.

Ukraine. To this end, he encouraged his interlocutors to consider the development of a national human rights action plan in order to better address the most pertinent issues.

2 MOSCOW (9 SEPTEMBER 2014)

7.   In Moscow, the Commissioner had meetings with Mr Alexander Konovalov, Minister of Justice; Mr Aleksey Meshkov, Deputy Minister of Foreign Affairs; Ms Ella Pamfilova, Commissioner for Human Rights of the Russian Federation (Ombudsperson); Mr Leonid Slutsky, member of the State Duma and Vice-Chairperson of the delegation of the Russian Federation to the Parliamentary Assembly of the Council of Europe; and various civil society organisations. The Commissioner also met a delegation of Amnesty International, headed by its Secretary General, Mr Salil Shetty.

8.   The issues the Commissioner discussed in Moscow included the situation of human rights defenders in the light of the implementation of the legislation on non-commercial organisations ("Law on foreign agents"); on-going reforms in the penitentiary and judicial systems; as well as certain aspects of the implementation of the judgments of the European Court of Human Rights. With the Commissioner for Human Rights, the discussion was focused on possible ways and potential areas for co-operation in the future.

9.   The Commissioner noted with concern the increasingly challenging environment in which human rights defenders carry out their work in the Russian Federation. The recently-adopted amendments introducing changes to the legislation on non-commercial organisations pertaining to registration as a "foreign agent"[5] did not address the main concerns of the Commissioner, as expressed in his Opinion on the legislation of the Russian Federation on non-commercial organisations in light of Council of Europe standards. The Commissioner expressed his readiness to continue discussions with the authorities on this and other relevant issues.

3 CRIMEA (10-11 SEPTEMBER 2014)

10.   In Simferopol, the Commissioner had a joint meeting with Mr Oleg Belaventsev, representative of the President of the Russian Federation in the region, Mr Sergei Aksionov, the current leader of the region, Mr Vladimir Konstantinov, speaker of the local legislative body, Ms Natalya Poklonskaya, in charge of the prosecutorial authorities, as well as Mr Iskander Bilialov and Mr Remzi Ilyasov, members of the Mejlis of Crimean Tatars. He also had an exchange of views with the local Ombudsperson, Ms Lyudmila Lubina. Furthermore, he held discussions in Simferopol and Bakhchisaray with representatives of the Mejlis of Crimean Tatars, including Mr Akhtem Chiygoz, Deputy Chairman of the Mejlis, and met several representatives of civil society, lawyers, journalists, and religious leaders.

11.   Issues raised by the Commissioner in his discussions in Simferopol and Bakhchisaray covered the following: accountability for serious human rights violations, including efforts to combat

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[5] On 23 May 2014, the State Duma adopted new amendments to the legislation in question allowing the Ministry of Justice to register non-commercial organisations in the Registry of the non-commercial organisations performing functions of a foreign agent without their consent (previous legislation provided that the organisations concerned should themselves apply to be registered if they correspond to the criteria specified in the law). On 28 May 2014 the Council of Federation endorsed those amendments, and on 4 June 2014 they were signed into law by the President of the Russian Federation. As of 17 October 2014, 15 organisations were listed in the above-mentioned Registry (http://unro.minjust.ru/NKOForeignAgent.aspx).

impunity; status of "self-defence" forces; conditions of detention and the possible transfer for humanitarian reasons of persons who are currently imprisoned in the region (both sentenced and remand); national and other minorities; nationality-related issues; and the situation of human rights defenders. Issues relating to Crimea were also addressed during the Commissioner's meetings with the Ombudspersons and civil society representatives in Kyiv and Moscow.

3.1 HUMAN RIGHTS SITUATION IN CRIMEA

3.1.1 ACCOUNTABILITY FOR SERIOUS HUMAN RIGHTS VIOLATIONS

12.   The Commissioner for Human Rights received reports from international organisations and human rights groups about cases of deaths and disappearances under suspicious circumstances which occurred after February 2014 in Crimea.[6] During his stay in Simferopol, the Commissioner had an opportunity to discuss those matters with lawyers and civil society representatives and subsequently raised five specific cases (two deaths and three cases of missing persons) at his meeting with the local leadership.[7]

13.   One of the above-mentioned cases involves Reshat Ametov, who was reportedly last seen at a protest on the main square in Simferopol on 3 March 2014. He was allegedly then led away by three men in military-style jackets, and footage of the incident was shown on the Crimean Tatar television channel ATR. His body - reportedly bearing signs of ill-treatment - was found on 16 March 2014 at a locality 67 km east of Simferopol, in the village of Zemlyanichne (Bilohirsk district).[8] The circumstances of Mr Ametov's disappearance and death have not been clarified to date. The local prosecutorial authorities informed the Commissioner that the investigation was still ongoing and that 300 expert examinations had been carried out. The Commissioner considers that all relevant video recordings purportedly showing Mr Ametov being taken from the site of the 3 March protest should be subject to an expert analysis. Further, steps should be taken to identify the three men shown in those videos, and to question them.

14.   Another case concerned a 16-year old student, Mark Ivanyuk, who died under unclear circumstances on the highway Chernomorskoe-Olenevka on 21 April 2014. While the leadership in the region released information that the death was due to a hit-and-run car

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[6] OSCE/HCNM and OSCE/ODIHR, Ukraine, Human Rights Assessment Mission: Report on the Human Rights and Minority Rights Situation, March-April 2014, http://www.osce.org/odihr/118476?download=true,UN OHCHR Reports on Human Rights Situation in Ukraine,
http://www.ohchr.org/en/countries/ENACARegion/Pages/UAIndex.aspx, Reports by the Crimean Field Mission on Human Rights, http://crimeahr.org/ru/standpoint. The Crimean Human Rights Field Mission is a joint initiative of several human rights organisations from Ukraine and the Russian Federation.

[7] A case not raised by the Commissioner during his stay in Simferopol, but which has been referenced in reports by OHCHR and the Crimean Field Mission, is that of Vasyl Chernysh, a resident of Sevastopol and Avtomaidan activist who went missing on 15 March 2014. See Office of the United Nations High Commissioner for Human Rights, Report on the human rights situation in Ukraine, 16 September 2014, §178, http://www.ohchr.org/Documents/Countries/UA/OHCHR_sixth_report_on_Ukraine.pdf, as well as *Krymskaya polevaya missia po pravam cheloveka, Kratky obzor situatsii po Krymu*, June 2014, page 5, and July-August 2014, page 6 (http://crimeahr.org/sites/default/files/crimea_field_mission_report_june_2014.pdf and http://crimeahr.org/sites/default/files/otchet_krymskoy_polevoy_missii_-_iyul-avgust_2014.pdf).

[8] Cf. in this regard Human Rights Watch (18 March 2014) *Crimea: Disappeared Man Found Killed*, www.hrw.org/news/2014/03/18/crimea-disappeared-man-found-killed.

accident,[9] certain media reported that the person's mother had alleged police involvement in his death.[10] When the Commissioner raised the case, Ms Poklonskaya indicated that the local prosecutorial authorities were not aware of it.

15. The Commissioner also enquired about the cases of three local civil society activists, Leonid Korzh, Timur Shaimardanov, and Seiran Zinedinov, who went missing at the end of May 2014 (respectively, since 22, 26, and 30 May). Mr Shaimardanov and Mr Zinedinov are included in the publicised list of missing persons.[11] According to information provided by the prosecutorial authorities in a letter dated 31 July 2014 addressed to the Crimean Human Rights Field Mission, criminal proceedings have been opened in connection with the disappearances of Mr Shaimardanov and Mr Zinedinov, while the disappearance of Mr Korzh has not been confirmed and additional verifications in this regard have been ordered.[12] After the mission, the Commissioner became aware of reports about the abduction by uniformed men of Islyam Dzhepparov and Dzhevdet Islyamov on 27 September 2014 near the Simferopol – Feodosia highway.[13] The men were placed in a minibus and taken in an unknown direction, and criminal proceedings have been opened in relation to their abduction.[14]

16. A contact group on missing persons had its first meeting on 14 October 2014 with the leader of the region, Mr Aksionov, and investigative authorities. The contact group includes victim representatives and its coordinator, Mr Mammet Mambetov, is a Crimean activist. According to a press release issued by the contact group following the aforementioned meeting, the representative of the investigating authorities, Mr Bogdan Frantsishko, had indicated that criminal proceedings into the premeditated murders of Mr Shaimardanov and M Zinedinov had been initiated. Further, criminal proceedings had been initiated into the abduction of Mr Dzhepparov and Mr Islyamov.[15]

17. During his meeting with the regional decision-makers, the Commissioner highlighted the need to ensure prompt, effective and adequate investigations into all cases of serious human rights violations, while emphasising that those cases which fall under Articles 2 and 3 of the European Convention on Human Rights should be treated as a priority. All investigations should be conducted in compliance with the principles established in the case-law of the European Court of Human Rights. One of the most important of these elements is independence: it is a very basic principle that those involved in the operational conduct of an investigation should be independent from those who may be implicated. Furthermore, investigations must be thorough and all reasonable steps must be taken to secure evidence concerning the incidents in question, including identifying and interviewing the alleged suspects and eyewitnesses, and victims (in cases of possible Article 3 violations), seizing

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[9] Cf. in this regard http://82.mvd.ru/news/item/2167514/.

[10] http://www.segodnya.ua/politics/society/mat-pogibshego-v-krymu-16-letnego-parnya-moego-syna-ubili-iz-za-ukrainskogo-yazyka-516091.html

[11] See http://82.mvd.ru/citizens/Rozisk/rubric/1/?page=1, last accessed 9 October 2014.

[12] See http://crimeahr.org/sites/default/files/otchet_krymskoy_polevoy_missii_-_iyul-avgust_2014.pdf (Appendix I).

[13] Human Rights Watch, (7 October 2014) *Crimea: Enforced Disappearances, Crimean Tatars, Other Pro-Ukraine Figures Among the Missing*, http://www.hrw.org/news/2014/10/07/crimea-enforced-disappearances

[14] "*Po faktu propazhi dvukh chelovek v Belogorske organizovano ugolovnoe rassledovanie*", 29 September 2014, http://rkproc.ru/news/po-faktu-propazhi-dvuh-chelovek-v-belogorske-organizovano-ugolovnoe-rassledovanie. See also "*V Krimy vozbuzhdeno ugolovnoe delo po faktu pokhishchenia dvukh zhitelei goroda Belogorska*", 30 September 2014, http://crim.sledcom.ru/news/detail.php?news=10544.

[15] *Press reliz Kontaktnoy gruppy po poisku pokhishchennykh lyudey v Respublike Krym*, 14 October 2014.

instruments or weapons which may have been used in perpetrating the violation, and gathering forensic evidence, including through medical expertise and autopsy where applicable. The investigation must be <u>comprehensive</u> and seek to shed light on all significant events and circumstances related to the case. The investigation must also be conducted in a <u>prompt</u> and reasonably <u>expeditious</u> manner, without unjustifiable delays. In addition, there should be sufficient <u>public scrutiny</u> of the investigation, and in all cases, the <u>victim or the victim's survivor(s) must be involved</u> in the procedure to the extent necessary to safeguard their interest.

18. A person's disappearance is a grave violation of human rights. The deleterious effects of such a tragedy are far-reaching. Disappearances have a profound effect on the whole of society, starting with the individual's close family and friends, all of whom suffer from not knowing and from a sense that their plight is being ignored. This lack of knowledge can cast those concerned in a state of perpetual distress, depriving them of the possibility to lead a normal life.[16] Therefore, the truth should be established and the relatives of the victims must receive a satisfactory and convincing explanation about the fate of their loved ones.

19. The Commissioner noted with concern that at least some of the above-mentioned cases involved activists who – according to various reports – have openly expressed critical views of the events unfolding in the region after February 2014.[17] It is also worrisome that there have been allegations of implication of members of the "self-defence" forces in these violations (cf. the section on "Self-Defence forces"). There is an urgent need to carry out effective investigation into all allegations about abuses by the police and other auxiliary forces that have been operating in the region since February 2014.

3.2 SITUATION OF MINORITIES

20. The situation of ethnic minorities was the main topic of the previous Commissioner's visit to the region which took place in November 2011, and a follow-up letter to the Prime Minister of the Autonomous Republic of Crimea, Mr Anatolii Mohyliov.[18] Within the framework of the current mission the Commissioner paid particular attention to the situation of the Crimean Tatar community and ethnic Ukrainians residing on the peninsula.

21. The Commissioner received reports about a number of searches - carried out by armed and masked members of the security forces - in Muslim religious institutions, as well as businesses and private homes belonging to members of the Crimean Tatar community. The purpose of those actions was to search for prohibited items, including weapons and "extremist literature". By the time of the Commissioner's visit, such searches had been carried out in 8 out of 10

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[16]The European Court of Human Rights has frequently found violations of Article 3 of the European Convention on Human Rights in respect of families of disappeared persons, due to the emotional distress and suffering they experience as a result of their relative's disappearance.

[17] See Office of the United Nations High Commissioner for Human Rights , Report on the human rights situation in Ukraine, 15 June 2014, §288,
http://www.ohchr.org/Documents/Countries/UA/HRMMUReport15June2014.pdf, *Krymskaya polevaya missia po pravam cheloveka, Kratky obzor situatsii po Krymu* (June 2014), p.5
http://crimeahr.org/sites/default/files/crimea_field_mission_report_june_2014.pdf.

[18] Letter from the Council of Europe Commissioner for Human Rights to Mr Anatolii Mohyliov, Prime Minister of the Autonomous Republic of Crimea,
https://wcd.coe.int/ViewDoc.jsp?Ref=CommDH(2012)11&Language=lanEnglish&Ver=original&Site=COE&BackColorInternet=DBDCF2&BackColorIntranet=FDC864&BackColorLogged=FDC864

religious schools (madrasas) belonging to the Spiritual Directorate of the Muslims of Crimea (*Dukhovnoe Upravlenie Musulman Kryma*). There were also reports that "informative talks" had been carried out with scores of persons in order to check whether they adhered to "undesirable" or "non-traditional" forms of Islam. The perception among various representatives of the Crimean Tatar community was that the above-mentioned actions were intrusive and performed with an intent to intimidate them. Moreover, Mr Mustafa Dzhemilev, one of the key leaders of the Crimean Tatar community and former Chairman of the Mejlis,[19] and Refat Chubarov, the current Chairman of the Mejlis have respectively been barred since 22 April and 5 July 2014 from entering the territory of Crimea.

22. During his meeting with the regional leadership on 11 September 2014, the Commissioner expressed the opinion that the above-mentioned searches and checks were disproportionate and excessive, and that care should be taken to avoid any further actions which selectively target members of the Crimean Tatar community in the name of fighting extremism. In response, the authorities indicated that they would engage with representatives of the Crimean Tatar community with a view to resolving the problem. However, on 18 September 2014, after the Commissioner's return from the mission, he was informed that the building of the Crimean Tatar Mejlis in Simferopol - which he had visited - was seized by security forces and that the employees of the organisations located in the building were evicted, reportedly on the basis of a court order.

23. The local leaders also informed the Commissioner about certain steps they have been taking with regard to promoting the economic and social rights of the Crimean Tatar community, aimed at resolving some of their long-standing issues of concern. They specifically referred to initiatives such as a "land amnesty" and efforts to address housing problems. In addition, they maintained that the status of the Crimean Tatar language and the possibility to observe religious holidays were better protected.

24. The Commissioner also looked into the situation of ethnic Ukrainians residing on the peninsula. In the wake of the events of February-March this year, some of them decided to leave the region because they no longer felt secure, while others preferred to refrain from openly stating and/or manifesting their views.

25. The Commissioner took note of the allegations about attempts to gain control over churches owned by the Ukrainian Orthodox Church of the Kyiv Patriarchate and apply pressure upon priests serving in the Crimean diocese. One such incident was reported on 1 June 2014 when uniformed men, said to be Cossacks and members of the "self-defence" forces, entered a local church in the village of Perevalne proclaiming that they were seizing it with the intention of transferring it to the authority of the Moscow Patriarchate.[20] According to the local head of the Ukrainian Orthodox Church of the Kyiv Patriarchate, archbishop Kliment, six out of fifteen churches belonging to that religious denomination were no longer under the control of the Kyiv Patriarchate. The Commissioner raised the matter with the local leaders and urged them to enter into a dialogue with the representative of that church with a view to resolving the foregoing issues. The Commissioner's interlocutors promised to organise such a meeting.

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[19] On 20 August 2014, the President of Ukraine, Mr Petro Poroshenko, signed a decree whereby Mr Dzhemilev was appointed as Commissioner of the President on the Affairs of Crimean Tatars.
[20] Office of the United Nations High Commissioner for Human Rights , Report on the human rights situation in Ukraine, 15 June 2014, §315,
http://www.ohchr.org/Documents/Countries/UA/HRMMUReport15June2014.pdf

26.   The Commissioner is of the opinion that multiculturalism is a unique feature and asset of this territory and should be nurtured and preserved, including through the media, as well as in schools and public institutions.[21] Despite the changing legal framework, the three languages - Russian, Crimean Tatar and Ukrainian – continue to be used as languages of communication. However, the Commissioner received reports that the use of Ukrainian language in the schools has been diminishing. Apparently, the only Ukrainian-language gymnasium in Simferopol has been transformed into a school where in some classes education will continue to be provided in Ukrainian, while in other classes Russian will become the language of instruction. Whether this was done on the basis of the requests received from the parents of the schoolchildren has been a matter of some dispute. Moreover, whether parents can make language choices free of pressure has also been questioned.[22]

27.   The Commissioner encouraged his interlocutors to do their utmost to nurture the linguistic diversity of this region and to provide the necessary means for all young persons to have access to quality education in different languages. The use of the bilingual and multilingual methodologies in the educational processes should be encouraged.

28.   It is essential to create a sense of security for the Crimean Tatars, ethnic Ukrainians and everyone else who has been rendered more vulnerable by the changed circumstances in the region. It is important to continuously and consistently send an unambiguous message of "*zero tolerance*" of violence and any kind of discriminatory practices, as well as to pay special attention to the need to protect human rights and uphold the rule of law in any circumstances. Minorities should enjoy secure conditions enabling them to practice their religion in public or private, receive education in their languages and openly manifest their views without fear and intimidation. It is of paramount importance to refrain from any further measures which may worsen their situation. Failure to do so may lead to new cases of displacement from the region.

3.3 MEDIA SITUATION

29.   The Commissioner has received reports that certain of the Internet media resources and other media outlets which did not support the turn of events in the region since February have either relocated or closed down. Some media outlets and journalists have reportedly come under pressure due to the changing institutional and legal framework which has resulted in the application of more restrictive rules related to media work.

30.   The Commissioner received information about two main "waves" of attacks against journalists: in March 2014, around the time of the "referendum",[23] and in 15-19 May 2014, around the commemoration day of the 1944 deportation of Crimean Tatars (18 May). One case involved a

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[21]Cf. also the letter from the Council of Europe Commissioner for Human Rights to Mr Anatolii Mohyliov, Prime Minister of the Autonomous Republic of Crimea, https://wcd.coe.int/com.instranet.InstraServlet?Index=no&command=com.instranet.CmdBlobGet&InstranetImage=2175019&SecMode=1&DocId=1859320&Usage=2

[22] Crimean Field Mission on Human Rights Brief Review of the Situation in Crimea, July-August 2014, p. 30 http://crimeahr.org/sites/default/files/otchet_krymskoy_polevoy_missii_-_iyul-avgust_2014.pdf

[23] At their 1196th meeting on 2-3 April 2014, the CoE Committee of Ministers adopted a decision, whereby "[t]he Deputies […] stressed that the illegal referendum held in the Autonomous Republic of Crimea and the city of Sevastopol on 16 March 2014 and the subsequent illegal annexation by the Russian Federation cannot form the basis for any alteration of the status of the Autonomous Republic of Crimean and the city of Sevastopol […]"

local journalist, Osman Pashaev, who was detained and physically assaulted by members of "self-defence" forces on 18 May 2014 in Simferopol and subsequently left Crimea.[24] The Commissioner had an opportunity to meet with some of the affected journalists who shared with him their accounts of being intimidated or assaulted by members of the "self-defence" forces.

31. In Simferopol, the Commissioner received confirmation of reports that media outlets had received warnings and/or were undergoing checks with regard to their alleged involvement in "extremist" activities.[25] Those journalists who were covering the march of Crimean Tatars on 3 May 2014 to the Armyansk checkpoint to meet the leader of Crimean Tatar community, Mr Mustafa Dzhemilev, were notably affected by these measures. Despite such actions, the Crimean Tatar television channel ATR continued to be broadcast at the time of the Commissioner's stay in the region. However, subsequently (24 September 2014), its general director received a letter from officials charged with combating extremism motivated by the channel's change in content. In particular, the letter specified that the channel "persistently instils the perception about possible repression based on ethnic or religious grounds, fosters the formation of anti-Russian views, deliberately foments distrust among Crimean Tatars towards the authorities and their actions, which indirectly carries with it the threat of extremist activity".[26]

32. A few days before the Commissioner's arrival in Simferopol, the apartment of a popular blogger, Elizaveta Bohutska, had been searched and she had reportedly been questioned in connection to the 3 May rally (see previous paragraph) and in relation to her media reports critical of the policies of the current power-holders in the region.[27] Following those incidents, she decided to relocate from Crimea. The local leadership confirmed they were aware of this particular case, but had no intention to take any action on the matter.

33. According to the case-law of the European Court of Human Rights, the press performs a vital role of "public watchdog" in a democratic society.[28] The Court has emphasised that "freedom of the press and other news media affords the public one of the best means of discovering and forming an opinion of the ideas and attitudes of political leaders."[29]

3.4 STATUS OF "SELF-DEFENCE" FORCES (*SAMOOBORONA*)

34. The legal status and functions of the Crimean "Self-Defence" (*Samooborona Kryma*) – auxiliary forces which have been playing a visible role in the events of February-March 2014 and thereafter - were also among the issues raised by the Commissioner with his interlocutors in

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[24] "*Pamfilova: zaderzhanie zhurnalista v Krimu – narushenie prav cheloveka*,"Ria Novosti, 19 May 2014, http://ria.ru/society/20140519/1008461921.html, see also "Osman Pashaev leaves Crimea", Kharkiv Human Rights Protection Group, 20 May 2014, http://khpg.org/en/index.php?id=1400529448

[25] It may also be noted that during the week following the Commissioner's mission, the OSCE Representative on Freedom of the Media expressed concern about "a pattern of hostile behavior towards members of the media" via a press release issued in Vienna on 19 September 2014 and entitled "Pressure on Tatar media in Crimea must stop": http://www.osce.org/fom/123790

[26] See Crimean Field Mission on Human Rights Brief Review of the Situation in Crimea, September 2014, Appendix 2, http://crimeahr.org/sites/default/files/obzor_krymskoy_polevoy_missii_sentyabr_2014.pdf

[27] See also OSCE Representative condemns continued intimidation of free voices in Crimea, Vienna 9 September 2014, http://www.osce.org/fom/123314

[28] See *Observer and Guardian v. the United Kingdom*, judgement of 26 November 1991, §59 (b) and *Jersild v. Denmark*, judgement of 23 September 1994, §35.

[29] Cf. for example *Oberschlick v Austria*, judgement of 23 May 1991, §58.

the region. As was mentioned in previous sections, the Commissioner received numerous reports that those forces have apparently been engaged in performing certain quasi-police functions and that, on a number of occasions, members of those forces have reportedly been implicated in cases of serious human rights violations, including abductions, arbitrary detention, ill-treatment and attacks against journalists. One of the many cases communicated to the Commissioner involved two activists, Andriy Schekun and Anatoly Kovalsky, who were detained and allegedly ill-treated by those forces on 9 March 2014. After spending eleven days detained in an unknown location, they were transferred to the territory under control of the Ukrainian government.[30]

35. During his mission, the Commissioner heard several accounts about abuses committed by members of these units in relation to those expressing critical views about the events unfolding in the region, including journalists, representatives of ethnic minorities and other vulnerable groups. He was also informed about their alleged involvement in the seizure and "nationalisation" of private enterprises. One such case occurred during the Commissioner's mission and was effectively acknowledged by the local leadership, who indicated that the interference was made due to unlawful actions by the company in question.

36. In June this year the local legislative body, in an apparently retroactive manner, endorsed a proposal to "legalise" those forces through an act[31] which provided them with a rather wide range of functions, but included only a limited number of checks and appropriate safeguards. Furthermore, the Commissioner was informed that there were two legislative initiatives – one introduced locally[32] and another one pending in the State Duma[33] – which provides for immunity from prosecution for actions committed by members of those forces after February 2014.

37. During his encounter with the local leaders and the ombudsperson, the Commissioner raised a number of concerns related to the accountability of the above-mentioned forces. In this context, the Commissioner urged all those responsible to effectively investigate and prosecute all alleged cases of human rights violations committed by members of "self-defence" forces. He reiterated his principled position on this issue – as supported by the ECtHR jurisprudence and other international standards - that amnesties should not be applied for serious human rights violations (in particular cases covered by Articles 2 and 3 of the European Convention on Human Rights). The obligation to protect the right to life and take effective action against torture and other cruel, inhuman or degrading treatment or punishment must be upheld in all circumstances.

38. In a recent judgement, the ECtHR noted that there was a growing tendency in international law "to see amnesties for serious human rights violations as unacceptable because they are

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[30] Human Rights Watch, *Ukraine: Activists Detained and Beaten, One Tortured*, (25 March 2014), http://www.hrw.org/news/2014/03/25/ukraine-activists-detained-and-beaten-one-tortured

[31] http://www.rada.crimea.ua/textdoc/ru/6/act/22z.pdf

[32] http://www.rada.crimea.ua/law-draft-card/4038

[33] Lower house of the Federal Assembly (Parliament) of the Russian Federation. See http://asozd2c.duma.gov.ru/addwork/scans.nsf/ID/16740DBDDF67CCDF43257D650048D45D/$FILE/613379-6.PDF?OpenElement.

incompatible with the unanimously recognised obligation of States to prosecute and punish grave breaches of fundamental human rights".[34]

39. The concerns of the Commissioner about amnesty for members of "self-defence" forces in cases of serious violations were shared by the local ombudsperson. The current leader of the region, Mr Aksionov, stated during the meeting with the Commissioner that any violations - if they were indeed committed by the members of these forces – would be thoroughly investigated and those responsible brought to justice.

40. In the Commissioner's opinion, the above-mentioned auxiliary forces should be disbanded. Those who have not been implicated in cases of human rights violations may - if they wish so - be integrated into the local police force after undergoing comprehensive professional training, including on the European and international standards concerning protection of human rights by police.

3.5 SITUATION OF HUMAN RIGHTS DEFENDERS AND HUMAN RIGHTS STRUCTURES

41. On 5 March 2014, a group of human rights defenders from Ukraine, the Russian Federation and Crimea established the Crimean Human Rights Field Mission, with a view to ensuring the continued monitoring of the human rights situation on the ground.[35] The mission acts from a politically neutral position and pays particular attention to interethnic and interreligious relations, as well as the actions of public authorities and their representatives. Since its creation, the mission has been issuing reports regularly and has come to represent a key source of information about human rights developments in Crimea. During his stay in the region, the Commissioner had an opportunity to meet with several activists working with the Crimean Human Rights Field Mission and other local civil society organisations who provided him with their insights into the complex environment in which they have to operate and the challenges that they encounter. In the course of discussions with various interlocutors throughout the mission, the Commissioner emphasised the need to promote safe and favourable conditions for the work of human rights NGOs. An open and meaningful dialogue between the authorities and civil society would certainly contribute to promoting better understanding and reconciliation among the different groups of people residing in Crimea.

42. The Commissioner received certain reports about instances of intimidation and harassment against human rights activists.[36] Such episodes - if they are not condemned unequivocally - may foster negative stereotypes and prejudices towards human rights defenders in general. They can also lead to concrete difficulties and obstacles for the effective conduct of human

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[34] See *Marguš v. Croatia* (Grand Chamber judgement of 27 May 2014). In that case, the Court also noted that "even if it were to be accepted that amnesties are possible where there are some particular circumstances, such as a reconciliation process and/or a form of compensation to the victims, the amnesty granted to the applicant in the instant case would still not be acceptable since there is nothing to indicate that there were any such circumstances." In that judgement the Court declared inadmissible the complaint under Article 4 of Protocol No. 7 to the Convention regarding the applicant's right not to be tried or punished twice in relation to crimes committed during the war in Croatia in the 1990s which were amnestied pursuant to a General Amnesty Law. The applicant, a former commander of the Croatian army, had been convicted of war crimes against civilians committed in 1991.

[35] The Crimean Human Rights Field Mission receives support from the United Nations Development Program (UNDP) as well as from the Centre for Citizens' Freedoms in Ukraine.

[36] As an illustration, two human rights defenders working for the Crimean HR Field Mission (a Ukrainian national and a Russian national) were taken off the train and questioned by the Russian border officials on 12 September 2014 in Bryansk while they were travelling to Kyiv.

rights work. The Commissioner would like to reiterate the principle that when individuals – together with others or alone – speak out for human rights or work for them with other means, they should be free to do so without being subjected to pressure. He would like to pay tribute to the human rights organisations working in the region for their commitment to fulfilling their mission, despite the challenges and risks involved.

43.   In addition to his discussions with human rights organisations, the Commissioner had a fruitful exchange of views and an opportunity to share his concerns with the local ombudsperson,[37] Ms Lyudmila Lubina. He would like to underline that human rights structures can play a key role in promoting awareness of European and international human rights standards and norms and ensuring that people living in the region are able to enjoy them fully in practice. The effectiveness of such institutions is in many respects linked to the degree of independence they are able to enjoy and to the attitude of the local authorities to the institution of ombudsperson as such. The authorities should respect their integrity and independence, thus enabling them to perform their duties properly and effectively.

3.6 CITIZENSHIP-RELATED ISSUES

44.   During his mission, some of the Commissioner's interlocutors drew his attention to various aspects of the on-going process of issuance of Russian passports (commonly referred to as "passportisation") and shared their concerns as to how the choices made by various individuals may eventually affect their access to and enjoyment of a number of human rights.

45.   The Russian Federation stipulated in its legislation[38] that all permanent residents on the territory of Crimea, unless they explicitly refuse Russian citizenship, will become citizens of the Russian Federation one month after the date on which, according to the Russian Federation, Crimea was incorporated into its territory. Ukraine does not recognise "forced automatic admission" into Russian citizenship by Crimean residents and does not consider it a ground for deprivation of Ukrainian citizenship.[39]

46.   The Commissioner received several reports suggesting that the wish of the person concerned was not always taken into account throughout the above-mentioned process. It is difficult to establish at present in how many cases persons have "automatically" become Russian citizens, i.e. since they did not refuse Russian citizenship within the allocated period of time. In at least some of these cases there are reasons to believe that the affected persons did not have an effective possibility to exercise their choices (see below). The Commissioner was also made aware of some cases of persons who reportedly wished to acquire Russian citizenship but were not in a position to do so due to certain "eligibility" criteria (lack of proof of permanent residence has frequently been invoked in such cases).

47.   In the Commissioner's view, people should have a choice in matters relating to their citizenship. The consent of the person concerned should be the paramount consideration in

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[37]The office of the local ombudsperson was established on 25 June this year. Until April 2014, a representative office of the Ukrainian Parliamentary Commissioner for Human Rights was functioning in the Autonomous Republic of Crimea.

[38] Russian Federation Constitutional Law "On admitting to the Russian Federation the Republic of Crimea and establishing within the Russian Federation the new constituent entities of the Republic of Crimea and the city of federal level Sevastopol", dated 21 March 2014, Article 4.

[39] Law of Ukraine "On legal guarantees of people's rights and freedoms on the temporarily occupied territories of Ukraine", Article 5.4.

this regard, and this consent should be active and clearly stated. Whereas States have obligations related to the prevention and reduction of statelessness, such obligations could hardly be invoked in the cases referred to above since the persons concerned were not stateless.[40]

48. Another issue of concern raised by the Commissioner's interlocutors relates to the effective possibility to express one's wishes. The period granted for initiating a procedure to refuse Russian citizenship was very short (one month, expiring on 18 April 2014). Moreover, instructions from the relevant migration service as to the exact procedure to follow were only available as of 1 April 2014. Furthermore, information about the places where the relevant application should be submitted was only available after 4 April; from 4 to 9 April only two such places, in Sevastopol and in Simferopol, were functioning; as of 10 April, a total of nine localities had been made available. Finally, additional requirements were introduced during the process, such as the necessity to make an application in person, or that both parents were required for the application of a child.[41]

49. Certain persons in closed institutions might have experienced difficulties with expressing their consent. This in particular applies to those imprisoned on remand or serving a sentence,[42] as well as people in other closed institutions (geriatric institutions, hospitals and psycho-neurological clinics, orphanages, etc.) Concerning prisoners, the Commissioner received information that they had been "consulted" as to their preference, but no details were provided as to the exact procedure followed.

50. Persons who find themselves in the situation described above should also have all the necessary information enabling them to make an informed choice. In other words, they should be fully informed and have a clear understanding of all possible legal consequences attached to one option or the other.[43] While individuals who initiated a procedure for refusing Russian citizenship were asked to sign a document stating they were fully aware of the legal consequences of their decision, it would appear that a whole range of important issues related to their future status has not been clarified to date. First and foremost, questions have been raised as to whether these individuals will "automatically" acquire permanent resident status or not, and to what extent this will affect their social and economic rights, access to employment, and similar issues.

51. For certain groups of individuals – such as civil servants – the decision not to accept Russian citizenship meant the loss of their current employment. The Commissioner also received

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[40] Even in cases involving granting of citizenship to a stateless person, such an act cannot be carried out against the wishes of an adult (the situation of stateless children is treated in a more nuanced way, since the principle of "the best interests of the child" should also apply). Otherwise this could be qualified as an interference with the person's private and family life, since the acquisition of citizenship may also entail certain obligations, such as military service.

[41] Report on the human rights situation in Ukraine, Office of the United Nations High Commissioner for Human Rights, 15 May 2014, §127.

[42] This also applies to the case of the Ukrainian filmmaker Oleg Sentsov and others who were detained in connection with the charges invoked against him. While he maintains that he is a citizen of Ukraine, the Russian authorities consider him as a Russian citizen on the basis of the argument that he did not explicitly refuse Russian citizenship.

[43] The European Court of Human Rights requires that any legal norm should be both accessible and foreseeable as to its effects.

reports suggesting that public sector employees (e.g. teaching staff in universities and other educational institutions) were also "advised" to renounce their Ukrainian citizenship.

3.7 OTHER ISSUES

52.   Several of the Commissioner's interlocutors in Kyiv, Moscow and Simferopol drew his attention to the poor conditions of detention in the penitentiary establishments in the region. The local ombudsperson expressed particular concerns over the lack of food and medical supplies and overcrowding in places of detention. The observations and recommendations made by the European Committee for the Prevention of Torture and Inhuman or Degrading Treatment or Punishment (CPT)[44] following its delegation's visit, *inter alia*, to the temporary detention facilities in Alushta, Simferopol and Yalta and the pre-trial detention establishment (SIZO) in Simferopol remain relevant in this regard.

3.8 ACCESS OF INTERNATIONAL HUMANITARIAN AND HUMAN RIGHTS ORGANISATIONS

53.   There appears to be an issue with regard to free and unhindered access of international organisations and missions to the region, including those whose mandate is to provide independent and impartial monitoring of the human rights situation. Some of these obstacles stem from the relevant legislative framework, others from its practical implementation; still others arise from what appears to be an arbitrary or selective application of the rules by the relevant executing bodies. Except for the Council of Europe Commissioner for Human Rights, representatives of other international institutions, including UN OHCHR, have not been able to secure access of their monitors to the region after March 2014.[45]

54.   On 15 April 2014, the Ukrainian Parliament (*Verkhovna Rada*) adopted a law "On legal guarantees of people's rights and freedoms on the temporarily occupied territories of Ukraine." While it contains no restrictions on the freedom of movement for Ukrainian citizens to/from Crimea, the law provides for restrictions on the freedom of movement of foreigners and stateless persons. According to Article 10.2 of the law, these categories of visitors should obtain a special permit to enter/leave the territory of the peninsula through specific entry points (along the boundary line between the Crimean peninsula and Kherson oblast). The procedure for obtaining special permits is to be determined by the Cabinet of Ministers (Government of Ukraine). At the same time, Article 5 of the law reiterates the State's obligation to undertake all the necessary measures to guarantee rights and freedoms of the persons residing on the territory of the peninsula. At the time of drafting this report, the procedure for entry into the region was still under elaboration. In his discussions with the official interlocutors in Kyiv, the Commissioner emphasised that it was of utmost importance to ensure that the procedure in question be formulated in a way that would facilitate the work of humanitarian organisations and international human rights monitors and missions in the region.

55.   During his exchange of views in Moscow with the Deputy Minister of Foreign Affairs, the Commissioner formed the impression that the Russian authorities consider that the access route via Moscow represents the best option under the current circumstances. Apart from the requirement to obtain a Russian visa, the Commissioner does not have information suggesting that the legislation which is effectively (de facto) applied in the region imposes any additional

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[44] CPT/Inf (2014) 15, report published by CPT following its visit to Ukraine from 9 to 21 October 2013.
[45] The International Committee of the Red Cross (ICRC) does have access to Crimea.

or separate rules or procedures on foreign citizens and/or stateless persons wishing to enter the region by land from the north.

56. The Commissioner wishes to stress that the question of access to the region should not be politicised: free and unconditional access of international humanitarian and human rights organisations to the peninsula (from all directions and at all times) and effective international monitoring, in particular of minority rights, is of key value in the present situation and will undoubtedly contribute to strengthening a climate of respect and co-operation between various ethnic communities and other minority groups residing in the region. This position is shared by several of the Commissioner's interlocutors who have noted that the present mechanisms for the monitoring of the human rights situation on the ground were not sufficient. International human rights monitors could effectively operate in coordination with the local human rights defenders and relevant human rights structures and should be encouraged rather than prevented from exercising their respective mandates in the region.

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

360/15

Vienna, 17 December 2015

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

Dear Director-General,

Thank you for your letter of 11 December 2015 (Ref: DG/15/10447) with a request for a brief summary of the latest developments in Crimea.

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

As I said during the UNESCO's Information Meeting for Member States in June, I visited Simferopol, Crimea, in March 2014 and met with local journalists, some of which were victims of violence.

Since the visit I have repeatedly spoken out on the media freedom situation in Crimea among other things noting the issues related to:

- the forceful switch off of practically all Ukrainian television channels and their replacement with the channels originating from the Russian Federation, both in terrestrial and cable broadcasting;
- the intimidation of and attacks on independent and pro-Ukrainian journalists and bloggers, including when they critically report on the *de facto* status of the region;
- the raids on independent media outlets and media NGOs, and seizure of their equipment and other property;
- the forced registration and licensing of Crimean media outlets and media NGOs under more restrictive Russian laws;
- the redesign of the radio market in Crimea in favor of Moscow-based entertainment networks and
- the censorship and forced closure of Crimean Tatar media (ATR and Lale television channels, Meydan and Lider radio stations, QHA news agency, Avdet newspaper and others, have been forced to cease their activities due to the repeated denial of the *de facto* regulatory authorities to register them under the Russian media legislation).

Altogether the number of media outlets in Crimea by the deadline of obligatory Russian registration (1 April 2015) has reportedly reduced from approximately 3,000 to 232.

After my 2014 visit the media freedom situation in Crimea has not improved and the same issues of concern continue.

During my subsequent trips to mainland Ukraine, I met with journalists and representatives of media organizations from the peninsula (Simferopol, Yalta, Sevastopol and Kerch) to discuss media freedom issues and seek ways to offer assistance to them. This co-operation continues and the Crimean media members regularly participate in various events organized by my Office, such as conference "Journalists' Safety, Media Freedom and Pluralism in Times of Conflict" on 15-16 June 2015 in Vienna (http://www.osce.org/fom/151466) and series of roundtable discussions involving senior representatives from professional media organizations from Russia and Ukraine (http://www.osce.org/fom/184881).

Also, as the Russian Federation is, in effect, exercising control of Crimea and the city of Sevastopol, I have brought these matters to the attention of Russian authorities.

It should be noted, however, that it is difficult to give a more comprehensive assessment of the current state of affairs of media freedom and safety of journalists in Crimea based on the fact that my Mandate as Representative is limited to addressing issues in participating States. Given Crimea's current status, I am unable to officially engage with *de facto* authorities. Nevertheless, I will continue my efforts to protect media freedom throughout the region by engaging with journalists and civil society and publicly calling for the improvement of the very bleak situation, especially when it comes to the safety of journalists and media members.

For the purpose of UNESCO's report, in addition, you may find it useful to review a report of the Human Rights Assessment Mission (HRAM) on Crimea conducted by the OSCE Office for Democratic Institutions and Human Rights and the OSCE High Commissioner on National Minorities in July 2015 (http://www.osce.org/odihr/180596). HRAM conducted fact-finding and research in mainland Ukraine, as well as through remote interviews. My Office provided input to the parts related to the situation of journalists' safety and media freedom (see pp. 41-50).

I hope the above information will contribute to the important task assigned to UNESCO. In case you need any additional information or assistance, please do not hesitate to contact me.

Yours sincerely,

Dunja Mijatović

ICOMOS

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

Ms Mechthild Rössler
Director
World Heritage Centre
UNESCO
7, Place de Fontenoy
75352 Paris 07 SP
France

Our Ref. : ML/GJ/03

Paris, 17 February 2016

Dear Director,

I am writing to you with reference to your letter of 26 January 2016 (CLT/HER/WHC/EUR/16/8591/AS/MR) in which you ask ICOMOS to provide UNESCO with « information that your organization may obtain through its channels and national committees concerning assessment of the situation in the Autonomous Republic of Crimea and the city of Sevastopol (Ukraine) within ICOMOS's fields of competence" and to follow up on my email of 14 February 2016.

Following your request, ICOMOS has consulted its network. We however wish to underline that none of the experts consulted have been in the Autonomous Republic of Crimea (Ukraine) since the occupation and that we have no means to confirm or infirm what is said.

Reports received indicate the possible existence of unauthorized archaeological research in different places, most notably, the World Heritage site of Ancient City of Tauric Chersonese and its Chora, and potential illegal exports of cultural artefacts to the Russian Federation, but this information would have to be further verified.

Yours sincerely

po. Gaïa Jungeblodt.

Marie-Laure Lavenir
Director General

AMNESTY INTERNATIONAL

22 January 2016

Following the annexation of Ukraine's autonomous Republic of Crimea by Russia, in March 2014, Amnesty International has documented the considerable deterioration of the situation across a number of fields of UNESCO's competence. A detailed overview of our concerns during the first year after the annexation can be found in the report *Ukraine: One Year on: Violations of the rights to freedom of expression, assembly and association in Crimea* (AI Index: EUR 50/1129/2015).[1] Amnesty International has continued to monitor the human rights situation in Crimea, and to note further human rights violations. Throughout this period there has been a marked decline in human rights monitoring and reporting from within Crimea itself as a result of the diminishing space for civil society activism.

Harassment and closure of media outlets

There is notably less pluralism in the local broadcast, printed and online media in Crimea than was the case prior to the annexation by Russia. The Crimean Tatar-language media, and other media outlets, as well as individual journalists and bloggers known for their pro-Ukrainian views, have been subjected to harassment by the de facto authorities and members of security agencies, and several media outlets were forced to close. The forms of their harassment ranged from official and unofficial warnings of potential criminal prosecution under Russia's anti-extremism legislation, to searches of homes and offices, and criminal prosecution of individuals associated with these media.

Throughout 2014, repeated threats were made by senior members of the de facto authorities to use sanctions against those media outlets which disseminated views and news coverage which they deemed unwelcome. In many instances these threats were realised during 2015.

Several independent Crimean Tatar-language media outlets, including the ATR TV channel, QHA news agency, the Avdet newspaper, Lale children TV channel, Maydan and Lider radiostations, amongst others, were forced to close on 1 April. The pretext for their closure was their failure to re-register under newly applicable Russian law. In most cases, these media outlets duly submitted applications for re-registration, some repeatedly, but were consistently refused re-registration, often with only vague explanations. Several applications received no response from the licencing authorities until it was already too late to rectify any purported omissions and irregularities.[2]

In the case of ATR TV channel, the most influential Crimean Tatar-language media outlet, the closure was preceded by a raid on its offices and a search by some 30 riot police officers accompanied by officials from the Russian Investigative Committee and the Federal Security Service (FSB), on 26 January 2015. The search lasted several hours, disrupting the channel's broadcasting, and ended in the seizure of computer servers that have never been returned. Since the channel's closure, it has reopened its operation from mainland Ukraine, but its reporters are no longer able to work openly in Crimea. Its former members who remained in

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[1] Available on Amnesty Internaitonal's website, at https://www.amnesty.org/en/documents/EUR50/1129/2015/en/.

[2] For further details, see Amnesty International, "Crimean Tatar media will shut down as arbitrary registration deadline expires", 31 March 2015, https://www.amnesty.org/en/latest/news/2015/03/crimean-tatar-media-will-shut-down-as-arbitrary-registration-deadline-expires/.

Crimea have faced further reprisals. On 2 November 2015, the FSB searched the homes of the channel's former executive director Elzara Islyamova, her deputy Lilya Budzhurova, as well as of the parents of the channel's owner Lenur Islyamov, under the pretext of a criminal case against the exiled Lenur Islyamov, who was accused of "committing acts of sabotage".

Harassment of Crimean Tatar Mejlis, its leaders and activists

The closure of Crimean Tatar-language media outlets happened against a backdrop of harassment of the Crimean Tatar Mejlis (a body elected at an informal Crimean Tatar assembly, Kurultai, that performs a representative role on behalf of the community), and the criminal prosecution or forced exile of its leaders.

In September 2014, the Crimean Tatar Mejlis's secretariat was evicted from the building it had occupied in Simferopol, together with the charitable Crimean Foundation which owned the building, and the newspaper Avdet, by decision of a local court. The de facto authorities have since repeatedly warned that the Crimean Tatar Mejlis could be designated as an extremist group under Russian law. In September 2015, the de facto Prosecutor of Crimea sent a letter to local news outlets informing them that the name "Crimean Tatar Mejlis" was not to be used because the organization had no status (no registration) under Russian law.

The previous leaders of the Mejlis, Mustafa Dzhemiliev, and his successor Refat Chubarov were officially barred from Crimea by the de facto authorities. On 28 October 2015, the de facto Prosecutor of Crimea announced that Chubarov could return, after a court in Simferopol ordered his arrest on 6 October for "calls against the territorial integrity of the Russian Federation".

The Mejlis's deputy head and de facto remaining leader, Ahtem Chiygoz, was arrested on 29 January 2015 and accused of having organized "mass disturbances" on 26 February 2014 (the day when pro-Ukrainian and pro-Russian crowds assembles in front of the Crimean parliament resulting in isolated clashes between their members and leading to two reported deaths and 79 people injured). Ahtem Chiygoz is currently standing trial in court, in proceedings that raise fair trial concerns, under charges punishable by up to 15-year imprisonment.

At least seven other members of the Crimean Tatar community have so far faced prosecution in connection with 26 February 2014 events. Two of them – Eskender Nabiev and Talyat Yunusov – have already been convicted under the charge of participation in "mass disturbances" and sentenced to conditional sentences of two and a half and three and a half years, respectively.

Around 100 members of the Crimean Tatar community have been issued with hefty administrative fines for taking part in "unsanctioned" peaceful public assemblies in 2014.[3] Throughout 2015, homes of members of the Crimean Tatar community, their schools and mosques, continued to be raided by security forces and Cossack paramilitaries; individuals

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[3] For details on the preceding events, see Amnesty International, "Ukraine: Harassment and violence against Crimean Tatars by state and non-state actors", 23 May 2014 (AI Index: EUR 50/023/2014), https://www.amnesty.org/en/documents/EUR50/023/2014/en/.

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were subjected to ID checks in the streets by security officials and armed paramilitaries. For instance, such "checks" were conducted in the capital Simferopol between 2 and 7 October 2015, targeting exclusively Crimean Tatars. On 28 December members of the FSB, police from the anti-extremism unit (Centre "E") and paramilitaries calling themselves Crimean Cossacks visited a number of houses belonging to Crimean Tatar families in the village of Dolinka asking questions about local bus stops having been painted blue and yellow, the colours of the Ukrainian flag.

The harassment of Ukrainian-language media

There are no longer Ukrainian-language printed or broadcast media outlets in Crimea, while those who work for them, as well as Ukrainian-language bloggers, face harassment.

On 21 May 2015 three journalists from Ukrainian Inter TV channel were detained by police who claimed they were suspected of transporting explosives in their car. The journalists were taken to the local police station in Armyansk "for further checks" and released five hours later, without charges.

Online media is also watched for signs of dissent. On 8 September 2014, police officers from the Centre "E" (special force combating extremism) searched the house of blogger Elizaveta Bogutskaya purporting to be looking for weapons, drugs and "extremist literature", after her neighbours informed the de facto authorities about her openly pro-Ukrainian, albeit peaceful, online posts. She was then summoned to Centre "E" to answer questions about her Facebook activity. Bogutskaya left Crimea that same evening as she no longer felt safe.

The suppression of the public display of Ukrainian national and cultural identity

There are regular reports of the harassment and persecution of individuals displaying elements of Ukrainian culture and identity, such as traditional costumes, or using blue and yellow to indicate Ukrainian national identity. Thus, on 28 December the children's theatre studio "Svitanok" was closed after its members appeared in a Christmas play using Ukrainian language and featuring traditional Ukrainian costumes, at a youth centre in Simferopol.

According to the Ukrainian Human Rights Commissioner (Ombudsperson), the number of children in Crimea educated in Ukrainian plummeted from over 160,000 in 2013 to fewer than 40,000 in the first year after the peninsula's annexation by Russia. At the start of the new school year in September 2015, the de facto Ministry of Education, Science and Youth reported that only 949 pupils (0.5% of the total number) had chosen to be educated in Ukrainian.

The celebration of the 201st anniversary of the birth of the poet and Ukrainian cultural icon, Taras Shevchenko, on 9 March 2015 was placed under intensive scrutiny by the de facto Crimean authorities. The request to assemble in front of the poet's statue in the Crimean capital Simferopol was turned down, and the organizers moved the event to another location where around 50 people chanted pro-Ukrainian slogans and wore Ukrainian symbols. Three people – Aleksandr Kravchenko, Vilidar Shukurjiev and Leonid Kuzmin – were subsequently detained for taking part in an "unlawful assembly". Leonid Kuzmin was later fired from the school where he was working as a history teacher, for behaviour "inconsistent with his position".

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Other human rights violations

Other human rights have been negatively affected in Crimea since its annexation by Russia, including the rights to freedom of peaceful assembly and of association, which have been significantly curtailed in line with the unduly restrictive Russian laws, and denied arbitrarily on numerous occasions to persons whose views were seen as pro-Ukrainian by the de facto authorities. There have also been confirmed and suspected cases of enforced disappearances, targeting ethnic Crimean Tatars (Amnesty International documented six such cases in 2014 – early 2015) and pro-Ukrainian activists.[4] No one of such cases has been effectively investigated, and no alleged perpetrators identified in spite of there being strong evidence in at least some cases, including video footage, implicating paramilitaries from the self-styled Crimean Self Defence groups.

Amnesty International urges the international community, including UNESCO, to monitor and report on all cases of violations and key human rights developments in Crimea, report all findings, and raise these in discussions with the Russian authorities at any bilateral and multilateral fora.

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[4] See Amnesty International, *Ukraine: One Year on: Violations of the rights to freedom of expression, assembly and association in Crimea*, 18 March 2015, (AI Index: EUR 50/1129/2015), https://www.amnesty.org/en/documents/EUR50/1129/2015/en/.

V.   PROPOSED DECISION

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

The Executive Board,

1.   <u>Having examined</u> document 199 EX/5 Part I (E),

2.   <u>Takes note</u> of the information provided therein,

3.   <u>Invites</u> the Director-General to report thereon at the 200th session of the Executive Board.

F.   Progress report on the implementation of the special post-conflict overall support programme for Côte d'Ivoire
(Follow-up to 191 EX/Decision 37 and 195 EX/Decision 5 (II, B))

Introduction

1.   The Executive Board, at its 195th session, requested the Director-General to support the efforts of Côte d'Ivoire to mobilize partners and extrabudgetary resources with a view to the effective implementation of the special post-conflict overall support programme for Côte d'Ivoire (195 EX/Decision 5 (II,B).

2.   UNESCO had adopted the special post-conflict overall support programme for Côte at the 34th session of the General Conference in 2007. The programme should have been executed in two phases, before and after the presidential election which, pursuant to the Ouagadougou Political Agreement of 4 March 2007, was due to take place on 30 November 2008. Implementation of the programme was hindered by changes to the electoral calendar.

3.   At the 36th session of General Conference, the Head of State of Côte d'Ivoire therefore requested that the programme be revitalized, taking into account the new dynamics of the country. Against that backdrop, a memorandum of understanding was signed by the President of the Republic of Côte d'Ivoire and the Director-General of UNESCO.

4.   A Headquarters agreement formalizing the opening of the UNESCO Office in Côte d'Ivoire was signed on 23 April 2013, and the Office opened in Abidjan on 13 September 2013. To coordinate the programme's implementation, an ad hoc committee composed of UNESCO and the Côte d'Ivoire National Commission for UNESCO was established to update the priorities identified in the programme and to guide the planning and implementation of UNESCO's interventions.

5.   The UNESCO intervention strategy rests on the priorities and needs of the Government embodied in the presidential emergency programme, the national development plan and other sectoral policy documents setting out the national priorities. The strategy also takes into account the international commitments that the country has entered into, on the one hand, and the United Nations Development Assistance Framework (UNDAF) on the other.

Implementation of the programme

(a)   Progress to date

6.   The special programme includes several segments related to UNESCO's fields of competence. The following activities have been carried out since July 2014:

Education:

−   support provided by UNESCO for the harmonization of technical education and vocational training programmes and the procurement and use of teaching materials;

−   technical support provided for a review of vocational training programmes and the development of a curriculum for the clothing manufacture sector;

−   support provided for the development of information and communication technologies (ICTs) to underpin institutional capacity-building in higher education in implementing the bachelor, master and doctorate (LMD) system in the West African Economic and Monetary Union (WAEMU) zone (the PADTICE project). Ivorian teachers and universities have gained access to cutting-edge equipment and training courses for distance

education and the creation of virtual universities to enhance and diversify training opportunities in higher education;

– education quality improved through the use of ICTs in training teachers and supervisory staff (China funds-in-trust (CFIT) project). To date, more than 500 teachers have been initiated in the use of ICTs and trained in the design of teaching aids, with a further 2,000 expected to do likewise by December 2016. One hundred and forty education supervisors have been trained in supervision and inspection techniques. A distance training platform has been established in Abidjan and linked up to ten training centres around the country for interactive, online, distance training courses.

Social and human sciences:

– seven modules of the Economic Community of West African States (ECOWAS) Reference Manual on education for peace and sustainable development translated into three codified national languages for use in literacy programmes;

– the Universal Declaration of Human Rights translated and published in the three major codified national languages;

– two hundred youth leaders trained to promote fair play and the culture of peace as a means of conflict resolution;

– two training courses carried out with a view to contributing to peaceful elections:

  ▪ the first for 80 youth association leaders who then went on to raise the awareness of the populations of the three largest municipalities of Abidjan on reconciliation, peaceful coexistence and social cohesion;

  ▪ the second for 20 youth association leaders on non-violence and conflict prevention at election time.

Culture:

– thirty-two culture ministry officials provided with training on the 1972 Convention for the Protection of the World Cultural and Natural Heritage;

– Technical support provided for the revision of the Tentative List to which two new properties have been added: Azagny National Park and the ancient northern ironworks complex;

– study under way to identify, promote and enhance the intangible cultural heritage of Côte d'Ivoire;

– study carried out and validated to inventory the intangible cultural heritage of the Dozo people with a view to enhancing the traditional functions and identities of the Dozo for the promotion of lasting peace between them and local populations, mainly in the west of the country.

Communication and information:

– capacity building provided to 35 community radio workers in drawing up broadcasting schedules and editing programmes that promote peace and reconciliation;

- training in election period monitoring provided to 50 monitoring officers from the National Press Council and the national press freedom, ethics and professional standards watchdog.

(b) Partnerships and resources mobilized

7. Partnerships have been developed with ministries, United Nations agencies and the private sector and make it possible to mobilize extrabudgetary resources for special programme activities (see the annexed table).

Challenges and suggestions for the future

8. The main challenge encountered in implementing the programme has been the lack of the necessary extrabudgetary financial resources. To facilitate the most effective implementation of the special programme possible, extrabudgetary fundraising efforts need to continue together with the quest for and/or strengthening of functional partnerships centring on projects that tally with the special programme's objectives.

9. The new priorities on which partners are asked to focus their attention have been incorporated into the national development programme for 2016-2020, which has just been validated by the Government and the partners. That programme will provide the basis for cooperation between UNESCO and Côte d'Ivoire.

Proposed decision

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

The Executive Board,

1. Having examined document 199 EX/5 Part I (F),

2. Takes note of its content.

ANNEX

Partnerships and resources mobilized in the period 2014-2015

Project/activity	Objective	Budget ($)	Source
Production of the Government report on the national education system	Produce an accurate assessment of the education/training sector for the development of management and programming tools	138,425	World Bank
Support confidence-building, coexistence and a stable security situation for peaceful elections in Côte d'Ivoire	Contribute to confidence-building and the promotion of peaceful coexistence for peaceful elections in Côte d'Ivoire	300,000	Peacebuilding Fund (PBF)
Ensure lasting peace and peaceful coexistence in northern, western and south-western parts of Côte d'Ivoire for the enhancement of the traditional functions and identities of the Dozo people	Promote lasting peace and peaceful coexistence between local populations and the Dozo people by enhancing the "Dozoya" brotherhood through activities to restore their intangible cultural heritage and support for arms collection to reduce insecurity in the target areas	190,748	United Nations Development Programme (UNDP)
Train media professionals for impartial coverage of the election process	Enable media professionals to acquire the ethical knowledge and benchmarks needed for impartial coverage of the election process	20,000	Press advocacy and development funds (Côte d'Ivoire Government)
Support for the development, procurement and use of teaching materials for technical education and vocational training	Harmonize the presentation of vocational training programmes	38,000	Capacity Building for Education for All programme (CapEFA)
Support for the development of training pathways and the introduction of the LMD system at Félix Houphouët-Boigny University	Develop educational ICTs to strengthen the capacities of higher education and research institutions in the implementation of the LMD system	250,000	West African Economic and Monetary Union (WAEMU)

G.   Recent decisions and activities of the organizations of the United Nations system of relevance to the work of UNESCO
(Follow-up to 124 EX/Dec.6.1, 167 EX/Dec.4.2)

70th session of the United Nations General Assembly

1.   UNESCO participated in the General Debate of the 70th session of the United Nations General Assembly (GA) held in New York, under the chairmanship of H.E. Mr Mogens Lykketoft (Denmark). The opening of the session took place on 15 September 2015, followed, in the second week, by the *United Nations Summit for the adoption of the post-2015 Development Agenda* (25-27 September, 2015).

2.   Within this context, the Director-General spoke at the "Post-2015 Dialogue 2 on Inequalities, empowering women and leaving no one behind" and took part in a number of high-level events in which she reaffirmed the importance of inclusive and quality education for all to achieve sustainable development as well as of investing in youth and access to quality education to counter violent extremism. She also raised the flag for protecting cultural heritage and fighting against the illicit trafficking of cultural objects as essential for peacebuilding and sustainable development. These included inter alia: the International Conference on Sustainable Development under the theme "Implementing the SDG's: Getting Started"; a High-Level Event on "Ensuring the Inclusion of the Right to Education in Emergencies in the Post-2015 Agenda"; a round table on "Conflict Antiquities: Forging a Public/Private Response to Save the Endangered Patrimony of Iraq and Syria" as well as the opening ceremony of the "Global Leaders' Meeting on Gender Equality and Women's Empowerment: A Commitment to Action"; the "Leaders' Summit on Countering ISIL and Violent Extremism"; the "Launch of the Broadband Gender Report on Combatting Online Violence against Women and Girls"; and together with Italy, Jordan, INTERPOL and UNODC, the launch of a partnership project on "Protecting Cultural Heritage – an Imperative for Humanity" that aims to rally multiple stakeholders to enhance the protection of cultural heritage and counter the illicit trafficking of cultural property.

3.   In addition, the Director-General opened the high-level event of the United Nations Secretary-General's Global Education First Initiative (GEFI), entitled "#Education First for Sustainable Development" which took place in the margins of the United Nations Sustainable Development Summit. She participated in a meeting hosted by the Global Business Coalition for Education on how the business sector can work with international donors and foundations to drive the policy, advocacy and delivery needed and make education a priority during emergencies.

4.   As mandated, UNESCO submitted to the General Assembly substantive reports on agenda items for which the Organization has a specific mandate or responsibility. The following reports were submitted, examined and served as a basis for the GA resolutions at that session:

- Report on return or restitution of cultural property to the countries of origin;

- Report on the promotion of a culture of peace and interreligious and intercultural dialogue, understanding and cooperation for peace;

- Report on the Review of the implementation of the United Nations Decade of Education for Sustainable Development, 2005-2014.

5.   At the time of drafting this report, the General Assembly has adopted the following resolutions (18) which refer to UNESCO's programmes and/or assign specific action(s) to the Organization:

- **Transforming our world: the 2030 Agenda for Sustainable Development (Res. 70/1)**. The Assembly decides to set up a Technology Facilitation Mechanism which will be composed of "a United Nations inter-agency task team [including

UNESCO] on science, technology and innovation for the Sustainable Development Goals, a collaborative multi-stakeholder forum on science, technology and innovation for the Sustainable Development Goals and an online platform".

– **Permanent memorial to and remembrance of the victims of slavery and the transatlantic slave trade (Res. 70/7)**. The Assembly recalls "that the permanent memorial initiative complements the work being done at UNESCO on the Slave Route Project…" and "expresses gratitude to the committee of interested States, drawn from all geographical regions of the world, […] with Member States from the Caribbean Community and the African Union playing a primary role, in collaboration with UNESCO …".

– **Promotion of interreligious and intercultural dialogue, understanding and cooperation for peace (Res. 70/19)**. Based on the relevant report prepared by UNESCO (see paragraph 4 above), the Assembly notes "the Unite for Heritage campaign launched by UNESCO in March 2015" and welcomes "the UNESCO conference on the theme 'Youth and the Internet: fighting radicalization and extremism' held in June 2015". It recognizes "the leading role of UNESCO on intercultural dialogue and its contribution to interreligious dialogue, as well as its activities related to the culture of peace and non-violence and its focus on concrete actions at the global, regional and subregional levels" and "encourages Member States and relevant intergovernmental and non-governmental organizations to further consider and carry out activities in support of the Action Plan for the International Decade for the Rapprochement of Cultures (2013-2022) […]".

– **Follow-up to the Declaration and Programme of Action on a Culture of Peace (Res. 70/20)**. By recalling the Constitution of UNESCO, the proclamation by UNESCO of 21 February as International Mother Language Day, and of 30 April as International Jazz Day, the Assembly "commends UNESCO for strengthening efforts to mobilize all relevant stakeholders within and outside the United Nations system in support of a culture of peace, and invites the Organization to continue to enhance communication and outreach".

– **Return or restitution of cultural property to the countries of origin (Res. 70/76)**. Based on the relevant Report prepared by UNESCO (see paragraph 4 above), the resolution refers extensively to UNESCO role and activities in this field. In particular, the Assembly "recognizes the leading role of UNESCO in combating trafficking in cultural property, including its specific mandate within the context of Security Council resolution 2199 (2015)" and "encourages the Organization to continue to strengthen cooperation and synergies in this field with other international bodies, including INTERPOL and UNODC". The Assembly also "takes note of the resolution adopted by the General Conference of UNESCO at its thirty-eighth session, in November 2015, on the reports by Member States on the measures taken for the implementation of the 1970 Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property" and "requests the Secretary-General to cooperate with UNESCO in its efforts to bring about the attainment of the objectives of the present resolution".

– **Questions relating to information: A. Information in the service of humanity; B. United Nations public information policies and activities (Res. 70/93)**. The Assembly "urges all countries, organizations of the United Nations system as a whole and all others concerned, […] to provide full support for the International Programme for the Development of Communication of UNESCO" and "encourages continued collaboration between the Department of Public Information and UNESCO in the promotion of culture and in the fields of education and communication, bridging the existing gap between the developed and the developing countries".

– **A world against violence and violent extremism (Res. 70/109)**. The Assembly "underlines the vital importance of education, including human rights education, as the most effective means of promoting tolerance, in preventing the spread of extremism […] and encourages all States, the specialized agencies of the United Nations and intergovernmental and non-governmental organizations to contribute actively to this endeavour".

– **Rights of the child (Res. 70/137) and The Girl Child (Res. 70/138)**. The Assembly requests "the Secretary-General […] to ensure that all organizations and bodies of the United Nations system, individually and collectively, in particular UNICEF, UNESCO […] take into account the rights and the particular needs of the girl child in country programmes of cooperation in accordance with national priorities, including through the United Nations Development Assistance Framework".

– **Human rights and cultural diversity (Res. 70/156)**. By referring to UNESCO legal instruments such as the Declaration of Principles of International Culture Cooperation (1966) and the Universal Declaration on Cultural Diversity (2001), the Assembly invites UNESCO to support initiatives aimed at promoting intercultural dialogue on human rights.

– **Combating intolerance, negative stereotyping, stigmatization, discrimination, incitement to violence and violence against persons, based on religion or belief (Res. 70/157)**. Welcoming the leading role of UNESCO in promoting intercultural dialogue, the Assembly stresses the importance of a continued and strengthened dialogue in all its forms and with broader participation, and welcomes different initiatives in this regard, including the programmes led by UNESCO.

– **The safety of journalists and the issue of impunity (Res. 70/162)**. The Assembly requests UNESCO to continue facilitating the implementation of the commemoration of the International Day to End Impunity for Crimes against Journalists in collaboration with Governments and relevant stakeholders. It encourages States to take the opportunity of the proclamation of 2 November as this International Day to raise awareness regarding the issue of the safety of journalists. The resolution "calls upon States to cooperate with relevant United Nations entities, in particular UNESCO […] and to share information on a voluntary basis on the status of investigations into attacks and violence against journalists" and "invites the relevant agencies […] to actively exchange information […] about the implementation of the United Nations Plan of Action on the Safety of Journalists and the Issue of Impunity […] under the overall coordination of UNESCO".

– **Thirteenth United Nations Congress on Crime Prevention and Criminal Justice (Res. 70/174)**. The Assembly strives "to strengthen and implement comprehensive crime prevention and criminal justice responses to illicit trafficking in cultural property […] in close cooperation with UNESCO, INTERPOL and other competent international organizations, with a view to ensuring coordination of efforts in fulfilment of their respective mandates".

– **Information and communications technologies for development (Res. 70/184)**. "Noting the holding of the World Summit on the Information Society Forum, jointly organized annually by ITU, UNCTAD, UNESCO and UNDP, the first 10-year review event of the World Summit on the Information Society, coordinated by UNESCO in Paris from 25 to 27 February, 2013 […], the establishment of the Broadband Commission for Digital Development", as well as the "Broadband targets for 2015", the Assembly "requests the Secretary-General to submit to the General Assembly at its seventy-first session […] the review process of the World Summit on the Information Society and other relevant processes".

–   **United Nations Decade of Education for Sustainable Development (2005-2014) (Res. 70/209)**. Having noted the report of the Director-General of UNESCO on the review of the implementation of the United Nations Decade of Education for Sustainable Development, 2005-2014, the Assembly invites UNESCO "to continue to provide coordination for the implementation of the Global Action Programme on Education for Sustainable Development, […] and to continue to advocate the importance of ensuring adequate resources for education for sustainable development […], to continue to provide support and assist Member States, upon their request, in developing their national capacities to promote education for sustainable development…" and also "to continue to assess, in consultation with Member States, progress towards the achievement of education for sustainable development".

–   **International Day of Women and Girls in Science (Res. 70/212)**. "Welcoming the efforts of UNESCO […] in supporting women scientists and in promoting the access of women and girls to and their participation in science, technology, engineering and mathematics education, training and research activities at all levels", the Assembly "invites UNESCO and UN-Women […] to work together to facilitate the implementation of the Day in collaboration with all relevant organizations already involved in the promotion of women and girls in science".

–   **Science, technology and innovation for development (Res. 70/213)**. The Assembly encourages UNCTAD, in collaboration with relevant partners, such as UNESCO "to continue to undertake science, technology and innovation policy reviews, with a view to assisting developing countries in identifying the measures that are needed to integrate science, technology and innovation policies into their national development strategies".

–   **Culture and sustainable development (Res.70/214)**. Recalling "the 2005 Convention on the Protection and Promotion of the Diversity of Cultural Expressions, as well as other international conventions of UNESCO that acknowledge cultural diversity and economic and social development" and taking note of the declaration adopted in 2014 at the third UNESCO World Forum on Culture and Cultural Industries, the Assembly "invites the organizations of the United Nations system, in particular UNESCO, to continue to provide support, to facilitate financing and to assist Member States, upon their request, in developing their national capacities to optimize the contribution of culture to sustainable development …" as well as "to continue to assess, in consultation with Member States, the contribution of culture to the achievement of sustainable development through the compilation of quantitative data".

–   **Oceans and the law of the sea (Res. A/RES/70/235)**. The resolution extensively refers on the work of the Intergovernmental Oceanographic Commission, particularly in the field of marine science and technology as well as capacity building on marine and ocean related issues.

Substantive Session of the Economic and Social Council (ECOSOC)

6.   UNESCO participated at the 2015 High-Level Segment of the Economic and Social Council (ECOSOC) held in New-York from 8 to 10 July, 2015. "Managing the transition from the Millennium Development Goals to the Sustainable Development Goals: what it will take", this year session was a major opportunity to take stock and discuss important issues for the way forward, in the eve of the adoption of the post-2015 Development Agenda. In addition, UNESCO also attended the High-Level Political Forum (HLPF) held from 26 June to 8 July, 2015, dedicated to the theme "Strengthening integration, implementation and review – the High-level Political Forum after 2015". On this occasion, the Director-General chaired a Ministerial Roundtable highlighting "The Critical Role of STI and the Science-Policy-Society Interface for the Successful Transition from MDGs to SDGs" and a Ministerial Roundtable on "Culture: The Key to a Successful Transition Towards the

Sustainable Development Goals" co-organized with UNFPA, UNDP and Peru as Chair of the Group of Friends for Culture and Development.

7.   The Director-General was furthermore invited to participate in the ECOSOC high-level retreat on the longer-term positioning of the United Nations development system, which was organized in May 2015, pursuant to ECOSOC resolution 2014/14, geared towards an improved strategic positioning of the United Nations development system to best support Member States in delivering on the 2030 Agenda for Sustainable Development.

8.   At the margins of the High-level Segment of ECOSOC, UNESCO co-organized with the United Nations Department of Public Information a round table discussion on "The General History of Africa: Learning and Teaching about African Heritage" that raised awareness of the importance of teaching the history of Africa at all levels within the educational system to combat racial prejudices and stereotypes against people of African descent.

9.   The following ECOSOC resolutions are of relevance for the work of UNESCO, and/or assign specific action(s) to the Organization:

–   **Thirteenth United Nations Congress on Crime Prevention and Criminal Justice (Res. 2015/19)**. The Council strives "to strengthen and implement comprehensive crime prevention and criminal justice responses to illicit trafficking in cultural property, in accordance with our commitments under international instruments, […] in close cooperation with UNESCO, INTERPOL and other competent international organizations, with a view to ensuring coordination of efforts in fulfilment of their respective mandates".

–   **Assessment of the progress made in the implementation of and follow-up to the outcomes of the World Summit on the Information Society (Res. 2015/26)**. The Council "notes with satisfaction the holding in Geneva, from 9 to 13 June 2014, of the high-level event on the 10-year review of the World Summit, organized by ITU, UNESCO, UNCTAD and UNDP, and its two outcome documents, namely, a statement on the implementation of World Summit outcomes, and a vision for the World Summit beyond 2015" and "further notes the holding of a 10-year review event of the World Summit, entitled "Towards knowledge societies for peace and sustainable development", coordinated by UNESCO in February 2013, and the final statement of the event".

Other relevant events and decisions

10.   On 12 February, 2015, the United Nations Security Council adopted the Resolution 2199 on financing terrorism, which entrusts UNESCO and INTERPOL with the responsibility of curbing the illicit trafficking of cultural objects. As a follow-up, on 27 April, the Director-General and the Secretary General of INTERPOL addressed members of the United Nations Security Council on "Combating the Destruction, Smuggling and Theft of Cultural Heritage" in countries where destruction of heritage, looting and illicit trafficking are used to fuel hatred and finance terrorism.

11.   The 59th session of the Commission on the Status of Women was held at the United Nations Headquarters from 6 to 12 March 2015. The Commission undertook a review of progress made in the implementation of the Beijing Declaration and Platform for Action, 20 years after its adoption at the Fourth World Conference on Women in 1995. On this occasion, the Director-General launched the new joint programme by UNESCO, UN Women, UNFPA and the World Bank for empowering adolescent girls and young women through education, and participated in several events focusing on the link between education and gender equality, including the High-Level Thematic Debate on "Advancing Gender Equality and Empowerment of Women and Girls for a Transformative Post-2015 development Agenda".

12.   On 28 May 2015, the General Assembly adopted with a broad range of co-sponsors its resolution "Saving the cultural heritage of Iraq" (A/69/281). On this occasion, the Director-General of UNESCO was invited to address the Assembly on the role and engagement of the Organization vis-à-vis the safeguarding of the Iraqi cultural heritage.

13.   UNESCO took part in the Third Financing for Development Conference (FfD3), which was opened by the United Nations Secretary-General and the Prime Minister of Ethiopia, on 13 July 2015 in Addis Ababa (Ethiopia). During a dedicated side event, the Director-General presented a joint statement in support of a new technology facilitation mechanism for science, technology and innovation (STI), co-organized by UNESCO, the inter-agency group, comprised of UNDESA, UNEP, UNIDO, UNESCO, UNCTAD, WIPO, ITU and the World Bank. Furthermore, UNESCO co-organized with the governments of Ethiopia, Republic of Korea and Norway, a side event entitled "The Investment Case for Education" during the FfD3. The Director-General, Minister of Education of Ethiopia, Ministers of Foreign Affairs of Republic of Korea and Norway, and the Board Chair of the Global Partnership for Education strongly presented the case for increased and more efficient financing for education as an imperative to achieve the 2030 Agenda for Sustainable Development agenda. At the round table on the "Global Partnership and the three dimensions of sustainable development," the Director-General noted the important role of specialized agencies in providing upstream support to Member States to build capacities, improve data collection and analysis, set standards and lead normative work – all of which are critical factors for accountability and effective delivery of the post-2015 agenda.

14.   Within the framework of the WSIS+10 Review High-Level Meeting on the implementation of the World Summit on the Information Society, held in December 2015 by the United Nations General Assembly, it was decided that UNESCO will ensure the 2016-17 chairmanship of the United Nations Group on the Information Society (UNGIS).

15.   On 17 December 2015, the United Nations Security Council unanimously adopted Resolution 2253 (2015) on "Threats to international peace and security caused by terrorist acts", expanding its sanctions framework to include Islamic State in Iraq and Levant. By "condemning the destruction of cultural heritage in Iraq and Syria particularly by ISIL and ANF, […] and recalling its decision that all Member States shall take appropriate steps to prevent the trade in Iraqi and Syrian cultural property […], including by prohibiting cross-border trade in such items, thereby allowing for their eventual safe return to the Iraqi and Syrian people", the resolution tasks the United Nations Security Council Sanctions Monitoring Team with consulting relevant organizations, namely UNESCO, through "regular dialogue with representatives in New York and in capitals, […] especially regarding any issues that might be reflected in the Monitoring Team's reports […] such as gaps and challenges in States' implementation of the measures in this resolution".

16.   Throughout 2015, UNESCO has been working in close collaboration with the French authorities to prepare the United Nations' Conference on Climate Change (COP 21), held in Paris from 30 November to 11 December, 2015. "Changing minds, not the climate" has been UNESCO's motto at COP 21. The Director-General mobilized UNESCO's sectors, programmes and networks very early in the process, established an inter-sectoral Task Force in charge of coordinating UNESCO's action for COP 21. The Organization's programmes and expertise were showcased in a wide range of side events in the lead up to and during the Conference, highlighting the potential of the natural and social sciences, ocean research, education and culture.

17.   Key events at UNESCO Headquartersincluded the largest scientific conference on climate change, with more than 2,200 participants from 100 countries; the World Oceans Day, which paved the way to greater inclusion of Oceans into climate discussions; the Business and Climate Summit, displaying existing solutions and future challenges for a sustainable economy; and the Conference "Resilience in a time of uncertainty: Indigenous peoples and climate change". At the COP 21, UNESCO took part in the "One UN" exhibition in the negotiation zone and a 100 m² UNESCO Pavilion in the "Espace Générations Climats" allowed for showcasing all UNESCO's programmes related to climate change. On 4 December 2015, a high-level "Thematic Day" on

Climate Change Education was organized at COP 21 to showcase good practices and lessons learned in this field, aimed at promoting changes in lifestyles, attitudes and behaviour needed to foster sustainable development. The Thematic Day's ministerial segment, organized by the Government of France, included the participation of ministers of education from various countries.

18. The success of UNESCO's COP21-related work not only reasserted UNESCO's position as the United Nations science and awareness-raising organization, but also emphasized that the fight against climate change could only be led through an inclusive process which would bring together the policy-makers, scientists and civil societies. In this perspective, the General Conference adopted at its 38th session a resolution on the contribution by UNESCO to combatting climate change, endorsing UNESCO's mandate in the fight against climate change and its role in COP 21 follow-up, in the preparation of COP 22, and in addressing SDG 13 "Climate Action".

Proposed decision

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

The Executive Board,

1.   <u>Having examined</u> document 199 EX/5 Part I (G) and the overview of recent decisions and activities of the organizations of the United Nations system of relevance to the work of UNESCO,

2.   <u>Takes note</u> of its content.

United Nations
Educational, Scientific and
Cultural Organization

PARIS, 4 March 2016
Original: English

<u>Item **5** of the provisional agenda</u>

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

PART II

MANAGEMENT ISSUES

SUMMARY

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

Part II contains information on the following management issues:

A. **Schedule and workload of Executive Board sessions**

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

B. **Publication and distribution plan for the biennium**

Action expected of the Executive Board: Proposed decision in paragraph 7.

C. **Sustainability of the current field network under the $507 million expenditure plan**

Pursuant to 196 EX/Decision 5 (IV, B), the Director-General presents herein the report on the sustainability of the field network against the backdrop of the 2030 Agenda for sustainable development, the current situation of the field network inclusive of needs and challenges, and suggestion for ways forward.

Action expected of the Executive Board: Proposed decision in paragraph 47.

D.   Invest for Efficient Delivery

In response to 197 EX/Decision 5 (IV,D.), the Director-General presents her detailed and proposed plans as identified by the main lines of strategic results to be achieved under the Invest for Efficient Delivery Plan, as well as a set of preliminary proposals to be further elaborated and submitted to the 200th session of the Executive Board.

Action expected of the Executive Board: Proposed decision in paragraph 11.

E.   Proposal for presenting the performance indicators (PI) and targets related to the Global Priorities Africa and Gender Equality

Pursuant to 197 EX/Decision 5 (IV, F), the Director-General submits herein her proposal for mainstreaming and presenting the performance indicators and targets related to the Global Priorities Africa and Gender Equality in a way that increases their systematic and effective consideration in programming.

Action expected of the Executive Board: Proposed decision in paragraph 8.

F.   Structured Financing Dialogue

Taking into account the resolution of the United Nations General Assembly on the quadrennial comprehensive policy review which requested *inter alia* the organization of structured dialogues (67/226, para. 46), and pursuant to (197 EX/Decision 5 (IV, B) the Director-General presents proposals for the phased approach to the introduction of structured financing dialogues at UNESCO. It is noted that an integrated budgetary framework appears essential to facilitate and to inform the proposed dialogues on financing and analyses the benefits thereof.

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

TABLE OF CONTENTS

A. Schedule and workload of Executive Board sessions
(Follow-up to 184 EX/Decision 17, 192 EX/Decision 16 (VII), 195 EX/Decision 5 (IV, E), 196 EX/Decision 5 (IV, C) and 197 EX/Decision 5 (IV, G))

1. The Special Committee of the Executive Board met on 8 and 9 October 2015 at its 197th session to consider the items on its agenda. On this occasion the Committee examined document 197 EX/5 Part IV (G) on the "Schedule and Workload of Executive Board Sessions" and as presented in the Report of the Special Committee (document 197 EX/51), the Committee recommended amendments to the draft decision concerning the presentation of documents and decisions, and on the timetable, agenda and organization of debates.

2. The Committee recalled 37 C/Resolution 96 concerning the audit report on governance reform, requesting its presentation at the 197th session of the Executive Board, in order to recommend relevant follow-up measures to the 38th General Conference of UNESCO. On this basis, the General Conference at its 38th session in November 2015 adopted 38 C/Resolution 101 on governance, procedures and working methods of the governing bodies.

3. Further to decision 197 EX/Decision 5 (IV, G) the Board adopted to examine the following proposals at the 199th session:

I. Presentation of documents and decisions

(a) introduce as standard practice the online publication of draft decisions and amendments by Member States as soon as submitted, and to present them in a single list on the UNESCO website in the same form as the lists of main series (EX) and information (INF) documents;

(b) improve, from its 199th session and following informal consultations with Member States, the traceability of documents (such as the EX/5 documents) which have a number of parts (for instance, EX/5 Part I) that are divided into sections (for instance, EX/5 Part I, E) inter alia by creating a hyperlink for each part and issuing an alert whenever the document is updated;

(c) ensure that there is a draft decision for each item and sub-item on its agenda[1];

(d) recalling 170 EX/Decision 5.1, by which it adopted a new Rule 34A in its Rules of Procedure, stipulating that "the Executive Board shall not take a decision involving expenditure unless it has before it a report from the Director-General on the administrative and financial implications of the proposal", and invites the Director-General to continue presenting his/her comments in accordance with Rule 34A and at least 48 hours in advance of consideration of the proposal, with information on the anticipated staff, regular budget and extrabudgetary resources which would be required, even if there are no financial implications for the regular budget;

(e) request that paper versions of Executive Board documents should no longer be distributed to those Member States which have opted out of receiving such documents, or in the room where Executive Board meetings take place;

Implementation of proposals

4. Following the practice by the General Conference, once finalized and published, draft decisions and amendments submitted by Member States concerning an item on the agenda of the Executive Board session will be placed online on the UNESCO website in the same form as the lists of main series (EX) and information (INF) documents. The final version of the decision will be

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[1]   See 197 EX/Decision 5 (IV, G, I, 6).

reflected in the document containing the complete set of decisions of the Board for that session (EX/Decision).

5.   To bring about improvements and to allow for a greater traceability of sub-elements, in so far as possible, the Secretariat will introduce online for the EX/4 and EX/5 documents, a detailed listing of the document showing separately each part of the document, including a hyperlink, with update alerts as well as a table of content on these two documents. Efforts are also being made through technical solutions to better trace documents. Board documents will receive a QR (Quick Read) code that will enable readers by scanning this code to have an electronic access online to all language versions of this document. As proposed, draft decisions will be included for each item and sub-item on the agenda.

6.   Changes in the overall functioning of the Board's working methods have identified cost savings in the Secretariat's efforts to reduce the production of hard-copy documents. This has included the possibility of opting out of receiving Board documents in paper versions, if desired. Members of the Executive Board and other Member States have been contacted to update their profile regarding the reception of paper copies of pre-session Executive Board documents. On 20 February, 15 Members of the Executive Board and 16 other Member States confirmed that they no longer wished to receive paper copies. Members States who confirmed their wish to receive paper versions of documents will continue to receive only one copy in one language. This is an ongoing and standard practice in efforts to identify savings in the functioning of the Board. Documents classified as "confidential" and (printed on yellow paper) will continue to be distributed in paper version only.

7.   The General Conference follows the same procedure. Efforts to reduce costs and paper production include limiting their translation to English and French only whenever possible (i.e. INF documents, annexes, charts, and tables). In addition, by posting more documents online, by encouraging the Secretariat to include select information that it wishes to bring to the attention of the Executive Board in the EX/4 document, and by a better rationalization and regrouping of items. The publication of full external audit reports as INF documents in addition to the short-form audit Board reports, have helped to generate cost savings. Overall, substantial savings have been made over the past years concerning the printing of documents.

8.   Pursuant to 197 EX/Decision 5 (IV, G), the Board also adopted to examine the following proposals at this session:

II.   Timetable, agenda and organization of debates

(a)   encourage the Bureau and the Chairs of the commissions, committees and the Preparatory Group to propose moving directly to the examination of draft decisions more often, when appropriate and feasible, unless requested otherwise by Member States;

(b)   request the Special Committee, in consultation with the Secretariat, to present a proposal concerning the periodicity of agenda items and the streamlining of follow-up reporting mechanisms, with a view to facilitating the treatment of items during the course of the biennium, taking into account relevant previous decisions of the Executive Board;

(c)   underline the need to improve further the mechanism for the selection of items to be included in the agenda of the Preparatory Group reflecting its terms of reference, in particular regarding evaluations and the related policy recommendations and the planning of the future programme cycle;

(d)   continue at its 199th session the examination of proposals for the schedule and workload of the Executive Board sessions for the 2016-2017 biennium, taking into account the debate thereon at its 197th session;

(e)   include in the agenda of the next session of the Special Committee an item relating to the organization of the General Conference, taking into account the move to a four-year programme cycle, with a view to evaluating the 38th session of the General Conference, and to starting a dialogue on the preparation of future intermediate sessions of the General Conference at which it will be required to adopt only the budget.

Implementation of proposals

9.   Pursuant to 197 EX/Decision 44 (paragraph 11), Preparatory Group and information meetings between the Director-General and the Executive Board have been suspended on a trial basis during the 2016-2017 biennium. In view that this decision also requests the Chairperson of the Executive Board, in consultation with the Director-General, to organize "intersessional" meetings of the Board (in principle six times per year on a trial basis) during this period, the above proposals concerning the timetable, agenda and organization of debates will be considered during the intersessional meetings. This includes proposals on moving directly to the examination of draft decisions more often, when appropriate and feasible unless requested otherwise by Member States. Also to be discussed are proposed items which would not require a debate, proposed items which would require a substantial debate, as well as the submission of possible new items to the Board by Member States. The need for a debate on other items will depend on the content of the document and draft decision. These meetings will be open to Members of the Board and to Member States non-Member of the Board as observers with enhanced participation status, and to the Secretariat.

Proposed decision

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

The Executive Board,

1.   Recalling 184 EX/Decision 17, 192 EX/Decision 16 (VII), 195 EX/Decision 5 (IV, E), 196 EX/Decision 5 (IV, C) and 197 EX/Decision 5 (IV, G);

2.   Having examined document 199 EX/5 Part II (A);

3.   Takes note of its content.

B.   Publication and distribution plan for the biennium
        (Follow-up to 179 EX/Decision 31 (I), 194 EX/Decision 5 (II, B))

1.   Following 179 EX/Decision 31 (I), the Director-General submits to the Executive Board at its 199th session the following progress report on the application of its decisions and the Preliminary List of Publications for 2016-2017.

2.   There has been a 24% reduction in the number of proposed publications compared to the previous biennium. Some 288 publications are proposed for the current Publications Plan compared to 376 proposed for 2014-2015, 470 in 2012-2013 and 805 in 2010-2011. This means that the Organization is producing approximately one-third of what it was producing 6 years ago, whilst quality has been improved due to the systematic monitoring of programmatic and audience pertinence, editorial coherence, peer review processes, gender equality and outreach potential.

3.   The Education Sector has the highest number of proposals with some 168 publications (58.3%) and the Natural Sciences Sector comes as the second highest with 38 publications (13.2%). The Culture Sector proposes 33 publications (11.5%), the Communication and Information Sector 31 (10.8%), and the Social and Human Sciences Sector proposes 18 publications (6.2%).

4.   For 2016-2017, approximately 48% of publication proposals are from Headquarters, 32% from Field Offices and 20% from Institutes. English is still by far the first publishing language of most publications with more than 80% of publications available in English first (even if translations are foreseen later). Continued pressure from the Publications Board has nonetheless resulted in an increase in publishing in multiple languages; in the 2014-2015 biennium some 68% of publications were issued in more than one language.

5.   The Publications Board was established on 9 May 2011 by the Director-General to guide and strengthen publishing activities at Headquarters and in the field. In the 2014-2015 biennium, the Publications Board met 23 times in total. A total of 271 proposals were reviewed by the Publications Board in the biennium, 18% of submissions were either rejected or returned to the sectors for revision and resubmission.

6.   The preliminary list of publications for 2016-2017 is available online at the following link:
        http://unesdoc.unesco.org/images/0024/002436/243674M.pdf

Proposed decision

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

      The Executive Board,

      1.   Having examined document 199 EX/5 Part II (B),

      2.   Takes note of its content.

C. **Sustainability of the current field network under the $507 million expenditure plan**
(Follow-up to 196 EX/Decision 5 (IV, B))

INTRODUCTION

1.   At its 196th session, the Executive Board adopted decision 196 EX/Decision 5 (IV. B) requesting the Director-General to report to it at its 199th session on the progress achieved in the reform of the field network, including an analysis of the sustainability of the network, the status of implementation of the regular programme resources and the level of mobilization of extrabudgetary resources. This report analyses the sustainability of the field network within the context of the new global sustainable development agenda.

AGENDA 2030 AND THE RELEVANCE OF THE FIELD NETWORK

2.   The existence of a strong and sustainable field network is essential to UNESCO's mission. The relevance and depth of UNESCO's action depends on its field presence, experience and expertise. As an intergovernmental specialized organization with a universal mandate, UNESCO gives priority to the formulation of global strategies as a response to global problems. Such strategies can only be effective if they are responding to concrete needs and are based on expertise at the regional and national levels. Strategies need to be implemented through concrete actions which address Member States' specific needs and local realities and are supported by an efficient, effective and gender responsive sustainable field network. This has also been one of the recommendations of the Independent External Evaluation highlighting that "UNESCO should position itself closer to country needs, resources and partners, in order to ensure its relevance, effectiveness and impact"[2].

3.   The field network gains increased relevance with the 2030 Agenda for Sustainable Development, which the UN General Assembly adopted in 2015. UNESCO is set to adapt its strategy, programmes and activities so as to support Member States in the effective and structured delivery of the sustainable development goals and their corresponding targets. The Agenda 2030 places preeminence on national level development and ownership, and priority of interventions at that level should be heightened.

4.   This will strongly influence the preparation of the Draft Programme and Budget for 2018-2021 (39 C/5) and its implementation at the regional and country levels, with sectoral strategies as follows:

    (a)   **Major Programme I - Education:** UNESCO is working with all partners taking account of the UN guidance on mainstreaming SDGs to build a common understanding of SDG 4 and to set a foundation for supporting its implementation based on the Education 2030 Framework for Action (FFA). Based on regional consultations, UNESCO will support implementation by working within regional structures led by thematic regional bureaux, in collaboration with UN Regional Commissions. To this end, regional technical groups supported by thematic regional bureaux, HQ and Institutes will support mapping of national policy priorities and planning cycles to align national education sector plans with SDG 4 and its targets and focus areas; provide technical assistance to Member States on indicator development linking global and national indicators and identifying data needs; provide capacity development in sector planning and management aligned to SDG 4 and national priorities; and facilitate necessary adjustment/development of regional and national coordination, partnership, monitoring and follow-up mechanisms. At the national level, UNESCO will support consultations and technical work to enable countries to address the alignment of SDG 4 with coordination, management and monitoring of their education sector plans. It will also

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[2]   Report on the Independent External Evaluation of UNESCO 185 EX/18 (2010).

provide support to ensure SDG 4 alignment with all other SDGs, particularly through robust engagement in UNCTs and UNDAF processes in line with overall guidance for implementation of all SDGs.

(b) **Major Programme II - Natural sciences:** UNESCO's action at the country and regional levels will focus on SDG 6 on water and sanitation, SDG 7 on energy, SDG 9 on innovation, SDG 13 on climate change, SDG 15 on the conservation of terrestrial ecosystems and above all SDG 17 on the means of Implementation through STI and capacity building. Action towards implementation will reflect regional and national specificities and the challenges of Member States. The field network has a vital role to play to break down the Agenda 2030 to the regional and national level and to adapt programmes and support to Member States' specific situations. The Regional Bureaux for Sciences will define regional strategies based on their experience on the ground. At the same time, the Natural Sciences Sector is carrying out a mapping exercise of all of its activities in 38 C/5, including activities in the field to match them against the SDGs and their targets.

(c) **Major Programme III - Social and human sciences**: UNESCO's action at the country level is set within Strategic Objective 6 of the Medium-Term Strategy (37 C/4) "Supporting inclusive social development, fostering intercultural dialogue for the rapprochement of cultures and promoting ethical principles" and responds to the Agenda 2030 with particular relation to SDG 16, targets 6 and 7[3]. Activities reflect the strong linkages of SDG 16 with other goals such as ensuring inclusive education (SDG 4), ensuring healthy lives (SDG 3), making cities inclusive (SDG 11), adapting to climate change (SDG 13) and achieving gender equality (SDG 5). The field network is instrumental in mobilizing knowledge and values in dialogue with national stakeholders to equip each society to understand the challenges it faces and transform itself in response. Field activities will aim at revitalizing approaches, partnerships and outcomes at the country level and mobilize knowledge and values in dialogue with UNESCO's stakeholders, ensuring a strong connection between research in the social sciences and humanities and its application to concrete social issues framed by national policy priorities. Particular emphasis is put on youth engagement in social transformation. UNESCO also provides technical support and capacity building for participatory and inclusive policy formulation at both national and city levels, with a major role for foresight; for the strengthening of institutions to promote ethical principles; and for physical education and sport as modalities of inclusive social development.

(d) **Major Programme IV - Culture:** The field network will be instrumental in enhancing the evidence base on the implementation of the main entry points for culture in the Agenda 2030, which currently feature within the framework of nine SDGs related to education, the environment, economic growth and sustainable consumption and production patterns, sustainable cities, peaceful and inclusive societies, and food security. In particular, the Agenda 2030 fully dedicates one of its targets to the protection and safeguarding of cultural and natural heritage within the SDG on sustainable cities (11.4) for which UNESCO holds specific accountability responsibility. Another target (16.4) under SDG 16 addresses the recovery and return of stolen assets, thereby providing an important entry point for UNESCO's work in the prevention of illicit trafficking of cultural property, of particular relevance owing to the enhanced role that the Organization is called to play in response to the multiplication of conflicts and sharp rise in such activity. Building on its longstanding expertise and UNESCO's strong normative apparatus in the field of culture, the field network will provide policy recommendations to support Member States in the implementation of

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3   Target 16.6: Develop effective, accountable and transparent institutions at all levels; Target 16.7: Ensure responsive, inclusive, participatory and representative decision making at all levels

the Agenda. In addition, the field network will be key to contribute to the Organization's reporting on the implementation of the culture-related entry points of the Agenda, notably through enhanced internal knowledge management to highlight the culture programme results-delivery on the ground.

(e) **Major Programme V - Communication and information**: Access to information and fundamental freedom are vital for achieving the SDGs and consistent with the mandate of Major Programme V. The field office network will be essential for the successful strategic implementation of Major Programme V relating to SDGs 4, 5, 8, 9 and 16. This collaboration will be necessary for the strengthening of relationships with the National Commissions, universities, UNESCO Chairs, category 2 centres and other partners. Through information meetings with field offices, CI management and technical expertise, the CI Sector will further develop national and regional strategies, which will focus on promoting freedom of expression and building knowledge societies. This interface will also be useful in upgrading the Sector's fundraising strategy and the identification of new partners and donors. Recognizing that action at the field level is conducive to inter-sectoral collaboration, the Sector will continue to organize coordination meetings to focus on best practices as well as promoting collaboration across field offices.

SITUATION OF THE FIELD NETWORK

5.   Recognizing the importance of UNESCO's presence at the field level, the Organization has continuously adapted its decentralized system. An important step was the analysis of its field operations within the framework of an overarching reform that culminated in 2009 in a substantial review of its decentralization strategy.[4] This led to the approval by the General Conference, at its 36th session, of the comprehensive reform of the field network with three main objectives: (i) enhance the quality and the efficiency of service delivery to Member States (ii) ensure a more flexible and visible presence at the regional and country levels and (iii) contribute to a greater United Nations system-wide coherence.

6.   The present reform endeavor is heavily being challenged by the budgetary precarious financial situation that since 2011 has been impacting the work of the Organization, putting into question the sustainability of the field network. This not only resulted in limiting the geographical scope of field network reform to one region, Africa, and halting the roll-out of the reform to other regions with the consequence of two parallel field structures. It also increased the challenge to ensure the sustainability of UNESCOs field network as a whole.

Present field presence

7.   At present, UNESCO has 53 field offices (including four liaison offices) in comparison to 74 field offices (including four liaison offices) in 2001. An updated list of field offices with their geographical coverage appears in Annex III. A comparison with the field presence of other United Nations specialized agencies, funds and programmes (Annex IV) indicates the relatively lean size of the UNESCO field network.

8.   With the exception of the Africa region, the field structure follows the previous decentralization strategy and implementation action plan based on the three-tier approach, as approved by the Executive Board in 2000-2001. This approach consists of cluster offices, each serving a manageable number of Member States in all UNESCO fields of competence backed by thematic regional bureaux, and supported by a number of national offices established on the basic of specific efficiency criteria approved by the General Conference (E-9 countries, countries in transition or countries experiencing conflict or post conflict situations). Cluster offices were conceived as main programme delivery platforms supporting sub regional approaches as well

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4   182 EX/6 Part II.

country level action. Directors of cluster offices perform representational functions in each Member State under the cluster coverage. National offices ensure country level actions and representational functions in the Member State. Thematic regional bureaux were conceived as sources of sectoral programme expertise and support and have conceptual and monitoring responsibilities for programmes of regional scope carried out by cluster offices. This three-tier approach has accountability and reporting weaknesses and a lack of clarity in mandates of cluster offices, and in the functions and the operational scope of the thematic regional bureaux, as also pointed out in reports of the External Auditor.

Africa

9.   As a result of the reform of the field network in Africa, there are five Multisectoral Regional Offices (MROs) in Dakar, Harare, Abuja, Nairobi and Yaoundé that ensure oversight and coordination of programme design, implementation, monitoring, evaluation and reporting in collaboration with Headquarters and national offices. They also play an expanded role in strategic analysis and policy development. The 11 national offices, under technical oversight and authority of the MROs are mandated to enhance UNESCO's support to national development priorities and are responsible and accountable for the development and delivery of UNESCO's programmes. The national office in Addis Ababa also has the mandate of liaison office to the African Union and United Nations Economic Commission for Africa. The total amount of funds available to the field offices in Africa in 2014-2015 (including regular programme decentralized budget, extrabudgetary resources (expenditures) and in-kind contributions) correspond to 23% of total decentralized funds with detailed breakdown demonstrated in Chart 1. The five MROs have the highest levels of fund decentralization consistent with the fund decentralization strategy applied by programme sectors and reflecting stronger staffing capacity favorable to more effective fund mobilization to the high needs in all areas of Agenda 2030. Emerging opportunities for self-benefiting programmes are also being discussed.

Chart 1 - Africa (Funds)
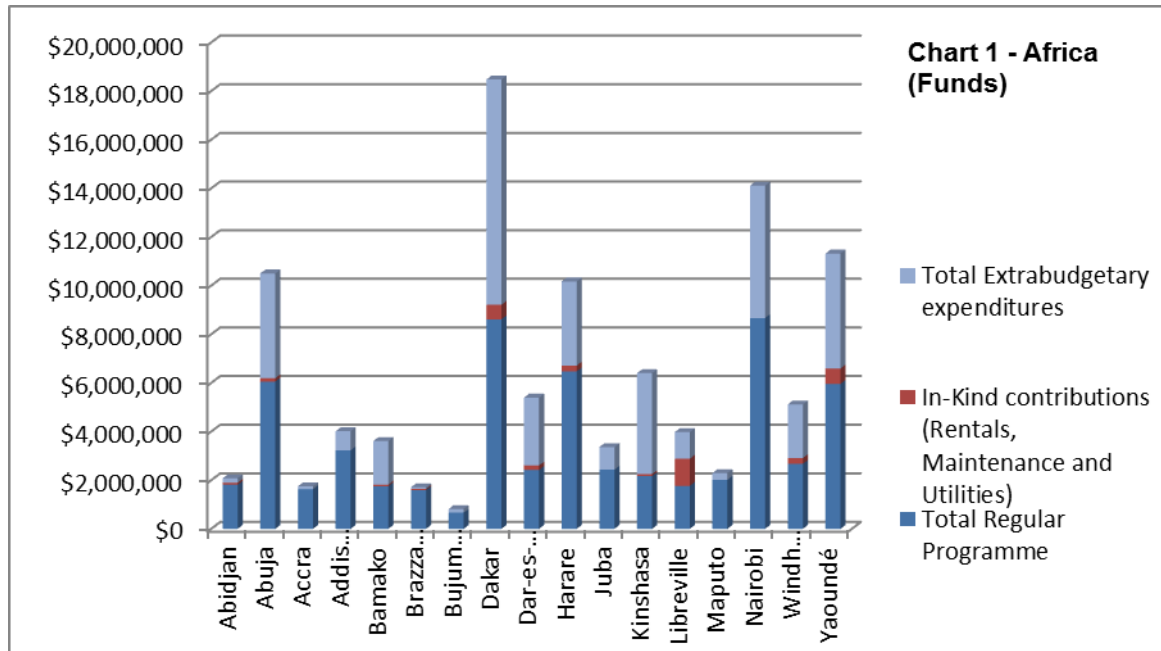
10.   Chart 2 reflects the total workforce by end December 2015 including, on the one hand, staff on established posts funded by the regular budget and extrabudgetary funds[5], and on the other hand, under the generic term "Other contracts" the individuals on project appointments (PA),

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[5]   These also included the local field posts (NO/G) funded by the Emergency funds and considered temporary for administrative purposes. The majority of these posts have since been converted into established posts in the 38 C/5.

temporary appointments, junior professional officers (JPO), secondments and service contracts (SC) funded by the regular budget and the extrabudgetary funds.

AFRICA

Other contracts EXB
178
39%

Established Posts* RP
214
46%

Established posts
216
(46%)

Other contracts**
245
(54%)

Extablished Posts EXB
2
0%

Other contracts RP
67
15%
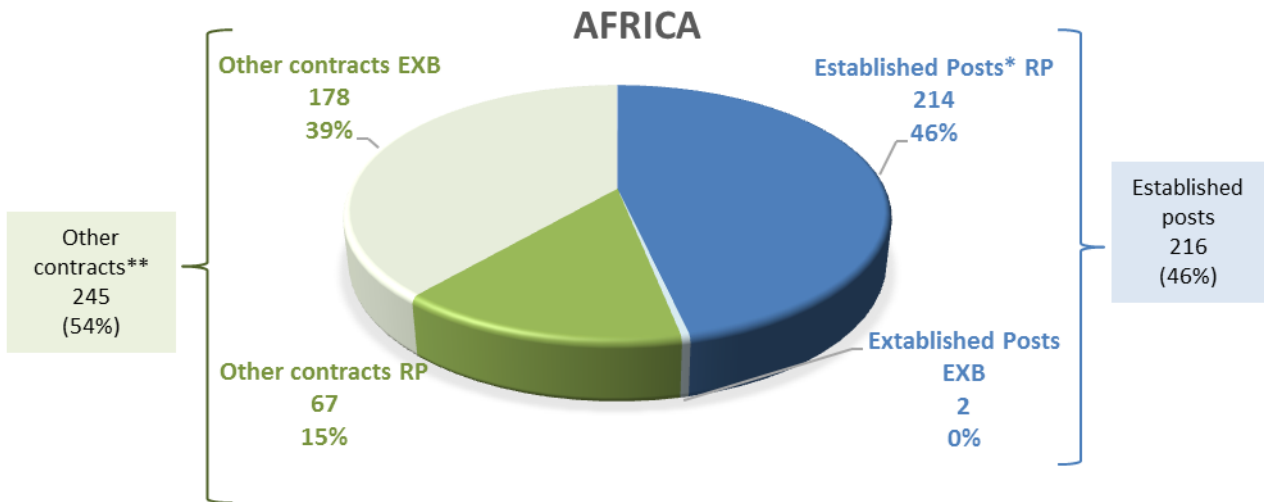
Chart 2 – Africa (Staff)

Arab States

11. The structure of the field network in the Arab States consists of four cluster offices, with two of them also carrying the function of thematic regional bureaux (Beirut Office for Education and Cairo Office for Sciences) and four national offices. The proportion of funds decentralized to these field offices represents 15% of the total amount of decentralized funds and is proportional to the size of the field presence in the region with detailed breakdown demonstrated in Chart 3. The highest amount of decentralized funds is being implemented by three locations (Baghdad, Ramallah and Amman). Extrabudgetary funding trends point upwards due to the ongoing conflict and population displacement in the region. The recent Syria appeal included significant funding for out-of-school children from the conflict zone.

Chart 3 - Arab States (funds)

Legend:
- Total Extrabudgetary expenditures
- In-Kind contributions (Rentals, Maintenance and Utilities)
- Total Regular Programme
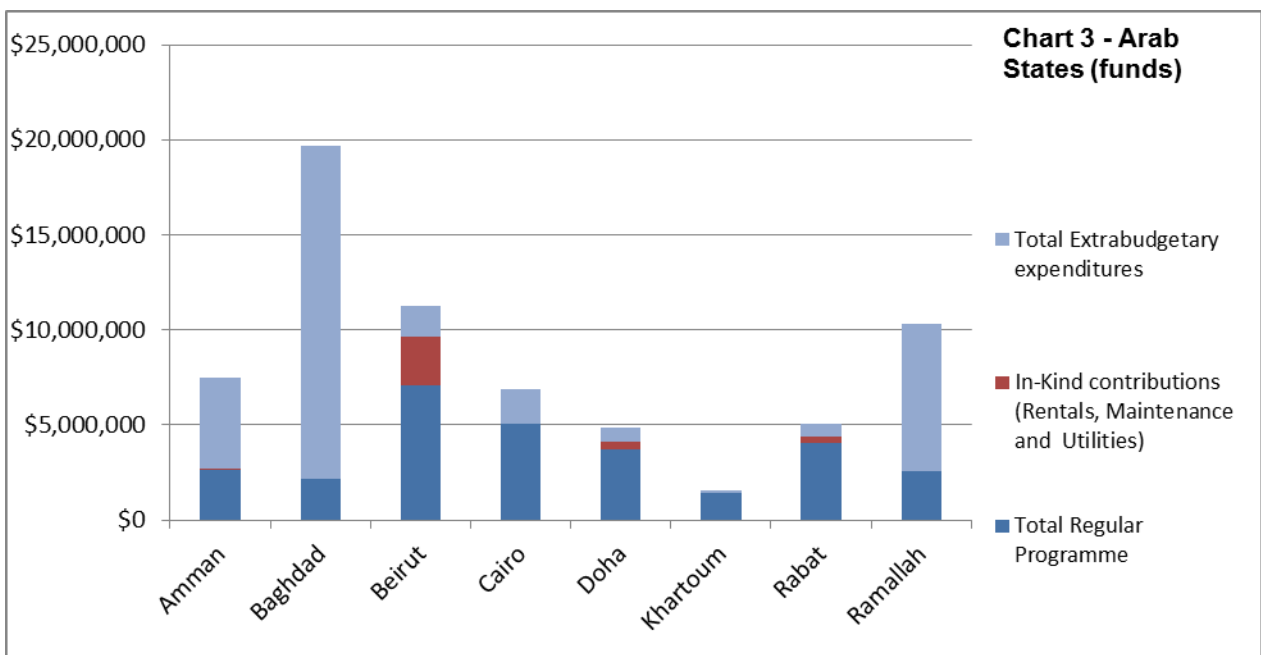
12. The higher ratio of regular budget staff to extrabudgetary staff in this region is mostly due to the large emergency portfolios in Baghdad and Ramallah. Graph 4 reflects the total workforce by

end December 2015 including, on the one hand, staff on established posts funded by the regular budget and extrabudgetary funds, [6] and, on the other hand, under the generic term "Other contracts" the individuals on project appointments (PA), temporary appointments, junior professional officers (JPO), secondments and service contracts (SC) funded by the regular budget and the extrabudgetary funds.
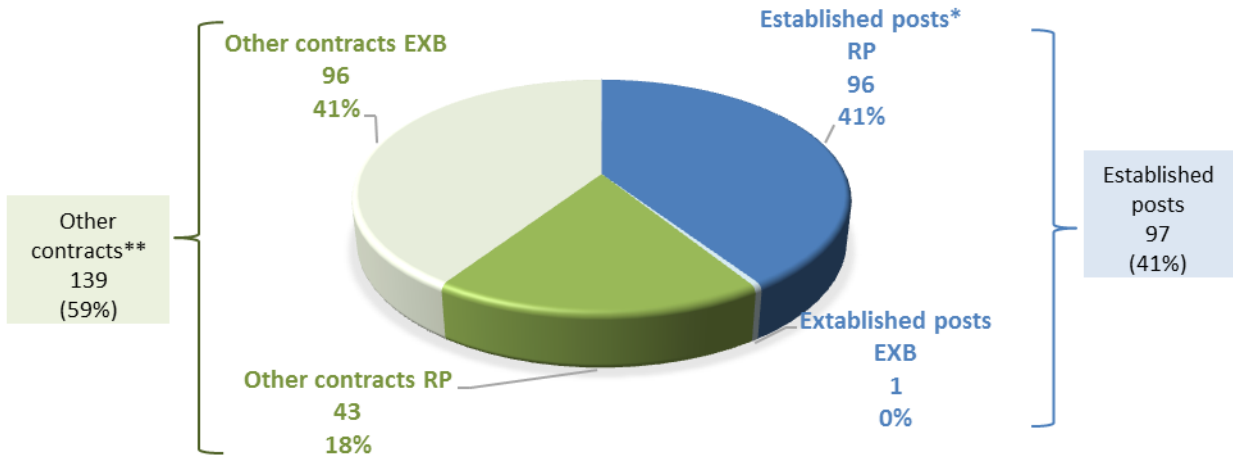
Chart 4 - Arab States (staff)

Asia and the Pacific

13.   The regional field network in Asia and the Pacific is composed of seven cluster offices (two of which with regional bureau functions – Bangkok and Jakarta) and seven national offices. The total decentralized funds to the region amount to 23% of the total amount of decentralized funds and are distributed as per Chart 5. The Bangkok Office, due to its important regional coordination educational capacity, and Kabul Office with the high volume of the mobilized extrabudgetary funds, stand out as the two field offices in the region with the highest funding. Implementation of the Agenda 2030 will require an enhanced focus on disaster risk reduction, climate change and SIDS in this region and UNESCO's field offices are well positioned to support.

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[6]   These also included the local field posts (NO/G) funded by the emergency funds and considered temporary for administrative purposes. The majority of these posts have since been converted into established posts in the 38 C/5.

Chart 5 - Asia and the Pacific (funds)
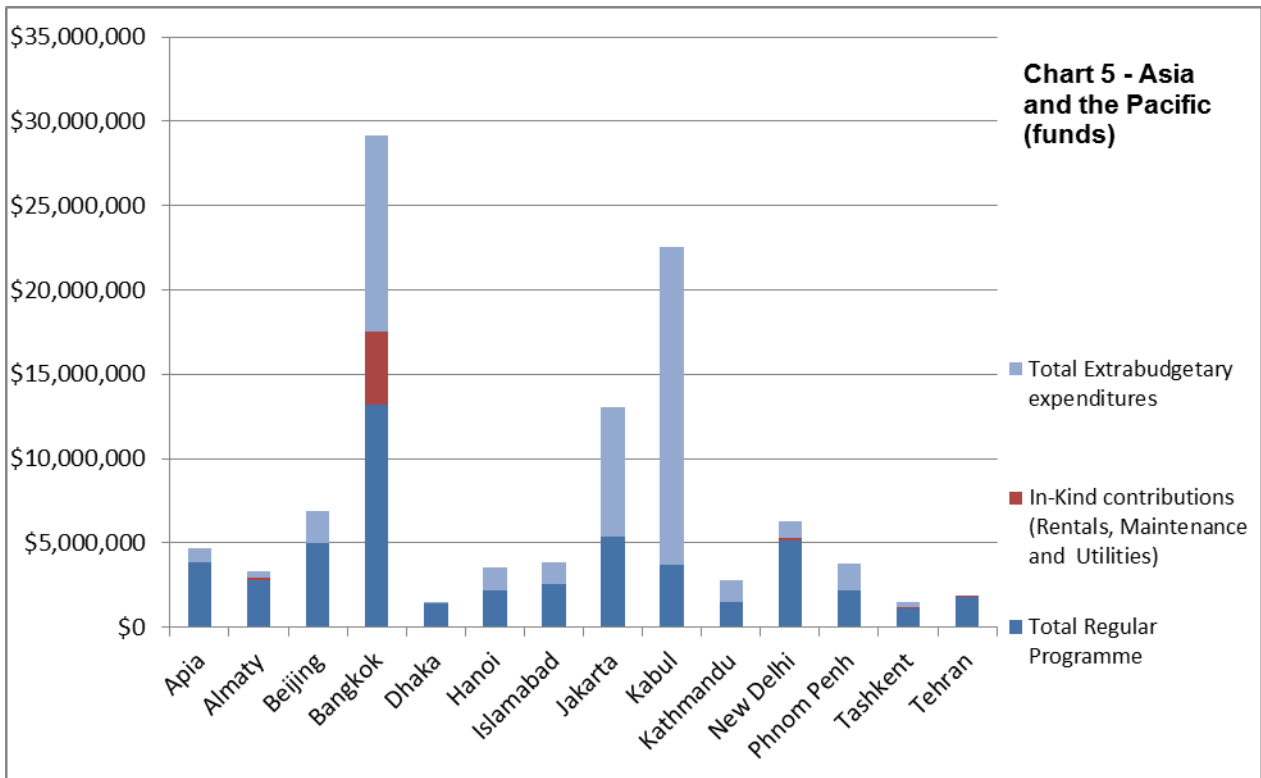
14.   Chart 6 reflects the total workforce by end December 2015 including, on the one hand, staff on established posts funded by the regular budget and extrabudgetary funds,[7] and, on the other hand, under the generic term "Other contracts" the individuals on project appointments (PA), temporary appointments, junior professional officers (JPO), secondments and service contracts (SC) funded by the regular budget and the extrabudgetary funds.
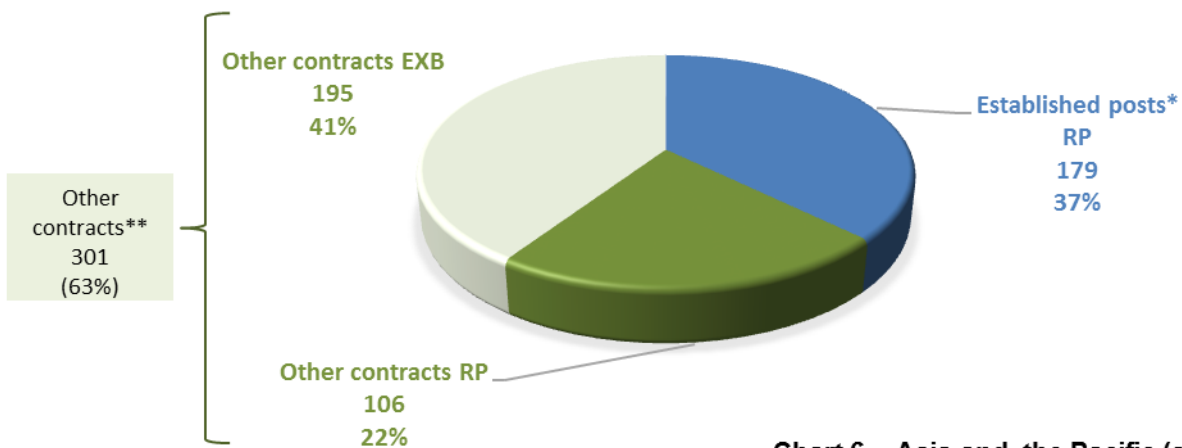
Chart 6 - Asia and the Pacific (staff)

Europe and North America

15.   With the closure of the Moscow Office in September 2015, the field network in Europe and North America is limited to one Regional Bureau for Sciences and Culture in Europe, which according to the 2000-2001 decentralization strategy has the mandate to provide sectoral support and expertise and development of regional strategies and policies without representational

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[7]   These also included the local field posts (NO/G) funded by the emergency funds and considered temporary for administrative purposes. The majority of these posts have since been converted into established posts in the 38 C/5

functions in the countries of the region. The other three field entities in the region are the Liaison Offices in Geneva, Brussels and New York. The volume of decentralized funds to the region amounts to 5% of total funds allocated to the field network (Chart 7 illustrates the distribution of these funds by office). This rate is explained by the progressive reduction in the programme implementation and mobilization of resources by the Moscow Office in the wake of its closure as well as the nature of work of liaison offices, whose main mission is not focused on programme implementation or mobilization of funds but rather on representational functions, advocacy and development of partnerships. As a result, the bulk of decentralized funds is implemented by the only programme implementation oriented office in Venice.

Chart 7 - Europe and North America (funds)
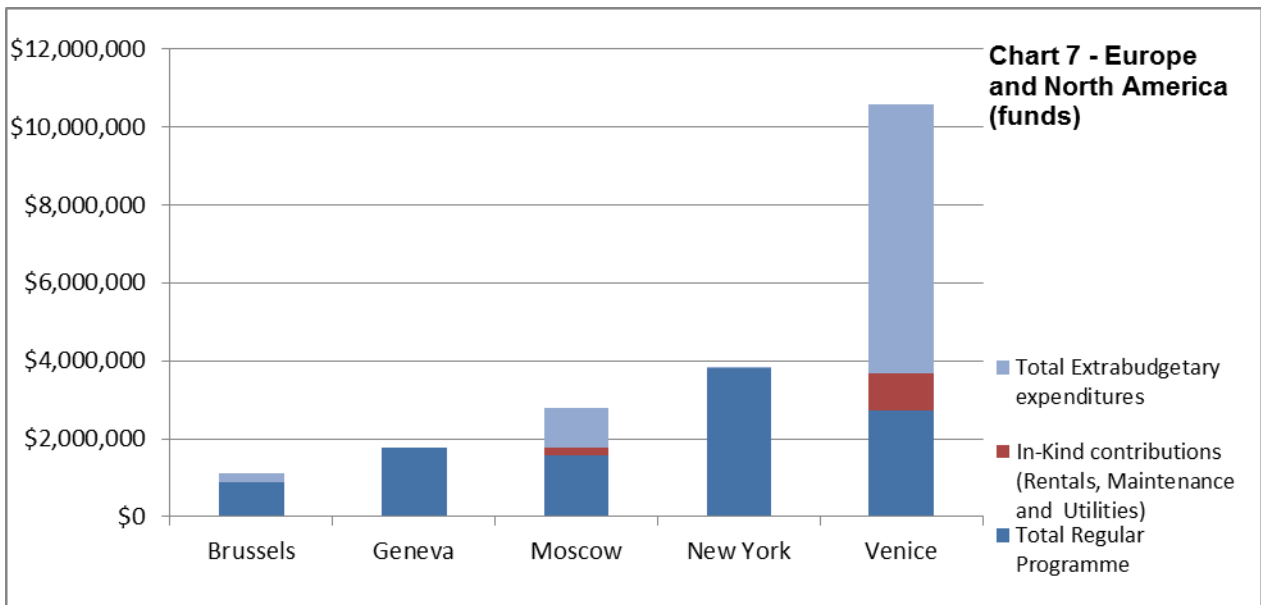
16. Chart 8 reflects the total workforce by end December 2015 including, on the one hand, staff on established posts funded by the regular budget and extrabudgetary funds,[8] and on the other hand, under the generic term "Other contracts" the individuals on project appointments (PA), temporary appointments, junior professional officers (JPO), secondments and service contracts (SC) funded by the regular budget and the extrabudgetary funds.
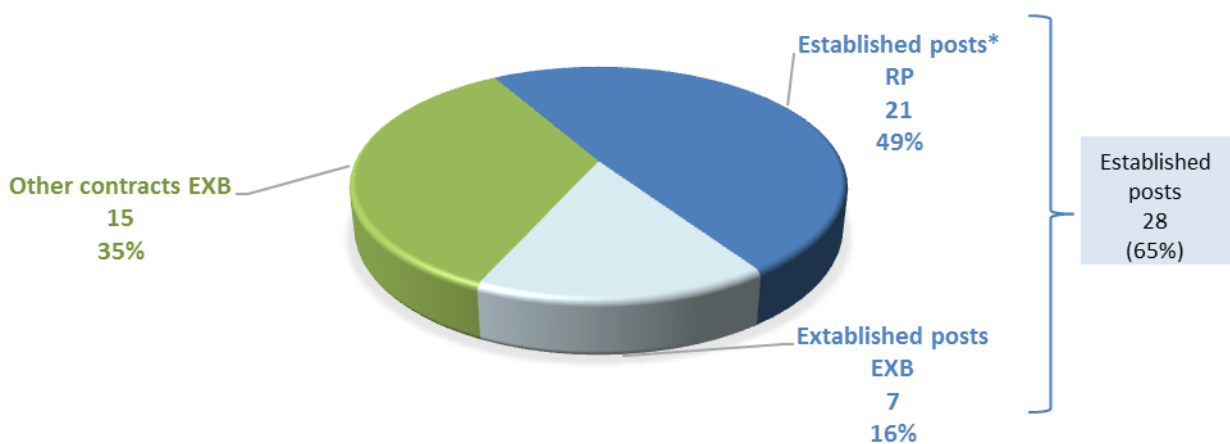
Chart 8 - Europe and North America (staff)

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[8]   These also included the local field posts (NO/G) funded by the Emergency funds and considered temporary for administrative purposes. The majority of these posts have since been converted into established posts in the 38 C/5.

Latin America and the Caribbean

17.   Five cluster offices and six national offices constitute the regional field network in Latin America and the Caribbean. The three thematic regional bureaux function either as cluster offices (Havana Office as Regional Bureau for Culture and Montevideo as Regional Bureau for Sciences) or as national office (Santiago Office as Regional Bureau for Education). Funds decentralized to the region represent 33% of the totality of funds available to the field network. This ratio is mainly due to the volume of the expenditure of extrabudgetary funds (inclusive of self-benefitting funds) implemented by, in particular, Brasilia and Lima offices (Chart 9).
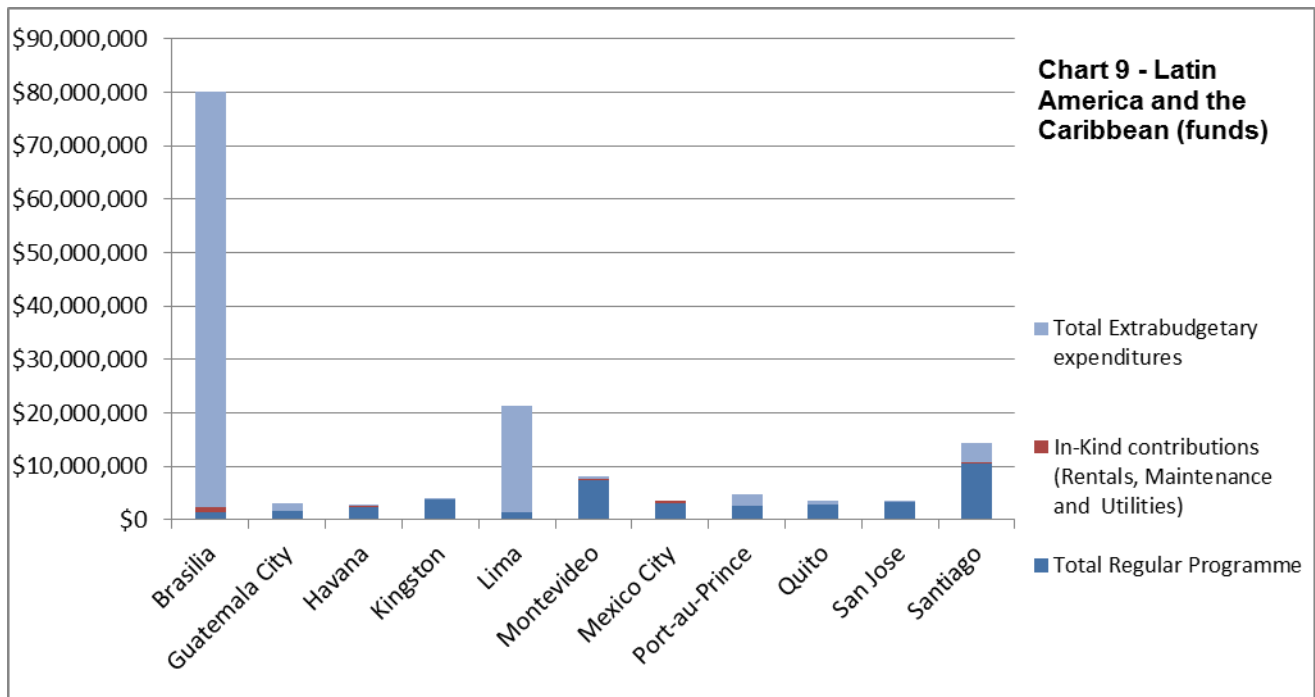
18.   Chart 10 reflects the total workforce by end December 2015 including, on the one hand, staff on established posts funded by the regular budget and extrabudgetary funds,[9] and on the other hand, under the generic term "Other contracts" the individuals on project appointments (PA), temporary appointments, junior professional officers (JPO), secondments and service contracts (SC) funded by the regular budget and the extrabudgetary funds.

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[9]   These also included the local field posts (NO/G) funded by the Emergency funds and considered temporary for administrative purposes. The majority of these posts have since been converted into established posts in the 38 C/5.
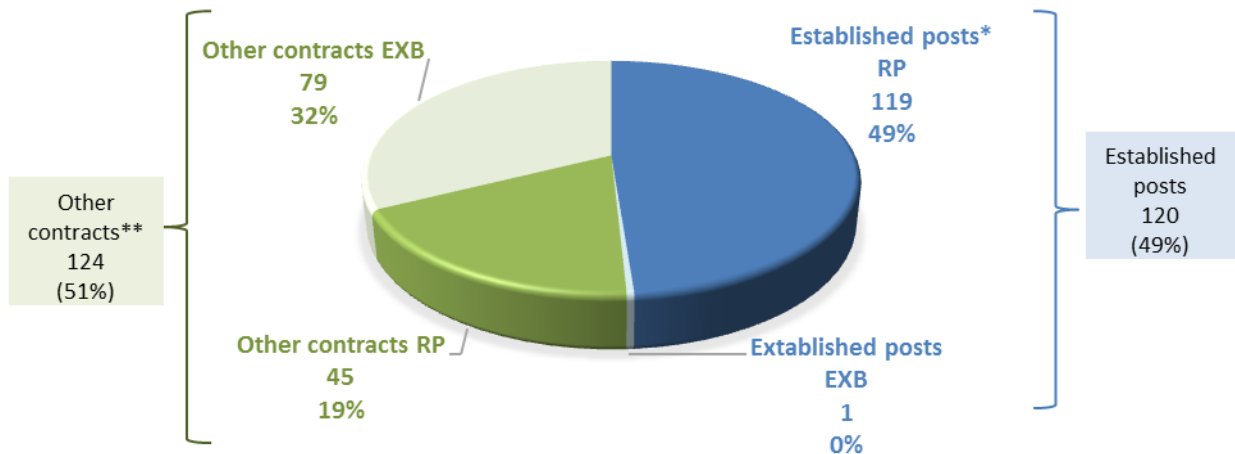
Chart 10 - Latin America and the Caribbean (staff)

<u>Implementation of regular programme resources/mobilization of extrabudgetary resources</u>

19.   The total amount of funds available to the field offices in 2014-2015 (including regular programme decentralized budget, extrabudgetary resources (expenditures) and in kind contributions) amounted to $445 547 395. They are composed as below:

Amount (US $)	Per cent of total	Source	Type of budget
191,232,376	43%	Regular programme allocations	Programme activity budget Costs of established posts (programme, management and administrative staff) Cost of office management and security
239,383,000	54%	Decentralized extrabudgetary expenditures	Extrabudgetary funds
14,932,019	3%	Direct in-kind contributions towards field offices operating costs (rentals, maintenance, utilities)	Extrabudgetary funds

Chart 11 - 37 C/5 Decentralised Funds by Region $million
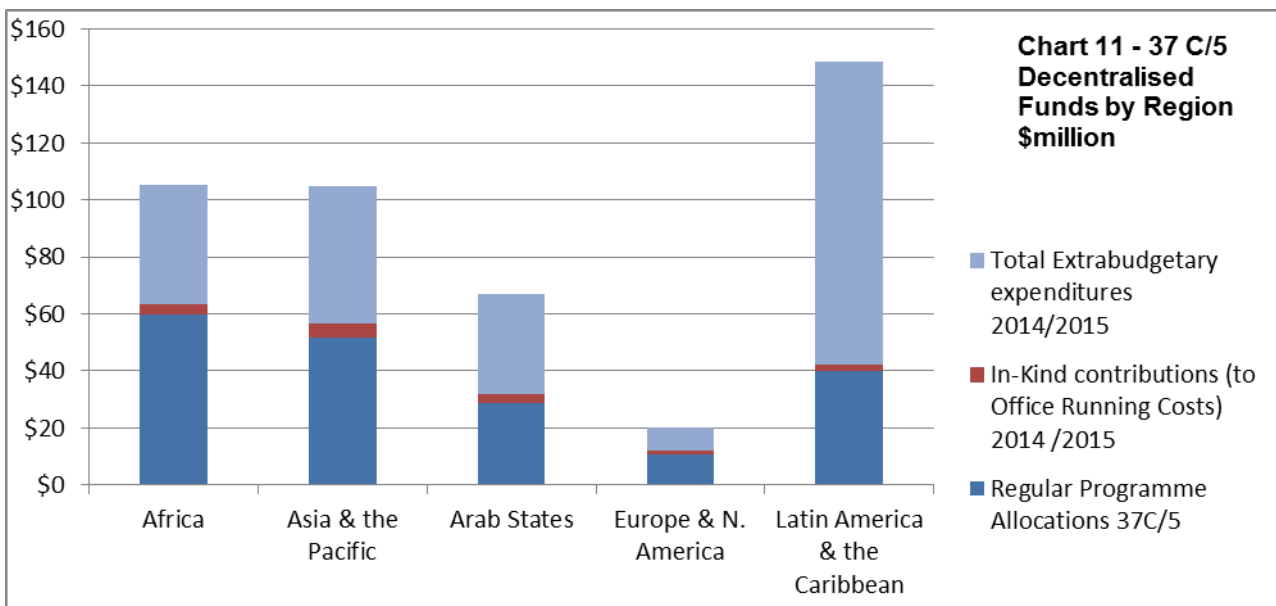
20.   Country and regional data on the implementation of regular programme resources and the mobilization of extrabudgetary resources can be found in Chart 11 and in Annex I. Additional data is available in document 199/EX/4 Part II.

21.   The total workforce by end December 2015 including, on the one hand, staff on established posts funded by the regular budget and extrabudgetary funds,[10] and on the other hand, under the generic term "Other contracts" the individuals on project appointments (PA), temporary appointments, junior professional officers (JPO), secondments and service contracts (SC) funded by the regular budget and the extrabudgetary funds is reflected in Chart 12 and Annex II.

Chart 12 - Total Field (staff)
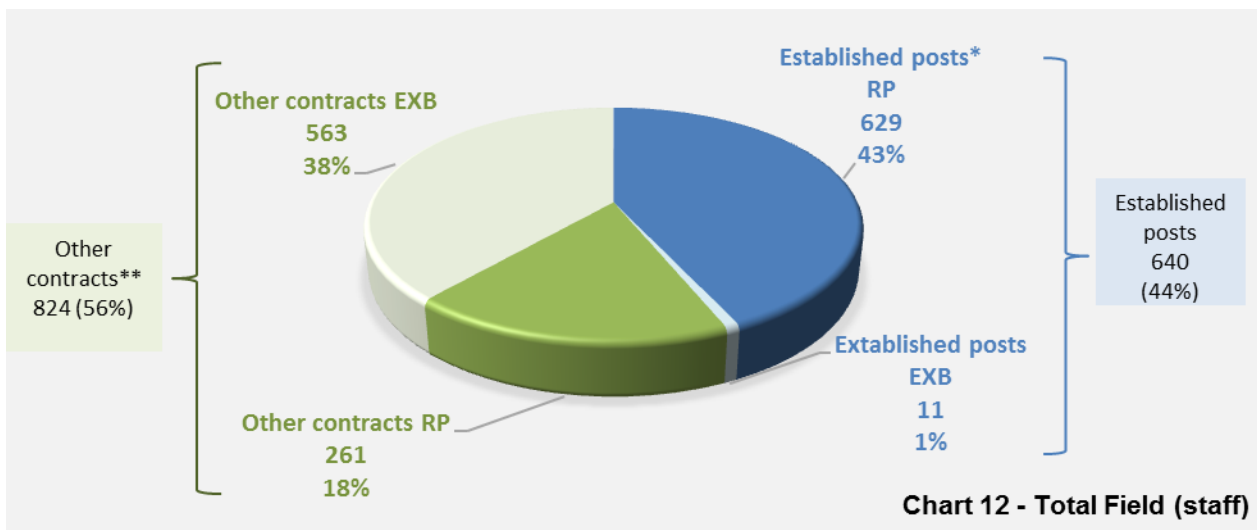
22.   The status of implementation of regular programme resources (management of field offices, security costs including contributions to the joint United Nations field security budget and activity budget) reflects an implementation rate of 98.6%.

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[10]   These also included the local field posts (NO/G) funded by the Emergency funds and considered temporary for administrative purposes. The majority of these posts have since been converted into established posts in the 38 C/5.

23.   Staff costs include costs of programme sector staff, whose main responsibility is to provide technical expertise to Member States fulfilling one of the core programme functions of the Organization, as well as general management and administrative posts.

24.   As a result of the review of the programme implementation capacity of the field offices and respective staffing in early 2014, 34 temporary programme assistant posts were included in the 2014-15 staffing structures to ensure effective and sustainable programme delivery. These posts have been maintained through 2016-17 as fixed-term posts.

25.   Field offices have been able to mobilize extrabudgetary resources to both complement and, in a number of cases, exceed regular programme budget allocations. This is largely due to their perceived capacity to deliver on key programmatic areas that are in-line with the needs of Member States and within the interest of donors. On average, field offices spent $1.33 from extrabudgetary resources for every dollar allocated from the Regular Programme. Asia and the Pacific, Arab States, Latin America and the Caribbean spent more from extrabudgetary than from Regular Programme.

26.   Increasing decentralization of funds is also expected to have a positive impact on the effectiveness and sustainability of the field network. In Africa, the general trend has been to allocate funds to the five MROs, which in turn allocated them to the national offices under their responsibility. Globally, the Education Sector allocated funds to its three thematic regional bureaux, which in turn decentralized funds to cluster and/or national offices. Similarly, the Natural Science Sector assigned funds to its four thematic regional bureaux and then to the offices with the presence of the SC international staff. The Social and Human Sciences, Culture and the Communication and Information Sectors allocated funds according to regional strategies and work plans.

CHALLENGES AND OPPORTUNITIES

Challenges

27.   A number of challenges facing the UNESCO field network have been identified, including those in the review by the evaluation function of UNESCO's Internal Oversight Service (IOS) "Lessons learned from UNESCO's Field Reform in Africa" (September 2015) and "*La réforme du dispositif de terrain de l'UNESCO* » (December 2015) and "*Synthese des rapports d'audits sur les bureaux de terrain (2011-2015)"* by UNESCO's External Auditor presented to the 199th session of the Executive Board. Key lessons and strategic considerations identified by the IOS report on "Lessons Learnt from the Field Reform in Africa" can be found in Annex V.

28.   Several of the challenges identified by above mentioned reviews, can be applied to the entire field network, and those are, *inter alia*:

(a)   The need to sharpen programmatic focus bearing in mind the limited financial resources and national needs in view of Agenda 2030; lack of funding for capacity building in particular regarding resource mobilization, new programmatic areas and results-based management;

(b)   The reduced capacities at central and/or regional capacities to guide, support and oversee the field network following the financial crisis and the abolition of the Bureau for Field Support; as a result operational frameworks have been impacted;

(c)   Insufficient critical mass in substantive areas of expertise as well as uneven seniority and presence of international staff in both national and regional offices;

(d)   Recourse to temporary assignments which leads to risks of high turnover and capacity gaps and poses managerial challenges;

(e) Uneven investment in countries in crisis and transition; in particular, in the Africa region;

(f) A reduced regular budget for activities, which is not complemented sufficiently by extrabudgetary funds in most field locations;

(g) Insufficient know-how in evolving areas, such as cross-cutting issues, fundraising, monitoring and evaluation and project management;

(h) The presence of other actors who engage in the same areas as UNESCO albeit with more resources;

(i) Limited capacity to efficiently and effectively engage in the various processes of the United Nations including UNDAFs in particular in locations without UNESCO field presence;

(j) Weak knowledge management and communication strategies.

29. These challenges will need to be addressed as a matter of priority in order to not to call into question UNESCO's capacity to play its role in the Agenda 2030. In the years ahead, the UNESCO field network will play a critical role in assisting Member States to implement Agenda 2030 and to realize its ambitious goals. The new international Agenda rests on the foundation of national ownership and leadership, and will necessitate on UNESCO's part a commitment to a flexible, competent and resilient field network, able to provide quality services to the Member States and to work in close cooperation with the broad range of its partners, including the United Nations system at the country level. In order to support Agenda 2030, UNESCO will need to maintain a significant presence and activity at the regional and national levels in order to provide the relevant normative and policy support, to deliver related capacity development, and to advocate and monitor trends in its areas of expertise.

Opportunities

30. Recent evaluations (e.g. evaluation of Technical and Vocational Education and Training) and stakeholder interviews during the Africa Field Reform Lessons Learned Review have provided positive feedback on UNESCO's ability to deliver quality programming in the field. These evaluations, while speaking to the limited existing capacities, have pointed to a number of strengths of UNESCO in the field: its universal mandate; its well-recognized normative leadership in a number of areas; recognition of UNESCO as a trusted partner; excellent working relationships with government partners, and its ability to tap into a wide network of expertise. More opportunities do exist to better manage the UNESCO partnerships and networks and to leverage additional expertise. During the Africa Field Reform evaluation, United Nations agencies interviewed all indicated that they would welcome an increased engagement of UNESCO at the country level with some agencies looking forward to increased joint implementation in the field. Emerging evidence in Africa confirms that the increased effort of resource mobilization and partnership development is starting to pay off.

31. Updating and renegotiating host country support has also shown positive results and if more host governments would strengthen their contribution to UNESCO field presence, including through in-kind contributions, funding of office premises, funding of national staff etc. there would be a positive impact on the cost of field operations. New self-benefitting opportunities also do exist and could present an interesting model for UNESCO to be present in middle income countries with specific needs. Bearing in mind the results of the Third International Conference on Financing for Development in Addis Ababa, future resource mobilization opportunities may develop at country level where the close engagement with government partners and the national commission could present an advantage.

32. In response to the financial crisis but also as based on audits and evaluations, several opportunities for change have been seized in the recent past to address some of the challenges. They include the following:

(a) Consolidation. In duty stations hosting more than one UNESCO entity (either two field offices, e.g. Amman Office and Amman location of the Office for Iraq or a field office and a category 1 institute, e.g. New Delhi Office and the Mahatma Gandhi Institute of Education for Peace and Sustainable Development (MGIEP) and Addis Ababa Office and the International Institute for Capacity-Building in Africa (IICBA)), joint administrative structures have been put in place with a view to reduce resources and optimize functions.

(b) Improved accountability. The first overall performance review of all Directors/Heads of Field Offices is being undertaken in February/March 2016 for the 2014-2015 biennium. Their performance is assessed vis-a-vis clear performance objectives and consistent performance indicators, which are concentrated around their main responsibility axes, i.e. leadership and management in UNESCO programme areas, human resources management, management of financial resources and assets, mobilization of extrabudgetary resources, integration of UNESCO's action in United Nations system initiatives and management of external relations and building of partnerships. These indicators were jointly developed by field offices, programme sectors and central services. Performance is evaluated through consultations with all programme sectors and central services concerned representing a comprehensive and full performance appraisal. Once completed, the exercise will be reviewed with a view to identifying lesson and making improvements both to the range of objectives as well as to the process itself.

(c) Single entry point for the field. In order to address the need to designate a clearly tasked entity responsible for issues and concerns related to the field network, the Director-General has established, as of 1 January 2016, the Division for Field Support and Coordination as outlined in DG/Note/15/32 of 1 December 2015. The Division, which is headed by a Director at D-1 level, reports directly to the Director-General and carries the mandate to enhance efficient and effective communication, accountability and a streamlined flow of information between the field network and Headquarters. This Division serves as single entry for field offices and, *inter alia*, provides strategic advice to the Director-General and the senior management team, and serves as a coordination platform in development, implementation and monitoring of strategies, policies and field reform initiatives.

(d) Use of ICTs. Progressively improving ICT application are better integrating the field network and Headquarters into a more cohesive organization of programme delivery teams.

Conclusion

33. Bringing UNESCO closer to the field is not a choice, but a programmatic need. The expectations underpinning the Agenda 2030 will require a more flexible and agile but also more robust field presence, building on the current field network. While the current regular budget is financing the 53 field locations, uneven availability of funding for programmatic activities poses a challenge for achieving maximum impact and providing the necessary and requested support to Member States in achieving the Agenda 2030. Faced with this challenge in combination with overall stagnant regular budget resources, it is clear that the current funding for UNESCO's field network is not sustainable.

34. In order to address the sustainability of the field network, the following will need to be addressed with urgency:

35. First, **defining of basic principles of sustainability** including renewed agreement on a clear overall mission of the field network, which is based on UNESCO's core mandate, supported by all Member States and focused on UNESCO's contribution to the implementation of international agreed development goals; a common understanding of the relation between UNESCO's global intellectual and normative role and its potential to contribute to achieving concrete development goals and the strengthening of the operational culture of the Organization with commitment and leadership by senior management.

36. Second, **redesigning the field network and field presence** so that UNESCO can be responsive to the evolving priority needs of the Member States, realigning its functions and responsibilities corresponding to programmatic opportunities and strengths arising from the Agenda 2030. This may include strengthening presence in some locations while regionalizing presence in others.

37. Third, **optimizing structures** to more efficiently provide a critical mass of expertise in the main programme areas, clearer accountability frameworks and reporting lines.

38. Forth, **ensuring adequate human and financial resourcing**, including a greater mobilization of support from host Member States towards operations of the field offices, and human resources management and business policies and practices that confer flexibility and responsiveness.

39. Fifth, better **defining criteria for presence** at regional and national level with a view of maximizing impact and value-added, strengthening working through partners and minimizing transaction costs in favor of programme funds spent in country. This may include precise financial and programmatic performance targets and thresholds for upscaling or downscaling.

40. Finally, factoring in the **specific needs and opportunities** of middle income countries, changes in international cooperation and development financing mechanisms, and the special needs of small island developing States (SIDS) and least developed countries (LDCs).

THE POTENTIAL WAY FORWARD

41. Given the fact that the issues addressed above require a consultative process and broad ownership, it is proposed to establish a phased process in parallel to the preparation of the Draft Programme and Budget for 2018-2021 (39 C/5).

42. The process would be based on a comprehensive intervention logic, a formal plan of action and would include analytical work, for example on how other United Nations agencies operate their field networks, a participatory consultation process, the provision of tools with a special focus on improving programme delivery in countries in crisis and transition and a framework for administrative change. A consultative process with key donors and stakeholders would provide the basis for informed policy-setting and effective strategies to ensure the relevance and sustainability of UNESCO.

43. The two phases of the process would be the following:

Phase 1

- Agree on a common understanding of basic principles of sustainable decentralization, and criteria for defining UNESCO's field presence and mechanisms for its monitoring;

- Identify programme and coordination related adjustments to the functions, responsibilities and accountabilities of the field network in Africa;

- Report thereon to the Executive Board at its 200th session.

Phase 2

- Develop an analysis of the relevance and performance of the field network as a whole particularly taking into account programmatic relevance of field offices in the implementation of the Agenda 2030, based on the above mentioned commonly understood principles of a sustainable decentralization;

- Submit conclusions of this analysis to Executive Board the 201st session for discussion along with the Draft Programme and Budget for 2018-2021 (Draft 39 C/5).

44. Representatives of Member States will be invited to actively contribute to the review of the sustainability of the field network. The review will also strongly involve field office managers and representatives of programme sectors and central services.

45. In parallel, work will be undertaken to review the usefulness, objectives, content, geographical scope, formats and process of preparation of UNESCO Country Programming Documents (UCPD) *inter alia* as a tool to plan and reflect UNESCO' contribution to the implementation of the Agenda 2030.

46. A related proposal for additional investment is contained in document 199 EX/5 Part II (D) on "Invest for Efficient Delivery" as a complement to the proposals related to knowledge management and information technologies and learning and development. Effective participation of the field offices in the implementation of the Agenda 2030 at the national and regional levels requires capacity building in resource mobilization and strategic engagement with UNDAFs and other United Nations common programming initiatives and mechanisms, and more efficient knowledge management tools and processes for programme planning, delivery and monitoring.

Proposed decision

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

The Executive Board

1. Recalling 196 EX/Decision 5 (IV, B),

2. Having examined document 199 EX/5 Part II (C) on sustainability of the field network under the $507 million expenditure plan,

3. Reaffirms the importance of a strong and sustainable field network to UNESCO's mission;

4. Recognizes that the main goals of the field network reform approved by the General Conference at its 36th session remain valid and pertinent;

5. Notes that the reform process in Africa was affected by the financial crisis both in its scope and the implementation process;

6. Welcomes the proposed two-phase change management process for review of the sustainability of field network;

7. Welcomes the establishment of the Division for Field Support and Coordination;

8. Invites host Member States to fully comply with provisions in the prevailing host country agreements related to backstopping and support of field offices;

9. Further invites Member States to consider supporting UNESCO field offices through financial and in kind contributions;

10. <u>Requests</u> the Director-General to report to it at its 200th session on proposed basic principles of sustainable decentralization, criteria for defining UNESCO's field presence and mechanisms for monitoring improvements to the field network in Africa;

11. <u>Further requests</u> the Director-General to report to it at its 201st session on the results of the analysis of the relevance and performance of the field network as a whole, particularly taking into account programmatic relevance of field offices in the implementation of the Agenda 2030.

ANNEX I

REGULAR PROGRAMME AND EXTRABUDGETARY RESOURCES - DECENTRALIZED PROGRAMME FUNDS INCLUDING DONATIONS
STATUS FOR 37 C/5 (2014-2015) [11]

	Staff cost[12]	Operating cost[13]	Security cost[14]	Activity Budget	Total Regular Programme	Expenditure rate	In-kind contributions (Rentals, maintenance and utilities)[15]	2014 Allotment	2014 Expenditures (e)	2015 Allotment	2015 Expenditures (f)	Total expenditures
	(a)	(b)	(c)	(d)	(a)+(b)+(c)+(d)	(b) (c) (d)		Allotment	Expenditures (e)	Allotment	Expenditures (f)	(e) + (f)
Abidjan	1,300,000	273,230	126,298	110,714	1,810,242	99.7%	84,385	-	-	278,184	178,880	178,880
Abuja	4,295,000	653,673	120,323	986,074	6,055,070	99.7%	138,669	3,363,782	2,899,599	2,080,246	1,408,285	4,307,884
Accra	1,133,000	369,563	60,747	69,096	1,632,406	97.4%		149,781	17,769	222,536	100,219	117,988
Addis Ababa	2,699,400	302,240	43,476	183,895	3,229,011	98.0%		728,952	617,631	234,670	166,559	784,190
Bamako	1,094,300	271,412	241,140	147,100	1,753,952	99.8%	63,469	1,744,731	657,949	1,666,945	1,135,449	1,793,398
Brazzaville	1,252,000	197,126	107,642	40,822	1,597,590	91.0%	44,379	87,772	57,352	43,530	8,272	65,624
Bujumbura	288,000	207,698	46,296	121,486	663,480	97.9%		60,574	-	175,889	153,208	153,208
Dakar	6,116,600	565,440	241,661	1,691,482	8,615,183	98.8%	596,263	5,584,319	4,610,643	5,410,299	4,649,808	9,260,451
Dar-es-Salaam	1,704,000	377,473	137,926	203,850	2,423,249	99.6%	183,891	2,058,802	1,411,033	2,193,895	1,377,885	2,788,918
Harare	3,957,500	384,320	604,813	1,526,555	6,473,188	98.7%	240,000	715,087	670,278	2,978,036	2,788,967	3,459,245
Juba	1,488,000	697,684	100,760	146,408	2,432,852	99.9%		573,962	484,490	738,325	445,210	929,700
Kinshasa	1,651,600	193,614	204,149	119,723	2,169,086	99.8%	82,520	2,313,985	1,814,047	2,729,642	2,335,814	4,149,861
Libreville	1,338,000	278,978	65,449	86,591	1,769,018	97.4%	1,111,948	45,200	3,695	1,355,114	1,090,096	1,093,791
Maputo	1,307,000	576,062	97,837	34,814	2,015,713	97.0%		610,403	242,472	189,334	31,588	274,060
Nairobi	5,545,200	781,026	39,640	2,302,612	8,668,478	98.9%		2,869,609	1,838,628	5,372,612	3,606,122	5,444,750
Windhoek	2,095,500	339,122	37,705	195,871	2,668,198	98.2%	240,785	2,366,555	2,006,555	225,980	200,400	2,206,955
Yaoundé	4,047,000	512,374	227,771	1,174,440	5,961,585	96.6%	634,652	3,745,789	2,186,963	4,078,442	2,537,906	4,724,869
Total Africa	**41,312,100**	**6,981,035**	**2,503,633**	**9,141,535**	**59,938,303**	**98.5%**	**3,420,961**	**27,019,303**	**19,519,104**	**29,973,679**	**22,214,668**	**41,733,772**
Apia	2,632,000	357,287	27,438	809,852	3,826,577	98.5%		723,416	330,396	591,447	505,273	835,669
Almaty	1,967,700	193,200	32,957	627,375	2,821,232	88.8%	141,245	296,507	296,507	114,826	53,364	349,871
Beijing	3,448,000	719,950	16,007	840,307	5,024,264	99.6%		1,590,375	902,522	1,402,127	984,961	1,887,483
Bangkok	9,627,700	647,450	203,370	2,713,279	13,191,799	98.5%	4,318,023	7,574,640	4,336,662	10,982,123	7,280,368	11,617,030
Dhaka	924,000	254,980	72,378	149,123	1,400,481	100.0%		34,343	28,057	-	6,286	28,057
Hanoi	1,711,000	237,329	38,687	170,377	2,157,393	99.7%		997,154	862,230	626,203	516,924	1,379,154
Islamabad	1,668,800	605,197	81,240	194,108	2,549,345	93.6%		1,540,842	777,609	2,125,994	555,985	1,333,594
Jakarta	3,448,300	677,930	161,026	1,108,182	5,395,438	97.5%		5,682,537	3,280,460	9,460,203	4,355,209	7,635,669
Kabul	2,113,000	554,341	827,022	192,530	3,686,893	99.8%		16,492,765	9,527,887	22,776,452	9,331,777	18,859,664
Kathmandu	742,000	152,200	119,948	494,273	1,508,421	97.2%		1,066,231	775,344	815,005	538,667	1,314,011
New Delhi	3,392,200	412,649	73,753	1,237,867	5,116,469	95.5%	202,588	239,619	150,770	966,434	775,721	926,491
Phnom Penh	1,594,000	281,839	104,847	188,009	2,168,695	99.7%		1,020,285	774,718	1,277,927	836,417	1,611,135

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11 The decentralized amounts do not include institutes. Data related to antennas has been included under the field office to which the antenna reports to.; the activity budget includes Additional Appropriations; this table does not include the risk management activity budgets under part II A: Management of Field Offices, as these are allocated globally and distributed once risks have crystallized into commitments.

12 Staff costs include RP established posts for programme (international and national programme specialists and programme support posts, administration (administrative and finance support posts) and management (Directors/Heads and direct support posts)

13 Operating costs include field office running costs such as rentals, maintenance, contracted services, consumables, communications, temporary assistance and travel.

14 Security costs include contributions to local jointly financed security budgets, security costs of the office (in compliance with the established common UN standards) and residential security of the international staff.

15 In kind contributions reported relate only to non-cash contributions by host countries towards office costs and are not representative of all in kind contributions, nor of all host country contributions. A number of host countries contribute funds and these are integrated in the appropriate category within this table.

	Staff cost[12]	Regular Programme allocations Operating cost[13]	Security cost[14]	Activity Budget	Total Regular Programme	Expenditure rate	In-kind contributions (Rentals, maintenance and utilities)[15]	Extrabudgetary Funds 2014 Allotment	2014 Expenditures (e)	2015 Allotment	2015 Expenditures (f)	Total expenditures
	(a)	(b)	(c)	(d)	(a)+(b)+(c)+(d)	(b) (c) (d)		Allotment	Expenditures (e)	Allotment	Expenditures (f)	(e) + (f)
Tashkent	658,000	109,200	106,630	205,049	1,078,879	99.5%	146,735	211,007	150,725	95,164	90,709	241,434
Tehran	1,166,000	351,276	54,051	220,695	1,792,022	99.6%	118,500	-	-	-	-	-
Total Asia and the Pacific	**35,092,700**	**5,554,828**	**1,919,354**	**9,151,026**	**51,717,908**	**97.7%**	**4,927,091**	**37,469,721**	**22,193,887**	**51,240,191**	**25,825,375**	**48,019,262**
Amman	2,199,000	176,116	28,155	222,201	2,625,472	100.0%	59,161	4,731,512	2,830,358	3,394,320	1,974,904	4,805,262
Baghdad	1,142,000	460,506	229,417	337,731	2,169,654	99.4%		13,408,137	7,837,909	18,798,334	9,676,086	17,513,995
Beirut	5,252,500	377,194	237,300	1,216,277	7,083,271	100.0%	2,529,700	1,000,896	881,988	3,618,808	741,006	1,622,994
Cairo	3,777,000	198,471	70,024	1,049,360	5,094,855	97.1%		2,618,592	935,841	2,702,106	830,063	1,765,904
Doha	2,761,000	193,240	99,352	672,435	3,726,027	98.9%	402,216	456,447	277,959	919,004	479,800	757,759
Khartoum	1,053,600	297,372	67,636	2,988	1,421,596	100.0%		116,233	30,393	127,965	101,236	131,629
Rabat	2,852,000	277,696	221,193	718,214	4,069,103	98.7%	287,081	640,500	523,148	399,810	166,965	690,113
Ramallah	1,906,000	308,249	245,521	125,958	2,585,728	98.9%		4,556,544	3,912,495	4,118,153	3,816,449	7,728,944
Total Arab States	**20,943,100**	**2,288,844**	**1,198,598**	**4,345,164**	**28,775,706**	**99.0%**	**3,278,158**	**27,528,861**	**17,230,091**	**34,078,500**	**17,786,509**	**35,016,600**
Brussels	569,000	286,030	29,300	-	884,330	98.0%		144,709	121,326	135,709	107,659	228,985
Geneva	1,663,600	92,634	13,170	-	1,769,404	98.0%		-	-	-	-	-
Moscow	1,135,000	144,478	161,360	136,642	1,577,480	94.5%	181,354	505,403	477,249	550,119	549,307	1,026,556
New York	2,893,000	878,586	-	48,198	3,819,784	100.0%		892	515	-	-	515
Venice	2,095,700	304,530	22,361	285,100	2,707,691	97.0%	970,000	4,140,667	2,378,041	5,735,887	4,518,481	6,896,522
Total Europe and N. America	**8,356,300**	**1,706,258**	**226,191**	**469,940**	**10,758,689**	**97.9%**	**1,151,354**	**4,791,671**	**2,977,131**	**6,421,715**	**5,175,447**	**8,152,578**
Brasilia	862,000	128,000	213,053	157,994	1,361,047	99.3%	975,792	60,836,043	47,636,126	48,739,459	30,155,137	77,791,263
Guatemala City	1,174,000	266,405	46,852	197,923	1,685,180	99.8%		1,039,421	934,245	440,314	428,333	1,362,578
Havana	1,691,000	372,144	58,835	254,360	2,376,339	98.1%	175,000	150,468	141,427	145,751	15,116	156,543
Kingston	2,731,000	263,959	22,310	641,545	3,658,814	98.7%	84,084	110,527	45,268	69,267	62,530	107,798
Lima	1,149,000	140,800	15,029	103,172	1,408,001	99.9%	52,690	8,136,740	8,106,287	12,401,895	11,638,721	19,745,008
Montevideo	4,961,800	441,826	94,561	1,770,906	7,269,093	99.5%	240,000	413,832	241,206	766,803	358,932	600,138
Mexico City	1,052,000	389,898	22,797	1,675,999	3,140,694	100.0%	285,849	-	-	25,002	-	-
Port-au-Prince	1,938,000	301,682	108,125	315,984	2,663,791	99.4%		3,469,649	1,483,335	1,808,375	558,401	2,041,736
Quito	2,107,500	349,006	105,466	270,882	2,832,854	100.0%	21,040	645,755	127,457	1,036,809	578,831	706,288
San Jose	2,513,000	223,246	117,279	391,358	3,244,883	99.4%		207,891	153,875	135,180	115,361	269,236
Santiago	3,765,600	520,000	261,000	5,854,473	10,401,073	99.9%	320,000	2,275,783	2,122,341	1,826,839	1,557,859	3,680,200
Total Latin America and the Caribbean	**23,944,900**	**3,396,966**	**1,065,307**	**11,634,597**	**40,041,770**	**99.7%**	**2,154,455**	**77,286,109**	**60,991,567**	**67,395,694**	**45,469,221**	**106,460,788**
Total decentralized funds	**129,649,100**	**19,927,931**	**6,913,083**	**34,742,262**	**191,232,376**	**98.6%**	**14,932,019**	**174,095,665**	**122,911,780**	**189,109,779**	**116,471,220**	**239,383,000**

ANNEX II

STAFFING TABLE IN THE FIELD* AS AT 31 DECEMBER 2015 (Situation as reflected in STEPS)
Not including Institutes [Cat. I]

	Established Posts* RP	Extablished Posts EXB	Total Established Posts	Other contracts RP	Other contracts EXB	Total other contracts**	Total
EUROPE and NORTH AMERICA	21	7	28		15	15	43
LATIN AMERICA and THE CARIBBEAN	119	1	120	45	79	124	244
ASIA and THE PACIFIC	179		179	106	195	301	480
AFRICA	214	2	216	67	178	245	461
ARAB STATES	96	1	97	43	96	139	236
TOTAL FIELD	**629**	**11**	**640**	**261**	**563**	**824**	**1464**

(*) Including RP/EXB Established Posts and local field posts NO/G funded by Emergency funds until end Dec. 2015 and considered temporary for administrative purposes,

(**) Including Project appointments (PA), Temporary Appointments, Junior Professional Officers (JPO), Secondments and Services Contracts (SC)

ANNEX III

LIST OF FIELD OFFICES BY REGION AS OF 1 JANUARY 2016

Region/Office	Office type	Country coverage
Africa		
Abuja	**Multi Sectoral Regional Office (West Africa)**	**Benin, Côte d'Ivoire, Ghana, Guinea, Liberia, Nigeria, Sierra Leone, Togo**
Abidjan	National Office	Côte d'Ivoire
Accra	National Office	Ghana
	Project Antenna/Desk	Cotonou (Benin)
	Project Antenna/Desk	Monrovia (Liberia)
Dakar	**Multi Sectoral Regional Office (West Africa (Sahel))**	**Burkina Faso, Cabo Verde, Gambia, Guinea Bissau, Mali, Niger, Senegal**
Bamako	National Office	Mali
Harare	**Multi Sectoral Regional Office (Southern Africa)**	**Botswana, Lesotho, Malawi, Mozambique, Namibia, South Africa, Swaziland, Zambia, Zimbabwe**
Maputo	National Office	Mozambique
Windhoek	National Office	Namibia
	Project Antenna/Desk	Gaborone (Botswana)
	Project Antenna/Desk	Lilongwe (Malawi)
	Project Antenna/Desk	Johannesburg (South Africa)
	Project Antenna/Desk	Lusaka (Zambia)
Nairobi	**Multi Sectoral Regional Office (East Africa)**	**Comoros, Djibouti, Eritrea, Ethiopia, Kenya, Madagascar, Mauritius, Rwanda, Seychelles, Somalia, South Sudan, Uganda, United Republic of Tanzania**
Addis Ababa	National Office Liaison Office	Ethiopia Liaison Office to the African Union and the United Nations Economic Commission for Africa
Juba	National Office	The Republic of South Sudan
Dar-es-Salaam	National Office	Tanzania
	House of Peace	Bujumbura (Burundi)
	Project Antenna/Desk	Moroni (Comores)
	Project Antenna/Desk	Djibouti
	Project Antenna/Desk	Antananarivo (Madagascar)
	Project Antenna/Desk	Kigali (Rwanda)
	Project Antenna/Desk	Kampala (Uganda)
Yaoundé	**Multi Sectoral Regional Office (Central Africa)**	**Angola, Burundi, Cameroon, Central African Republic, Chad, Congo, Democratic Republic of the Congo, Equatorial Guinea, Gabon, Sao Tome and Principe**
Brazzaville	National Office	Congo
Kinshasa	National Office	The Democratic Republic of Congo
Libreville	National Office	Gabon
	Project Antenna/Desk	Luanda (Angola)
	Project Antenna/Desk	Bangui (Central African Republic)
	Project Antenna/Desk	N'djamena (Chad)

Region/Office	Office type	Country coverage
Arab States		
Beirut	**Regional and Cluster Office**	**Regional Bureau for Education in the Arab States;** **Cluster Office to Lebanon, Syrian Arab Republic, Iraq, Jordan, Palestine**
Baghdad	National Office	Iraq
Amman	National Office	Jordan
Ramallah	National Office	Palestine
Cairo	**Regional and Cluster Office**	**Regional Bureau for Sciences in the Arab States;** **Cluster Office for Egypt, Libya, Sudan**
Khartoum	National Office	Sudan
Doha	**Cluster Office**	**Bahrain, Kuwait, Oman, Qatar, Saudi Arabia, United Arab Emirates, Yemen**
Rabat	**Cluster Office**	**Algeria, Mauritania, Morocco, Tunisia**
Asia and the Pacific		
Almaty	**Cluster Office**	**Kazakhstan, Kyrgyzstan, Tajikistan, Uzbekistan**
Tashkent	National Office	Uzbekistan
Apia	**Cluster Office**	**Australia, Cook Islands, Fiji, Kiribati, Marshall Islands, Micronesia (Federated States of), Nauru, New Zealand, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu, Vanuatu, Tokelau (Associate Member)**
Bangkok	**Regional and Cluster Office**	**Regional Bureau for Education in Asia and the Pacific;** **Cluster Office for Thailand, Myanmar, Lao People's Democratic Republic, Singapore, Viet Nam, Cambodia**
Phnom Penh	National Office	Cambodia
Hanoi	National Office	Viet Nam
	Project Antenna/Desk	Yangon (Myanmar)
Beijing	**Cluster Office**	**Democratic People's Republic of Korea, Japan, Mongolia, China, Republic of Korea**
Jakarta	**Regional and Cluster Office**	**Regional Bureau for Sciences in Asia and the Pacific;** **Cluster Office for Brunei Darussalam, Indonesia, Malaysia, Philippines, Timor-Leste**
	Project Antenna/Desk	Timor-Leste (Dili)
New Delhi	**Cluster Office**	**Bangladesh, Bhutan, India, Maldives, Nepal, Sri Lanka**
Dhaka	National Office	Bangladesh
Kathmandu	National Office	Nepal
Tehran	**Cluster Office**	**Afghanistan, Iran (Islamic Republic of), Pakistan, Turkmenistan**
Kabul	National Office	Afghanistan
Islamabad	National Office	Pakistan
Europe and North America		
Brussels	Liaison Office	European Union and its subsidiaries bodies in Brussels

Region/Office	Office type	Country coverage
Geneva	Liaison Office	United Nations in Geneva
New York	Liaison Office	United Nations in New York
Venice	**Regional Bureau**	**Regional Bureau for Sciences and Culture in Europe**
	Project Antenna/Desk	Sarajevo (Bosnia and Herzegovina)
Latin America and the Caribbean		
Havana	**Regional and Cluster Office**	**Regional Bureau for Culture in Latin America and the Caribbean; Cluster Office for Cuba, Dominican Republic, Haiti, Aruba (Associate Member)**
Port-au-Prince	National Office	Haiti
	Project Antenna/Desk	Santo Domingo (Dominican Republic)
Kingston	**Cluster Office**	**Antigua and Barbuda, Bahamas, Barbados, Belize, Dominica, Grenada, Guyana, Jamaica, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Suriname, Trinidad and Tobago as well as Anguilla, British Virgin Islands, Cayman Islands, Curaçao, Sint Maarten (Associate Members)**
Mexico	National Office	Mexico
Montevideo	**Regional and Cluster**	**Regional Bureau for Sciences in Latin America and the Caribbean; Cluster Office for Argentina, Brazil, Chile, Paraguay, Uruguay**
	Project Antenna/Desk	Buenos Aires (Villa Ocampo) (Argentina)
Brasilia	National Office	Brazil
Santiago de Chile	Regional Office National Office	Regional Bureau for Education in Latin America and the Caribbean Chile
Quito	**Cluster Office**	**Bolivia, Colombia, Ecuador, Peru, Venezuela**
Lima	National Office	Peru
San José	**Cluster Office**	**Costa Rica, El Salvador, Guatemala, Honduras, Mexico, Nicaragua, Panama**
Guatemala	National Office	Guatemala

ANNEX IV
UNITED NATIONS SYSTEM FIELD PRESENCE (2013)[16]

Number of field locations and staff presence
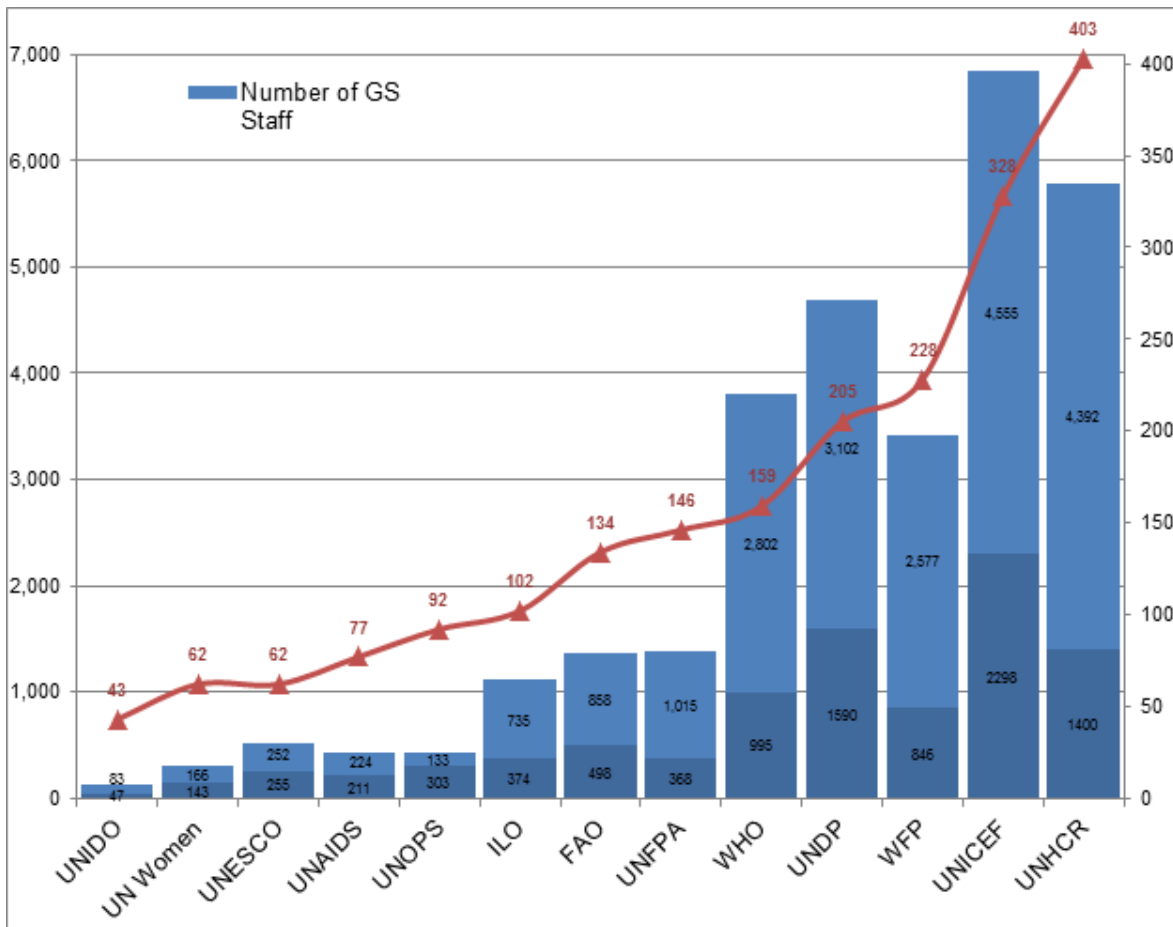
The red line indicates number of "field locations" (this includes provincial presence/project antennas).

Staff numbers indicates staff with contracts > 12 months

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[16]   Based on public data available on the Chief Executive Board (CEB) website.

Average staff per office (staff with contracts > 12 months)
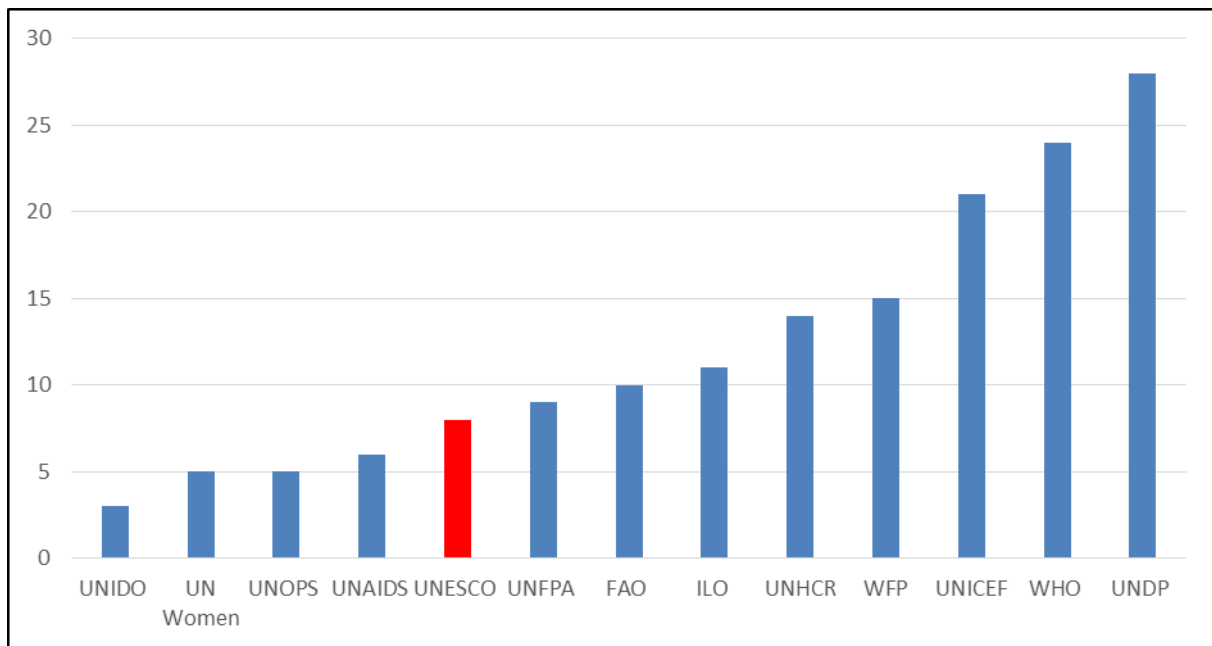
UNIDO	3
UN Women	5
UNOPS	5
UNAIDS	6
UNESCO	**8**
UNFPA	9
FAO	10
ILO	11
UNHCR	14
WFP	15
UNICEF	21
WHO	24
UNDP	28

ANNEX V

KEY LESSONS LEARNT AND STRATEGIC CONSIDERATIONS IDENTIFIED BY IOS REPORT ON "LESSONS LEARNT FROM THE FIELD REFORM IN AFRICA"

Key lessons	Strategic consideration
UNESCO's field presence in Africa will require further consolidation if the reform is to meet its intended objectives. The overall reform was challenging in its initial design and the subsequent financial crisis greatly restricted the Organization's ability to ensure full implementation. In hindsight, this unique situation should have been a signal to the Organization to scale back the initiative from many perspectives, most importantly by concentrating resources in a limited number of MROs	More investment is needed if the reform is to meet its intended objectives, recognizing that the most potential for additional resources is likely going to be coming from extrabudgetary funding and not from core funding, as is the current trend within the broader United Nations system. This may also require a more flexible field presence as well as further consolidation of the field network as a means for developing a critical mass of core programme staff and expertise in MROs. Certain original reform features such as the regional AO platform, programme evaluation/knowledge management function, PCPD experts and a certain minimum capacity for each office were never implemented – the need for these should be carefully considered. In this context, the recently launched initiative Invest for Efficient Delivery attempts to ensure, inter alia, structured delivery in the field for national and regional level support, sharpening delivery modalities and streamlining work processes
The initial implementation phase of the reform in Africa coincided with the dismantling of the Bureau of Field Coordination. This has led to responsibilities for interaction with the field to be dispersed across various services and sectors and the absence of a visible single entry point. Greater clarity around the responsible entity for the overall management of the field network, including responsibilities for managing and monitoring the reform initiative, would result in efficiency gains. With regard to managing the implementation of further reforms specific to Africa, several options could be considered, inter alia, reviewing the precise role and the optimal geographic location of the Africa Department.	While the role of the Africa Department is clear with respect to the function of regional coordination of the organization's work in Africa, e.g. via the Priority Africa programme flagships, its role in managing the implementation of the reform per se is less evident. Within this context, the role of the Africa Department in particular and its geographic location (Headquarters vs. Africa) should be addressed as a matter of priority. As it concerns any future reform of the field network, the responsible management entity should necessarily develop an implementation plan specifying the expected results, key milestones, performance indicators and targets, etc.
The reform in order to succeed should have been underpinned by explicit strategic frameworks/plans/strategies, including at the regional level, leading to a tighter focus on key priority areas where UNESCO has an advantage. This dispersion of effort, coupled with the	There needs to be a renewed discussion around how field offices can effectively limit their engagement to fewer strategic priorities. This discussion also needs to carefully consider the respective function of various field entities (e.g. regional normative work, policy advice function vs. more downstream activities at the national level)

Key lessons	Strategic consideration
resource constraints, risks further weakening the relevance and potential impact of UNESCO's work.	and determine the appropriate balance in this respect. This prioritization should be aligned with an effective human resource strategy to make optimal use of existing human capacities, including those found in UNESCO's wider network (e.g. National Commissions for UNESCO, UNESCO Chairs, and UNESCO category 2 centres).
While there are many emerging opportunities for extrabudgetary resource mobilization (RM) at the country level, UNESCO needs to invest in project formulation, capacity building for RM and building strategic partnerships if the organization is to develop a sustainable presence at country level. Given the fact that the level of effort and time for raising larger amounts is similar to those of smaller amounts, offices need to avoid fragmentation of their portfolios and be able to say no to those opportunities that do not advance their programmatic focus.	UNESCO's approach to extrabudgetary resource mobilization is a strategic issue above and beyond the context of the reform of the field network. It is worth noting that the trend indicates more United Nations agencies are having to deal with the implications of moving towards operations being exclusively funded by voluntary extrabudgetary contributions. In the context of the field reform and Africa, UNESCO will need to consider, *inter alia*, where responsibilities for resource mobilization should sit institutionally (e.g. Africa Department, MROs, individual staff), the implications on how UNESCO should determine office presence, the nature and function of its field programmes, and human resource staffing issues.
By dispersing existing capacity, the Africa field reform has thus far not led to increased technical capacity in the region, a key expectation of member states in the region. Further reform in UNESCO's other regions needs to carefully balance the strengths and weaknesses of the current structures in place with a view to optimizing regional presence and focus and to allowing more flexible field structures that can be adjusted at any given moment.	While UNESCO's global presence needs to be sensitive to regional realities and demands, the overall framework needs to have a clear and simple accountability structure. A decision needs to be taken whether UNESCO will be represented through thematic regional offices or through multi-sectoral regional offices or through a combination of the two. The possibility of an accountability framework with a central role for a regional bureau could also be explored as could be the option for re-establishing a stronger central function.

D.   Invest for Efficient Delivery

Background

1.   At its 197th session, the Executive Board while recalling that an "invest for efficient delivery fund" should be created to exclusively finance ongoing investments in reform, decided (197 EX/Decision 5 IV, D) that the Director-General should present a "fully developed, timetabled, prioritized and costed plan with targets, including the possible efficiency and effectiveness gains, to the 199th session of the Executive Board, taking into account the debate thereon at its 197th session". The present document presents such a plan which addresses crucial elements needed to drive continuing efforts of the reform process and ultimately strengthen UNESCO's capacity to deliver.

2.   This "Invest for Efficient Delivery" Plan is the outcome of ongoing efforts of the Organization to set a new course and sharpen its global lead roles and impact in the implementation of the Sustainable Development Goals (SDGs) agenda. This ambitious and transformative Agenda 2030 will require a well-coordinated, nimble and flexible United Nations system, able to collaboratively support countries in achieving their sustainable development commitments. For UNESCO, both in its normative and operational roles, the new Agenda will constitute an essential reference in future engagement with its Member States. To this end, UNESCO needs to take a comprehensive look at its objectives, priorities, operations and funding modalities in pursuance of the following two main goals:

    I.   Achieving a better, clearer and more strategic global, regional and country-level positioning and leadership of UNESCO; and

    II.   Establishing operational modalities that are better suited to deliver, both globally, regionally and locally UNESCO's programmes.

3.   The "Invest for Efficient Delivery" Plan is geared towards the above-mentioned two principle goals. It is also in alignment with UNESCO's Medium Term Strategy (2014-2021) and agreed strategic directions, including increased programmatic focus and positioning to the field, maximizing the Organization's participation in the United Nations system. It is also in line with the wider UN Reform agenda and the core functions identified as key drivers for UNESCO and other specialized agencies to support the achievement of the SDGs; notably policy and capacity development support, convening and normative functions, and leveraging partnerships and resources to ensure effectiveness and maximize impact. The plan is also cognizant of measures that will allow UNESCO to respond with greater agility to persisting challenges and emergency situations.

4.   Recognizing that reform is not static but an evolving process, the "Invest for Efficient Delivery" Plan builds on existing recommendations and proposals, as well as remedial actions already carried out in certain areas. More specifically it is grounded on: the Independent External Evaluation (IEE), relevant IOS reports and evaluations, External audit recommendations, the work of task forces and the Efficiency Working Group, the TASCO mechanism, the KM & ICT strategy and the Fit-for-Purpose UN agenda. In addition, the plan is informed by relevant reform initiatives guided by the Chief Executives Board for coordination (CEB) and its three pillars: the High Level Committee on Programmes (HLCP), the High Level Committee on Management (HLCM) and the United Nations Development Group (UNDG).

5.   The underpinning internal planning process has yielded a theory of change (depicted below) which delineates the pathway of the Plan by making explicit both the outcomes of the Plan and the action strategies that will lead to the achievement of these outcomes and thus in turn to the achievement of the two principle objectives.

PROJECT LOGIC and THEORY OF CHANGE
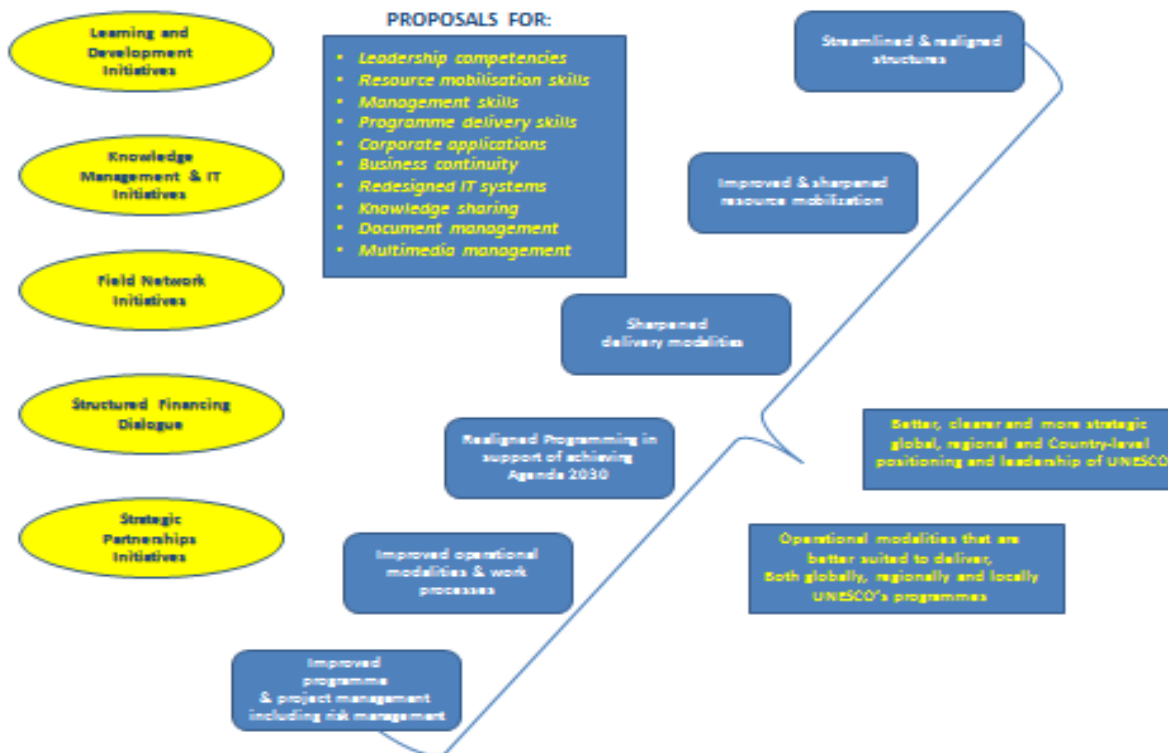
Implementing the Invest for Efficient Delivery Plan

6.   The main aim of the Invest for Efficiency Fund is to finance ongoing investments in reform and improving UNESCO's programme delivery in order to produce ever greater efficiency gains and cost optimization in support of programme delivery (197 EX/Decision 5 (IV.D). The present Plan elaborates a series of fully developed and costed proposals that are summarized in terms of their expected accomplishments in a results matrix in Annex I. Each expected accomplishment is described in detail in a fully elaborated proposal including key objectives, benefits and outcomes, planning and timelines and costing. Each proposal provides information on expected benefits and savings and, where appropriate, the payback period. Proposals are grouped under (a) Learning and Development (Annex II) and (b) Knowledge Management and Information Technologies (Annex III). As demonstrated in the results matrix the projects are part of strategic approach expected to lead to efficiency and effectiveness gains in six strategic results areas.

7.   The current set of proposals which was arrived at during an internal prioritization exercise constitutes Approval Phase I of the Plan. Approval Phase II will include an additional set of initiatives to be developed in time for approval at the 200th session of the Executive Board. A concept note reflecting an approach to designing a more strategic, sustainable and operational field network is included in Annex IV. Additional funding may be sought for Phase II depending on funding requirements.

8.   During Approval Phase I a number of projects will be undertaken over a period of two years to address the five of the six strategic results areas. The logic of the proposed activities is as depicted above, reflecting the set of proposals attached in the Annexes which all are expected to lead to meeting the strategic results of the Invest for Efficient Delivery Fund. The project proposals include the following activities and funding envelopes:

(i) *Streamlined and re-aligned structures that are more effective and accountable ($547,000)*

The proposed projects aim at strengthening financial management and accountability as well as enhancing leadership skills. The estimated cost for these projects which mostly entail training activities is $547,000. During Phase 11, which has not been costed yet, additional projects will be developed aiming at redesigning and optimizing the field network, reviewing and adapting website governance, and revisiting and reconfiguring various corporate services. Additional resources will be required for these initiatives.

(ii) *Improved and sharpened resource mobilization processes and strategies ($1,293,000)*

Training and enhanced knowledge management and information systems are essential for robust results-based budgeting (RBB) bottom-up planning, for tracking resource mobilization efforts, sharing intelligence on resource mobilization opportunities and for improving the quality and timeliness of reporting. The proposed projects will focus on developing skills for all staff in the area of resource mobilization; designing a constituency relationship management system and enhancing the transparency portal in order to allow for better sharing of key donor and project development information. UNESCO's Transparency Portal will be further developed to provide regularly updated information on the status of funding of UNESCO's Programme and budget as a tool for further catalysing transparency and accountability. The estimated cost is $1.3 million. Possible additional activities to be developed for Phase II will focus on tools to further support the structured financing dialogues.

(iii) *Realigned programming in support of achieving Agenda 2030 ($985,000)*

This area is key for UNESCO in order to best support national governments in the implementation of Agenda 2030. Current projects totalling just under $1 million include training directors of field offices so they can better position UNESCO in UNCT joint initiatives and better identifying UNESCO's programmatic contribution to UNDAF outcomes and outputs based on the Organization's areas of expertise and comparative advantages; enabling. The training will also enable UNESCO field offices to better formulate, implement and monitor project and programme at national level. In parallel an initiative is included to encourage the field offices to set up communities of practices, strengthen the use knowledge-sharing tools and improve records management.

(iv) *Improved operational modalities and work processes ($656,000)*

Current proposals in this strategic results area focus on modernizing UNESCO's document and multimedia repositories and library catalogue called UNESDOC as the long-term sustainability of these systems are at risk. Another proposal is focused on training staff in the use of corporate applications. The main objective is to increase productivity and improve data quality for reporting by optimizing the use of the corporate applications. These proposals are costed at $656,000.

(v) *Improved programme/project management including risk management ($4,446,000)*

Improving project management is one of the key areas to improve overall performance and there are a number of activities being proposed during Phase I, including strengthening programme cycle management; reflecting gender equality and gender mainstreaming appropriately in programming; instilling a risk management culture; establishing and maintaining a decentralized evaluation network to improve the quality of decentralized evaluations; and to ensure business continuity and disaster recovery. The redesign of UNESCO's core information systems is essential in order to improve programme delivery and reporting. Due to the complexity of this project is represents a

significant investment, therefore this strategic results area is costed at about $4.5 million.

(vi) Sharpened delivery modalities and appropriate mechanisms and tools

No proposals have yet been developed under this strategic results area but most likely will include the following elements (as attached in Annex IV): reviewing and adjusting modalities for emergency/transition contexts; reviewing implementation trends and issues in the field; refining and adapting tools and guidelines for the field; strengthening operational responses in humanitarian crises including through rapid temporary deployment and developing and implementing a project appraisal system to improve the quality of project design and portfolios.

9. The Plan keeps programme delivery at the core and better aligns organizational and operational modalities and will have an impact on better decision-making and improved transparency and accountability mechanisms. Initial yearly efficiency gains based on the investment in IT Knowledge Management & ICT are estimated at $2,170,000. In addition, the development of a business continuity plan including disaster recovery has the potential of saving several millions of US dollars by avoiding extended downtime of operations. Learning and development initiatives for a knowledge-based workforce such as UNESCO's do not lend themselves to obvious quantitative evaluation in monetary terms. Efficiency and effectiveness gains fall into "soft" business measures (such as motivation, engagement and turnover intention) or "hard" measures (time, error-rate, success rate for resource mobilization). Assessment of the process of designing, developing, piloting, implementing and evaluating the learning initiatives Learning Initiatives will also take place at key milestones, and the lessons learned incorporated into subsequent phases. The Programme Management Committee (PMC) will provide stewardship over the implementation of the fund and will assess progress in regular intervals. Progress reports will be prepared and presented to each session of the Executive Board.

The way forward

10. Recognizing the budgetary constraints facing the organization, and the varying pace of implementation of projects under the "Invest for Efficient Delivery" Plan, the Plan will remain responsive and reactive to feedback and adapt to other new or ongoing initiatives. It is intended that the rest of the investment plan (Phase II) will be developed in time for the 200th session of the Executive Board, fully taking into account the discussions at the 199th session of the Executive Board.

Proposed decision

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

The Executive Board,

1. Recalling 196 EX/Decision 15, 196 EX/Decision 4 (II, E), and 197 EX/Decision 5 (IV, D),

2. Welcomes the proposals outlined in document 199/EX and Annexes II-IV;

3. Endorses the detailed time-bound and costed activities as presented in Annexes II and III;

4. Requests the Director-General to further develop the plan and present to it additional proposals at its 200th session, taking into account the debate thereon at its 199th session;

5. Appeals to Member States to consider providing voluntary contributions to complement the available budget resources.

ANNEX I

RESULTS FRAMEWORK AND COSTING

STRATEGIC RESULTS	EXPECTED ACCOMPLISHMENTS PHASE I				EXPECTED ACCOMPLISHMENTS PHASE II (provisional)			COSTING PHASE 1	COSTING PHASE II (provisional)
Streamlined & re-aligned structures that are more effective and accountable	Financial Management & accountability strengthened	Leadership skills enhanced			Corporate services revisited & reconfigured	Field network redesigned and optimized	Website Governance reviewed and adapted		
	$ 438,000	$ 109,000						$ 547,000	$ 100,000
Improved & sharpened resource mobilization processes and strategies;	Skills developed for all staff in the area of resource mobilization	Transparency Portal revised to reflect structured financing dialogue and review of reporting modalities*	Constituency Relationship Management System (CRM) developed and implemented		Structured financing dialogue approach developed	Harmonized and simplified project/donor reporting			
	$ 98,000		$ 900,000					$ 998,000	
Realigned programming in support of Agenda 2030	Director of Field Offices enabled to better position UNESCO in UNCT joint initiatives & enhanced programmatic contribution A2030	Communities of Practices and new knowledge-sharing tools developed and actively applied							
	$ 547,000	$ 400,000						$ 947,000	
Sharpened delivery modalities and appropriate mechanisms/tools					Modalities for emergency transition contexts reviewed and adjusted	Strengthened operational response in humanitarian crises including through rapid temporary deployment	Review of implementation trends and issues in the field	Adapted tools and guidelines for the field	
									$ 1,500,000
Improved operational modalities & streamlined work processes	Document and multimedia management optimized	Internal Tools for increased productivity developed and applied			Generic Job Profiles created for more efficient recruitment process				
	$ 500,000	$ 109,000						$ 609,000	
Improved program/project management & Risk mitigation	Core UNESCO information systems to improve programme management and delivery resdesigned & implemented	Business continuity and disaster recovery ensured	Programme cycle management strengthened, programming gender mainstreamed	Decentralized Evaluation network established and trained					
	$ 3,120,000	$ 350,000	$ 449,000	$ 200,000				$ 4,119,000	
blue = KMI & IT Plan							GRAND TOTAL	$ 7,220,000	$ 1,600,000
green = Training Plan									
* costing part of CRM project								PHASE I	PHASE II

ANNEX II

INVEST FOR EFFICIENT DELIVERY:
LEARNING AND DEVELOPMENT INITIATIVES

Background

1.   The Learning and Development plan presented in this document consists of seven key areas for learning initiatives, related to:

- Resource Mobilization

- Professional Competencies for Programme Delivery

- Management and Accountability

- Programme Delivery at Country Level within the United Nations system

- Leadership

- Corporate Applications and IT tools

- Strengthening UNESCO's Decentralized Evaluation Function

2.   The order shown above reflects the priorities established.

3.   In 197 EX/5 Part IV INF.2 the cost of delivering these initiatives was estimated at $1.53 million.[17] However, on further consultation and analysis, further needs have been identified under learning initiative 4, "Enhance Programme Delivery at Country Level with the UN System" and an additional learning initiative 7, "Strengthening UNESCO's Decentralised Evaluation Function" The overall estimated cost therefore now stands at US$ 1.95 million. The increase of $420K is to allow for specific capacity-building to better prepare field offices to respond to the implementation of the sustainable development goals and to better cooperate with the United Nations at country level, and to establish an operational Evaluation Focal Point network.

4.   HRM has liaised with the relevant Sectors and Bureaux to identify the elements to be included in this fully-developed plan.

5.   The learning initiatives described in this document do not represent the entirety of the initiatives planned by HRM for the period 2016-2017. Other initiatives which do not require a centralised training budget will continue to be rolled-out and promoted, such as the induction programme for newcomers, language lessons, career support and coaching, facilitation of development and team building activities, and the identification and dissemination of online learning resources such as MOOCs[18] and other quality, free, online resources. Training for managers on competency-based interviewing will also be launched, along with a pilot mentoring programme. HRM also provides ad hoc assistance and advice to Sectors/Bureaux on learning and development issues.

6.   This document is in two parts. Part I provides an overview of the general learning strategy and implementation approach which will be applied across all learning initiatives. Part II addresses each of the learning initiatives in turn, giving further information on context, strategy, learning objectives and expected gains.

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[17]   €1.4 million converted at the exchange rate at 1 January 2016.
[18]   A MOOC is a massive open online course that is aimed at unlimited participation and open access via the web..

PART I: OVERVIEW

Context

UNESCO's regular budget for learning and development ended in 2011. Since then, staff have received no, or very little, formalized, structured training.

The Organization has an online Learning Management System which contains training materials. While some of the resources on this platform were designed specifically for UNESCO, others were provided by other United Nations agencies, and consequently are not fully compatible with the UNESCO environment. Many learning materials are in need of review and updating, and there are gaps in the subject matters covered.

The aim is therefore to provide a range of relevant learning opportunities and materials that will ensure that the UNESCO workforce has the necessary skills, knowledge and competency-base to effectively deliver the sustainable development goals.

Under a separate initiative, HRM is currently developing a **Competency Framework**, defined as "an inventory of knowledge, skills abilities and behaviours that lead to excellence on the job". The learning initiatives in this plan and the Competency Framework will be mutually supportive.

The proposed Framework outlines four values, seven core competencies and six managerial competencies, which are essential to excellence and signal the types of behaviours that are valued and expected within the Organization. The values underpin the entire Framework, being the shared principles that should guide all staff, regardless of level, in their actions. For each value and competency, a definition and positive indicators are provided. The values and competencies provide a common language for *how* staff work. Functional and technical competencies, specific to individual roles, are not covered by the Framework. They are identified in vacancy notices and job descriptions.

Each learning initiative in this proposal has been mapped to at least one indicator within each of the values and competencies, with only a few exceptions. In addition to the learning and development component, the Framework will provide a basis for other HR practices, such as job descriptions and profiles, recruitment and performance management.

Staff will be provided with tools to assist in identifying competency-related learning needs and to understand how each learning initiative relates to competency development. Staff and their managers will also be encouraged to explore other forms of learning, in addition to those presented under this proposal, to improve core and managerial competencies, and embed the values in their daily work.

Strategy for Learning Initiatives under Invest for Efficient Delivery

The learning initiatives are all interrelated but separated into their component parts here in order to prioritise the activities given limited human and financial resources. The core purpose of the entire learning plan is to improve programme design and delivery.

HRM endeavours to work closely with colleagues in the Sectors and Bureaux, to ensure that the respective process owners are consulted on content and strategy of HRM-initiated learning; and also to ensure that these initiatives build on existing practices, resources and experiences in the Organization. In addition to informal contact with colleagues throughout the Secretariat, in May 2015 HRM launched a Learning Steering Board. One of the outcomes of the first meeting was to identify learning needs and prioritize them, as reflected in the learning initiatives presented in document 197 EX/5.INF.2. Sub-working groups are emerging, to work on formalizing content for the individual learning initiatives, to avoid duplication and contradiction of approaches and key messages, and also to ensure that all content is covered. The exact timing of developing the learning initiatives will be adapted in agreement with the relevant stakeholders, to ensure that the learning projects do not hinder programme delivery.

The Learning Strategy is built not only on learning and development best practices, but also on the experiences of other international organizations, and lessons learned from within UNESCO itself – either from evaluating the impact of past learning initiatives, or through considering the impact of an absence of training.

The Learning Strategy is built around the principle of flexible, learner-driven development, enabling access to quality online asynchronous materials at a time when needed by learners, backed-up by access to experts to further embed the learning and encourage engagement around social interactions.

The approach is pragmatic, taking into account the how, when and why of people identifying their own learning needs, and/or how those learning needs may be identified by their supervisors; and the learning modalities which then best meet these identified needs. Underpinned by principles of learning efficiency, the approach is based on:

- Bite-sized learning: material is broken down into a manageable format, so that staff members can easily access the specific elements that they need.

- Just-in-time access: staff can access information about the essential aspects of the topics at the precise moment when they need it.

- Social learning: encouraging engagement with the learning process through discussion, and giving and receiving feedback not only via the subject-matter expert(s), but also with other colleagues.

This will be achieved as follows:

- Blended learning: i.e. a combination of face-to-face, webinars and on-line, asynchronous learning. This blended approach is also used by the United Nations System Staff College (UNSSC) to maintain the benefits of classroom-based learning, while reaching a geographically-dispersed audience at reduced cost.

- Flipped classroom: maximizing the available contact time with a "live" trainer (whether face-to-face or via webinar) by providing input on underpinning principles through asynchronous, digital learning (such as e-learning, videos and podcasts).

- Regular, short contact time with trainers. For example, a one-hour webinar "clinic", tackling a specific topic or looking at an example. These can be recorded, to build up a library of resources.

- Focal points in the regions: equipped with facilitation skills through train-the-trainer workshops. Since training is not the core activity of these focal points, their input will concentrate on building on the digital learning, through the use of case studies and peer-learning, while being respectful of demands on their time.

- Building on existing in-house resources (existing training materials and/or expertise), and, where practicable, on the resources and experience of other United Nations agencies or international organizations.

- External classroom training when this is the only option for acquiring the required competencies.

To encourage learners to engage with the material prior to planned contact sessions with facilitators, HRM recommends a MOOC roll-out approach where appropriate, i.e. a structured learning path using the digital materials over a set number of weeks, with email updates and reminders and access to an online discussion, to create a learning cohort. This encourages learners to engage with the content, rather than simply consuming it.

The live sessions will be delivered either face-to-face or via webinar.

The current challenges are therefore to:

(i) ensure that the learning materials are as complete as possible, by developing and adding to them

(ii) curate the material to ensure logical structure and flow

(iii) provide a structured learning path through the material, while nevertheless allowing flexibility, so that learners can identify and source targeted topics, when needed

(iv) create a culture in which staff want to learn and seek out training and development opportunities

The proposed investment in training for the 2016-2017 biennium will lay the foundations for moving to a different learning strategy in the future. Many organizations are now implementing a 70:20:10 approach, where:

- 70% of learning comes from on-the-job experience and practice, to provide in-context learning which moves at the speed of the organization

- 20% of learning comes through other people, such as from networks, conversations, and seeking input

- 10% of learning from formal learning programmes

In the 70:20:10 model, the 10% has to be supported by a financial budget and time for staff away from their work, while the 70% and 20% needs to be supported by managers having coaching and mentoring skills and the flexibility to provide exposure to new practices

To implement this kind of learning however, requires a strong base of knowledge and skills, to ensure that learners can benefit from on-the-job experiences, and that there is a critical mass of

other colleagues to learn from, who have acquired the necessary skills and knowledge in a structured manner.

The learning initiatives proposed under the "Invest for Efficient Delivery" Plan will establish a culture of learning and get skills up to speed, after a hiatus of four years with an absence of sustained and structured learning. Through facilitating and nurturing learner cohorts, a by-product of communities of practice will emerge, with a reliable knowledge base, who can coach and train other colleagues, especially newcomers.

Implementation

As the plan is implemented, the content and approach of learning initiatives may be moderately adapted based on evaluation and impact of the learning initiatives delivered earlier on in the plan. The design and roll-out plan is therefore an iterative process, to remain responsive and reactive to feedback, and adapt to other initiatives.

HRM is mindful of the amount of time required by staff to participate in learning and development, whatever the mode of delivery. Targets will therefore be adjusted in response to feedback from learners and their supervisors, in terms of the demands on their time, to maintain a reasonable balance. It is also envisaged to modify the Learning policy to include a mandatory component of learning time.

The communication plan around the learning initiatives is not part of this present document but is a key part of the success. While some training will be compulsory (see table below), especially in the early months for newcomers, the intention is to create a learning culture, in which HRM "pushes" certain modules, but there is also "pull" from staff, requesting access to and participation in training. This will be facilitated by early-adopters, or champions, for some training, and through creating a critical mass of staff who have learned and benefited from the training in other areas.

Staff members on fixed-term and PA contracts are the priority population for the learning initiatives. However, in most instances there will be no limit to capacity, notably for e-learning and webinars, and so learning initiatives can be made available to staff holding other contract types.

The tables below provide a high-level overview of the training to be offered by population and an indication of the numbers concerned, by headcount. In most cases, specific modules within each of the learning themes will be targeted for each population. Obligatory learning is applicable for the 2016-2017 biennium. Other priorities will be established for subsequent years, based on evaluations of outcomes, and shifting priorities, to ensure the learning and development offer continues to meet and anticipate the Organization's needs, and that staff remain engaged in learning.

Field and Headquarters staff				
	Managers	Programme Specialists	Support Staff	Administrative Officers
Personal security	Obligatory			
Ethics	Obligatory			
IT Security	Obligatory			
Resource Mobilization	Obligatory	Obligatory	Obligatory	Obligatory
Programme/project management	Core modules obligatory	Core modules obligatory	Core modules obligatory	Offered

Communication skills	Offered	Offered	Offered	Offered
Interpersonal skills	Offered	Offered	Offered	Offered
Gender mainstreaming	Obligatory	Obligatory	Offered	Offered
Management and accountability culture	Core modules obligatory	Core modules obligatory	Core modules obligatory	Core modules obligatory
Programme delivery at country level within the United Nations system	Offered (to selected population – field offices)			
Leadership skills	Offered (P4 & above)			
IT tools	Offered	Offered	Offered	Offered

Headcount : Regular Programme & Extrabudgetary

1. Total UNESCO staff

	D	%	P	%	NO	%	G	%	Total
HQ/IEP	37	3%	560	51%	-	-	508	46%	1105
Field/Inst	40	4%	370	36%	146	14%	472	46%	1028
TOTAL	77	4%	930	43%	146	7%	980	46%	2133

2. Staff - Programme Sectors (ED, CI, CLT, SHS and SC)

	D	%	P	%	NO	%	G	%	Total
HQ/IEP	19	4%	322	63%	-	-	168	33%	509
Field/Inst	12	2%	306	47%	133	20%	202	31%	653
TOTAL	31	3%	628	54%	133	11%	370	32%	1162

3. Staff - non-programme sectors

	D	%	P	%	NO	%	G	%	Total
HQ/IEP	18	3%	238	40%	-	-	340	57%	596
Field/Inst	28	7%	64	17%	13	3%	270	72%	375
TOTAL	46	5%	302	31%	13	1%	610	63%	971

As of 31 January 2016

Impact and Evaluation

The Executive Board decision contains the request to include "… the possible efficiency and effectiveness gains".

Learning and development initiatives for a knowledge-based workforce such as UNESCO's do not lend themselves to obvious quantitative evaluation in monetary terms. However, the intention is to use a widely-recognized method of evaluating the impact of learning initiatives, namely the Kirkpatrick Model™. This model provides for four levels at which learning activities may be evaluated and also serves as a structure for the design of learning activities – working back from the desired learning outcomes, to identify the activities and approach best adapted to achieve those aims.

Level	Aspect	Types of questions asked
Level 1: Reaction	Extent of learner satisfaction with the learning initiative.	Do participants find this training useful and interesting? Are participants actively involved in and contributing to the learning experience?
Level 2: Learning	Extent to which participants acquire the intended knowledge, skills, attitudes, confidence and commitment.	Do the participants acquire the intended skills and knowledge? Do participants believe that they can implement these new skills and knowledge in the workplace? Do participants believe that implementing the skills and knowledge will be worthwhile (motivation)? Do participants intend to implement the skills and knowledge in the workplace?
Level 3: Behaviour	Extent to which participants will use or apply what they learned in training on the job.	Are participants applying the learning in the workplace? To what extent?
Level 4: Results	Extent to which the applied learning has an impact on the organization.	What are the measurable, observable or perceived impacts (e.g. time saved, increased motivation, fewer errors, improved quality)?

The possible impact of learning can be identified in two ways, which also inform the training design:

(i) Where *ad hoc* or pilot sessions have been delivered within the past two years, qualitative and quantitative feedback on the outcomes of the learning can be gathered from a sample of the participants.

(ii) Where the proposed learning initiative is new, or there are no past sessions which can be reasonably used to determine effectiveness, the expected gains can be determined through assessing the "gap" in terms of knowledge, skills or performance which needs to be bridged in order to meet the required level. This "gap" analysis is also used as a complement to the feedback obtained from method (i), above.

Efficiency and effectiveness gains may fall into those considered "soft" business measures (such as motivation, engagement, and turnover intention) or "hard" measures (time, error-rate).

Evaluation at Level 1 of the Kirkpatrick Model™ is usually carried out immediately after the learning activity, while the other levels of evaluation are carried out over a timeframe which is appropriate

for the type of outcomes expected from the learning activity. It should be noted that evaluation at Levels 1 to 3 in the above table can be carried out without placing significant burden on stakeholders. Techniques (both pre- and post-learning) include focus groups, interviews, action plans, and questionnaires, with input from participants and other stakeholders (supervisors, colleagues in other teams etc.). However, the learning of some skills, notably soft skills and management or leadership skills, cannot be fully evaluated at Level 3 without the introduction of tools such as 360° feedback.

Assessing the impact of any one learning initiative at Level 4 with any degree of accuracy requires the ability to attribute causality by isolating the effects of any given learning initiative from other learning initiatives and from any other factors which may influence the metrics under examination. This may not always be practicable, given the intention to roll-out several learning initiatives in quick succession and/or simultaneously. However, each training module will have clear goals indicating expected impact, determined through the final needs analysis. For example, learning initiatives on resource mobilization are expected to result in an increase in extrabudgetary resources, and programme management will be improved in terms of key indicators such as management of variables. Reports of the Internal Oversight Service (IOS) have highlighted the need for training in many of the topics covered in this proposal, including resource mobilization and financial management procedures.

Assessment of the process of designing, developing, piloting, implementing and evaluating the learning initiatives will also take place at key milestones, and the lessons learned incorporated into the subsequent phases.

The learning initiatives presented in this plan are required not only to achieve an intended improvement in performance, but also to maintain the status quo, or even in some areas to avoid a downward turn in performance and loss of competitive edge.

PART II: LEARNING INITIATIVES

1.   Improve Resource Mobilization

Key Contacts	BSP; KMI
Budget requested	$98K

Introduction

Resource mobilization is the highest priority to be addressed. Although in theory part of the broader topic of effective programme delivery (see below), the issue of resource mobilization requires separate treatment, given its current importance. The October 2015 "Audit of UNESCO's Resource Mobilisation Strategy and Framework" by IOS identified the necessity for a "knowledge centre", including "training toolkits" and states that "…investment in skills development and a management system for constituency relationships will improve engagement with donors". The Invest for Efficient Delivery document 197 EX/5 Part IV (D) includes a Constituent Relationship Management (CRM) proposal by KMI, who will manage the training for staff on using the tool.

Staff responsible for raising funds for programmes and projects must understand the strategic niches where their Unit/Sector/field office can offer a clear added-value to potential donors. They should also understand principles and rules related to extrabudgetary funding. They need to develop the skills required to identify the potential interest of donors, and draft engaging and

compelling project proposals which appeal to them. They must present these and other communications in the appropriate terms for the target audience, constructing arguments from the point of view of the interlocutor.

This learning initiative provides training on resource mobilization, which is underpinned by results-based management and its budget component, results-based budgeting, to a wide audience, with flexibility in learning modalities and access to key training materials at a time when the individual learner needs it.

Learning Objectives

The overall learning objectives are for staff to:

- understand the main steps in the resource mobilization process

- develop the skills required to generate engaging project proposals

- master the processes involved in resource mobilization

Specific learning objectives will be refined for each e-learning module and live session.

Targets

The target learning population covers all those involved in programme activities. Programme specialists are the priority audience, but nevertheless it is important for all those involved in, or potentially involved in, resource mobilization and project design to have at least some understanding of the methods and procedures.

The expectation is that at least two programme specialists and one support staff in each field office will complete the online learning within 12 months of the programme launch and that 70% of programme staff will have completed the online training and attended at least one webinar or face-to-face session, by the end of 2017. For newly recruited programme specialists the resource mobilization and results-based management e-learning package will become part of the learning path.

	D	70%	P	70%	NO	70%	G	70%	Total 100%	Total 70%
HQ/IEP	19	13	322	225	-	-	168	118	509	356
Field/Inst	12	8	306	214	133	93	202	141	653	456
TOTAL	31	21	628	439	133	93	370	259	1162	812

Content overview

BSP has developed learning materials for delivery at face-to-face workshop sessions both at Headquarters and in the field, in collaboration with BFM. These sessions started in 2011 and have been delivered on an *ad hoc* basis since then, when funds have allowed. The most recent workshop was delivered in Addis Ababa, in 2015. However, a lack of funds prevents the team from putting in place a sustainable learning and development strategy.

The intention is to broaden the existing materials, building on current content, around the themes of:

- the context for resource mobilization at UNESCO

- proposal preparation, project design, and monitoring and reporting in line with the results-based management approach

- entry points to cooperation and partnerships

- engaging with donors (including structure and format of proposals)

- understanding internal processes

At each stage, emphasis is placed on the importance of the learner understanding the viewpoint of the individual donors and adapting their approach and communications to take into account their varied specificities and interests.

Learning Strategy and Planning

As mentioned above, BSP has delivered training workshops at Headquarters and in the field. The face-to-face sessions delivered to date were a highly-valuable stage of piloting the materials and learners' reactions to them.

To benefit more from the expertise outside Headquarters and respond to the needs identified by the Learning Steering Board, Focal Points in the regions will be identified, and equipped with facilitation skills through train-the-trainer workshops. These Focal Points may also be invited to occasionally lead webinars on specific topics within their areas of expertise and experience.

The high-level project planning is as follows:

1. Resource Mobilisation	2016												2017											
	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12
Finalize content of e-learning modules		X	X	X	X	X	X	X	X															
Develop test and finalize e-learning modules				X	X	X	X	X	X	X	X	X	X	X	X									
Train-the-Trainer for local focal points													X	X	X									
Implementaiton of learning packages											X	X	X	X	X	X	X	X	X	X	X	X	X	X

Efficiency and Effectiveness Gains

The requirements for training on resource mobilization and results-based management are documented in the draft resource mobilization strategy for 2016-2017 (197 EX/5 Part IV Add.), and are key to achieving the expected results for engagement with different categories of donors set out therein:

- More effective and consistent approach to resource mobilization

- Improved management of donor interaction and information

- Better understanding of the internal clearance procedure

- More coherent use of tools

- Expanded donor and partnerships base, and an increase in the amount of resources mobilized

2:	Enhance Professional Competencies for Programme Delivery

Key Contacts	BSP; CI; ERI; KMI; ODG/GE
Budget requested	$449K

Introduction

The entire training proposition under the Invest for Efficient Delivery plan is aimed at improving programme delivery through increased efficiency and impact. However, the activities in this learning initiative 2 are aimed at developing those skills which have direct bearing on the outcomes of programme delivery, addressing the programme/project lifecycle, gender mainstreaming, communication and also "soft" interpersonal skills.

This learning initiative is presented in three sub-sections, namely (a) Programme/project management; (b) Communication and interpersonal skills; and (c) Gender Equality and Gender Mainstreaming.

(a) Programme /project management

Introduction

These skills lie at the heart of efficient programme delivery. Staff should understand the principles of designing, implementing, monitoring and evaluating a programme in UNESCO, within the context of the Organization's programme and budget cycles, and underpinned by results-based management and results-based budgeting. This learning initiative also aims to ensure that staff have a project management mindset, a common language and approach, and mastery of a range of project management tools.

Workshops will be developed, in particular in consultation with BSP, to build knowledge and understanding of programme design, implementation, monitoring and evaluation within UNESCO. In addition, pilot workshops from 2015 on proprietary project management tools will be built on and expanded.

Learning Objectives

- Understand principles of budgeting for and managing a programme in UNESCO

- Apply principles of results-based budgeting and management to programmes

- Understand how to select, adapt and use project management tools

- Apply diagnostic and problem-solving skills to project management

- Incorporate risk and stakeholder management, and contingency planning

- Communicate on project results, using communication as an implementing leverage

- Manage variables of time, cost, scope, risk and benefit.

- Apply monitoring and evaluation skills

Targets

This learning initiative is targeted at all those involved in designing and delivering programme activities. Professional and support staff will be provided with adapted learning packages with content relevant to their roles.

This learning initiative requires significant development and needs additional piloting before roll-out. The aim is therefore to pilot the learning with one or more teams totaling at least 30 staff. Thereafter, the aim is to train 30% of staff within the first 18 months after roll-out, and the remainder in the following 12 months.

	D	30%	P	30%	NO	30%	G	30%	Total 100%	Total 30%
HQ/IEP	37	11	560	168	-	-	508	152	1105	331
Field/Inst	40	12	370	111	146	44	472	142	1028	309
TOTAL	77	23	930	279	146	44	980	294	2133	640

Content Overview

The content will offer programme management solutions and techniques from a mixture of recognized methodologies, so that staff can select the tools and approaches which are most relevant for a given context. It will include themes around:

- Programme and budget cycles

- Results-based management

- Problem and needs analysis

- Risk analysis

- Planning

- Work structure and tools

- Managing change, risks and contingencies

- Stakeholder mapping

- Implementing, monitoring and evaluating

Learning Strategy and Planning

A benchmarking exercise will be carried out with other United Nations agencies to refine the detailed structure of individual modules, and subsequently tested with programme specialists, before development. As with the other learning initiatives, the approach will be a blend of digital learning and live sessions.

The learning materials will be offered at two levels: one level providing in-depth tools and techniques for the professional programme staff, and a second level providing an overview of project/programme management for support staff not directly responsible for programme delivery, but who nevertheless would benefit substantially from understanding the approaches, terminology and tools.

The high-level planning is as follows:

	2016												2017											
(a) Programme / project management	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12
Design learning content			▨	▨	▨	▨	▨	▨	▨															
Develop, test and finalize package										▨	▨	▨	▨	▨	▨	▨								
Implement learning packages																		▨	▨	▨	▨	▨	▨	▨

Effectiveness and Efficiency Gains

- Improved understanding of processes and tools

- Enhanced ability to demonstrate the expected benefits of programme delivery

(b)   Communication and interpersonal skills

Introduction

Given the current climate, with increased competition for resources, communication in all its forms was highlighted as in need of development by the members of the Learning Steering Board. Communication is a key part of programme delivery, from the project proposal stage through to closing, and it is important to create the appropriate balance of meeting the needs of all stakeholders when communicating. Communication for Results is a central aspect of the programme delivery, playing a role throughout the cycle, and not only when communicating about impact at the end of the programme. The ever-increasing importance of online communications will also be addressed through specific modules, such as writing for the web and social media.

Other interpersonal skills, also known as "soft skills", require development, for example managing conflicts and working in a diverse team. These are the types of skills which support the "how" of working, which complement the hard skills or the "what" addressed elsewhere in this plan.

Learning Objectives

- Develop skills to formulate and adapt messages appropriately for the mode of communication, content and target population

- Improve writing skills, including generating ideas, revising and editing

- Develop a range of interpersonal skills, to facilitate working and improve programme delivery

Targets

Ultimately, the entire staff population will participate in one or more of the learning modules proposed in this section. Given the volume of learning which will be offered to staff under Invest for Efficient Delivery, and the fact that some of the learning is obligatory (see page 4), most of the topics covered in this section will be promoted under the Competency Framework project. Staff will

be invited to select the training modules most suited to them during conversations with their supervisors, and/or on the basis of self-analysis. Tools will be provided to assist supervisors and staff in identifying training needs.

The writing skills will be "pushed" to staff on a targeted basis in the first stages, as part of the roll-out of the resource mobilization and results-based management training. The targets are of at least two programme staff and one support staff in each field office to have completed the online learning within 12 months of the programme launch and 70% of programme staff to have completed the online training by the end of 2017.

	D	70%	P	70%	NO	70%	G	70%	Total 100%	Total 70%
HQ/IEP	19	13	322	225	-	-	168	118	509	356
Field/Inst	12	8	306	214	133	93	202	141	653	456
TOTAL	31	21	628	439	133	93	370	259	1162	812

Content Overview

The communication training will include:

- Advocacy

- Outreach

- Social Media

- Writing skills

- Communicating for Results

- Communicating with the Media

Training on interpersonal skills includes content on:

- Decision-making

- Problem solving

- Emotional Intelligence

- Conflict Management

- Motivating Others

- Influencing

- Working with Diversity

Learning Strategy and Planning

This section of the learning plan is the largest. Mindful of the demands on the time of staff who will be invited or obliged to participate in learning and development, this section will be further broken down into its component parts. Priority will be given to developing writing skills and communicating for results.

ERI has developed and delivered *ad hoc* training sessions on subjects such as web communication, social media and publication policy. The content from these sessions will be developed to reach a wider audience on a more sustained basis. The Organization also has a series of learning modules in "soft" skills. These were developed for face-to-face sessions. Some will be converted to e-learning, supplemented by regular webinar sessions and encourage learners to engage. For other topics, it is less costly to purchase e-learning licenses of off-the-shelf-packages, so this option will be selected where the content is of equivalent quality and relevance.

The high-level project planning is as follows:

(b) Communication and interpersonal skills	2016												2017											
	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12
Select providers for programme development			▓	▓	▓	▓	▓	▓	▓	▓	▓	▓												
Develop, test and finalize learning packages						▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓								
Implement learning packages													▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓

Effectiveness and Efficiency Gains

- Enhanced skills in communicating with all stakeholders, throughout the programme life-cycle, through choosing the optimum mode of communication, content and style

- Broadened range of skills and tools to call on, to improve the "how" work is carried out

(c) Gender Equality and Gender Mainstreaming

Introduction

Gender equality is one of two global priorities for UNESCO and as such, central to its programming and activities in all Major Programmes as well as in the Secretariat. In order to achieve concrete and sustainable results across all its field of competence, the Organization ensures that a gender equality perspective is reflected throughout its work through a two-pronged approach: (i) gender mainstreaming in all programmes and activities; and (ii) gender-specific programming.

To embed Gender equality considerations in all parts of the Organization's work, capacity development on the methodology for gender mainstreaming (which is also a common methodology for all United Nations agencies) is mandatory for all professional staff in all Sectors, central services, field offices and institutes/centres. However, given recent financial constraints, this training has not been delivered in the last two biennia as necessary. Within the context of this plan, existing training materials, modules and platforms will be updated, further developed and implemented.

Learning Objectives

- Improve staff understanding of gender equality concepts and gender equality issues in relation to all UNESCO's fields of competence.

- Ensure that staff are familiar with the methodology for gender mainstreaming and elements of gender analysis – as well as gender-specific programming – across all of UNESCO's Major Programmes and capable of full and efficient integration of gender-equality considerations into programme design and programme implementation, policy advice, advocacy, research, normative and standard setting, capacity development, monitoring and evaluation activities.

- Enhance the capacities of staff to achieve all internationally-agreed development goals, including gender-specific ones.

Targets

Gender equality training at UNESCO has been compulsory for all professional staff since November 2005. A more detailed and deeper Gender Equality training is required for members of UNESCO's Gender Focal Point Network.

For Gender Focal Points, the target is to update skills for 100% of the population by mid-2017, and to deliver the core training module to all new Gender Focal Points (appointed since the most recent training) within the same timeframe. The obligatory e-learning is planned for delivery in the third quarter of 2017, with a target of 70% take-up rate among Professional staff within the first 12 months of launch. Subsequently, the aim is for newly-appointed staff to complete the obligatory e-learning modules within three months of joining the Organization, with a 70% target take-up rate.

Gender focal points

HQ	24
Field/Inst	58
TOTAL	82

	D	70%	P	70%	NO	70%	Total 100%	Total 70%
HQ/IEP	37	26	560	392	-	-	597	418
Field/Inst	40	28	370	259	146	102	556	389
TOTAL	77	54	930	651	146	102	1153	807

Content Overview

- Understanding gender equality and how it is embedded in various parts of the programming lifecycle, from planning, to implementing, monitoring and evaluation as well as in the Secretariat

- The methodology of gender mainstreaming, of gender-specific training and the steps in conducting gender analysis

- Skills for advocacy to promote gender equality

Learning Strategy and Planning

The learning and development offer for Gender currently exists as:

(i) E-learning; seven e-learning modules covering essential information on gender equality concepts and the methodology of gender mainstreaming

(ii) Classroom-based training for Gender Focal Points

(iii) Classroom-based training for all management and programme staff, both at Headquarters and in the field offices and Institutes

      (iv)   On-demand training (known as Gender Clinics), either classroom-based or via Skype webinars

The e-learning is currently made available to staff on a web-based platform, but is out of date in terms of look-feel and navigation. Some content also needs to be updated. Providing e-learning with a contemporary feel and content, accompanied by an appropriately engaging communication campaign, will mean that this learning can realistically be made obligatory for all Professional staff, and made available for all other staff.

Training in field offices for programming staff as well as for new Gender Focal Points is currently delivered only when ODG/GE staff are on mission. There is therefore an absence of a systematic, structured and sustained approach both to training staff of field offices and institutes and Gender Focal Points and to updating skills and knowledge of those *in situ*.

While it would be preferable to bring together all Gender Focal Points for face-to-face training, limited funds will probably not make this possible. It is therefore anticipated that Gender Focal Points will be trained through a series of regional workshops and webinars. Train-the-trainer workshops will be implemented, so that Gender Focal Points are better equipped to deliver information and training sessions in their own field offices or regions.

On-demand training, (Gender Clinics) on specific aspects of Priority Gender Equality, at the request of programme staff and teams on specific issues, will continue to be delivered by ODG/GE staff in the current format at no direct cost.

The high-level planning is as follows:

(c) Gender Equality	2016												2017											
	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12
Update content for e-learning modules						░	░	░	░	░	░	░												
Develop, test and finalize e-learning modules											░	░	░	░	░	░	░	░						
Implement learning package													░	░	░	░	░	░	░	░	░	░	░	░
Implement training for Gender focal points					░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░

Effectiveness and Efficiency Gains

- Improved staff understanding of gender equality concepts and methodology for gender mainstreaming in all UNESCO domains and thus improved promotion of gender equality as global priority across all its fields of competence

- Ensured integration of gender equality and women's empowerment considerations in all the phases of programme work – programme design, implementation, monitoring and evaluation

- Improved staff capacities for generating possible extrabudgetary funding through embedding gender elements in project proposals

3.   Strengthen the Management and Accountability Culture

Key Contacts	BFM; BSP; HRM
Budget requested	$438K

Introduction

The Organization has in place robust mechanisms for managing the Organization's financial resources. The success of these mechanisms lies in nurturing a culture of accountability, and ensuring that staff have the required skills and understanding of the tools and processes. As mentioned above in learning initiative 1 (Improve Resource Mobilization), BFM has piloted face-to-face workshops in the field offices and at Headquarters, on key financial management topics. During these workshops, participants and facilitators identified a need to include training packages and information on various HR processes, especially where there are delegated responsibilities.

Managers and supervisors have a key role to play in nurturing the culture of accountability and a positive, engaging, ethical working environment, within the HR management framework. Management skills are required not only by those in the traditional, recognized supervisory roles as staff at all levels may be supervising the work of others, such as external consultants, service contract holders, interns, and JPOs. While management skills can be learnt on-the-job, the risks engendered in this approach are significant. The Organization would therefore benefit from a structured approach to assisting supervisors in obtaining and developing the skills required in a safe environment.

Learning Objectives

The learning objectives for strengthening financial and management accountability are for learners to:

- Understand the rules and processes in place to ensure appropriate management of the Organization's resources, both financial and human

- Further implement a results-based management approach to programmes and activities

- Act in keeping with rules and procedures, taking into account the role of each actor

- Improve the decision-making process, where choices can be made over different courses of action

- Develop management skills to more effectively supervise, guide and coach the Organization's human resources

- Cultivate a coaching culture

Both financial and management accountability also carry an ethical dimension, which addresses the "how" as well as the "what" of actions. This is underpinned by the obligatory ethics training, for all staff, with both e-learning and face-to-face components.

Targets

The learning population for the financial management part of the initiative includes managers, programme specialists and Administrative Officers, each with specific roles to play in the processes of managing the financial resources. If funds can be identified, the face-to-face workshops delivered by BFM (in coordination with BSP), will be further rolled-out to Asia and Latin America. It is not intended to fund these workshops under the present plan, but instead to develop e-learning packages and webinar materials. At Headquarters, the programme specialists will be the initial target population, with the aim of 30% of this population to have completed at least two learning modules within 18 months of the launch. In agreement with BFM, the e-learning

development phase will start after the anticipated roll-out of workshops to Asia and Latin America (i.e. fourth quarter of 2016), at which point specific targets for the remaining learning population in field offices will be finalized.

	D	30%	P	30%	NO	30%	G	30%	Total 100%	Total 30%
HQ/IEP	19	6	322	97	-	-	168	50	509	153

For the regions which have benefited from face-to-face training, the aim is for local supervisors to guide newcomers to the learning modules at the appropriate time.

In terms of general management accountability, the target group includes staff in posts which carry a clearly-identified supervisory component, and other staff who supervise or are accountable for the work of others by virtue of their job content. Given the range of learning opportunities which will become available to staff at all levels, the target is to pilot a minimum of two modules with 30 supervisors within the first six months of developing this unit. The full-scale roll-out is planned for the fourth quarter of 2017.

Learning Strategy and Planning

The face-to-face workshops delivered by BFM provide a base for e-learning modules to be developed. These will be targeted according to the various roles of staff within the financial management process (e.g. Manager, Administrative Officer, Programme Specialist, certifying officers).

BFM has identified specific topics which would lend themselves to being the subject of follow-up webinars, and these will be further refined based on feedback and assessment of the face-to-face workshops.

HRM will develop specific modules for the various human resources activities to be carried out by the different actors. These will include modules such as recruitment, performance management, contracting, writing job descriptions, and the supervisor's role in providing learning and development opportunities for staff.

The Organization has bespoke materials designed for classroom-based workshops on management skills, that can be updated and then adapted to e-learning materials. Off-the-shelf materials will be purchased where these meet the Organization's needs and offer value for money.

The high-level project planning is as follows:

3. Strengthen Management & Accountability Culture	2016												2017											
	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12
Finalize content of management & HR modules																								
Develop, test and validate HR modules																								
Implement HR & off-the-shelf management modules																								
Finalize content of finance modules																								
Develop, test and validate finance modules																								
Implement finance modules																								

Efficiency and Effectiveness Gains

- Improved understanding of the rules and processes, the ability to apply them to a range of situations and contexts, including unpredictable or complex situations

- Improved decision-making and problem solving, including the ethical dimensions

- Reduction in number of errors requiring intervention from BFM and/or HRM

- Improved ability to coach, motivate and inspire staff

- Enhanced staff morale and team work

- Established cohort of peers with whom management challenges can be shared and discussed

4. Enhance Programme Delivery at Country Level within the United Nations system

Key Contacts	BSP; FSC; HRM
Budget requested	$547K

Introduction

The United Nations Country Teams (UNCT) plays a vital role in implementing and monitoring United Nations projects and programmes at national level. The UNCT encompasses all the entities of the United Nations system that carry out operational activities for development, emergency, recovery and transition in programme countries. It ensures inter-agency coordination and decision-making at the country level. The main purpose of the Country Team is for individual agencies to plan and work together as part of the Resident Coordinator system, to ensure the delivery of tangible results in support of the development agenda of the Government.

UNESCO, as a member of the country team, must be able to:

- proactively engage in Common Country Assessment/UNDAF roll-out, identifying UNESCO's programmatic contribution to UNDAF outcomes and outputs, based on the Organization's areas of expertise and comparative advantages

- play its role in formulating, implementing and monitoring projects and programmes at national level, which are within UNESCO's fields of competence

To this end, the training will be twofold: (1) participation in the United Nations System Staff College (UNSSC) intensive programme for leaders to improve their participation in common country programming process/UNDAF and develop their skills in delivering as one and; (2) participation in a UNESCO internal tailor made capacity building module, which focuses on the Organization's business model and specificities.

Learning Objectives

The learning objectives of the programme are for participants to:

- Build consensus and improve negotiations skills.

- Improve techniques to empower a results-driven team aligned towards a common purpose.

- Recognize and explore new challenges in the art of communicating with partners and media to improve the United Nations' transmission of values and vision.

- Reinforce capacities for improved identification of UNESCO's programmatic contribution in UNDAF roll-out planning processes and programmatic delivery.

- Enhance feedback loop and learning through exchange of information, discussion and identification of needs between Headquarters and field office staff.

Targets

These leadership and UNDAF programmes are organized and delivered by the UNSSC on an inter-agency basis for officials of the United Nations Country Team from around the world. Given limited funds, priority will be given to the training of newly appointed Heads and Directors of field offices, as well as – where applicable – to senior programme staff who may participate in UNDAF results groups. HRM will coordinate with the Division of Field Support and Coordination to identify those who would most benefit and indicative numbers are given in the table below:

N° of targeted participants

	D	P	NO	Total
HQ/IEP	4	15	-	19
Field/Inst	20	40	44	104
TOTAL	24	55	44	123

UNESCO's internal segment will not be a traditional 'training' session, but rather serve as an occasion for capacity-building and policy dialogue for exchange of information, briefing on recent developments in United Nations reform at global, regional and country levels, implementation of 2030 Development Agenda at country level, discussion on institutional implications, and formulation of needs, including development/improvement of dedicated tools such as the UNESCO Country Programming Document.

Presenters will be from BSP, FSC, HRM, selected field office staff, and – depending on context and subject matter – from relevant programme sectors, central services and outside participants.

Learning Strategy and Planning

It is intended to create a learning environment of exchange, applied skills development, experience sharing and reflection, with mechanisms to cascade to other colleagues the new knowledge, skills and ideas gained from the programme.

The high-level project planning is as follows:

4. Enhance Programme Engagement at Country Level within the UN System	2016												2017											
	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12
Identify priority participants in UNSSC Programme																								
Design content for capacity building sessions																								
Implement capacity building sessions																								
Participation in UNSSC Programme (2017 dates TBC)																								

Efficiency and Effectiveness Gains

The course enables participants to build and develop a range of leadership and strategic programming skills:

- Improved political acumen, negotiation and consensus building

- Enhanced media and communication skills

- Enhanced working relationship within the UNCT and related results groups.

- Strengthened presence of UNESCO within the UNCT

- Improved identification of UNESCO's programmatic contribution in UNDAFs and equivalent documents.

5. Strengthen Leadership Skills

Key Contacts	ADGs/Directors/P-5 staff/P-4 staff
Budget requested	$109K

Introduction

The Organization's leaders must have effective leadership tools to empower, motivate and inspire their staff, and work effectively with stakeholders at all levels, both inside and outside the Organization.

Until 2011 there was mandatory training for all managers from P-5 and above. All new managers joining the Organization at Headquarters or in field offices attended the Leadership and Change Management Programme. The training addressed a wide range of competencies required to be an effective leader and also provided a forum to discuss their application in UNESCO. In addition to this programme, in an effort to have gender balance in senior management positions, UNESCO also organized a Leadership Management Programme for Women. This programme targeted women at P-4 level, preparing them for the challenges female managers encounter in their daily work and also preparing them to be more competitive when applying for higher positions.

Content Overview

For those new to leadership roles, the leadership programme will look at the transition from being an excellent individual contributor to the work of the Organization, to being a leader who inspires and motivates others. For more experienced leaders, topics will cover both "macro" leadership challenges such as strategic vision and change management, and "micro" issues of developing and empowering individual team members. Leaders will understand their natural styles of leadership and communication, and how these preferences may assist or hinder them in achieving objectives.

It is envisaged to include, where possible, a feedback element into the process and to incorporate personal development plans as a key aspect of the learning cycle.

Learning Strategy and Planning

With a restricted budget, the Organization's capability to offer face-to-face training is very limited. The strategy therefore is to develop and make available small modules of training to target specific leadership competencies and make them available on the learning platform, where managers can access them as and when they require. These resources will include short videos and e-learning modules which will be supplemented by webinars and seminars.

Subject to the availability of additional funding, other leadership learning initiatives can be implemented. The value of face-to-face training cannot be over-emphasized for this type of skill development. The opportunity for leaders to come together and discuss leadership challenges and solutions is highly valuable and an effective way of helping leaders understand their own leadership styles and possible alternatives.

The high-level planning is as follows:

5. Strengthen Leadership Skills	2016 1	2	3	4	5	6	7	8	9	10	11	12	2017 1	2	3	4	5	6	7	8	9	10	11	12
Identify potential providers for programme development			▓	▓	▓	▓																		
Implement participation in UN Leaders' programme			▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓
Design content for online modules					▓	▓	▓	▓	▓	▓	▓	▓												
Develop, test and finalize online modules													▓	▓	▓	▓	▓	▓	▓	▓				
Implement online modules																				▓	▓	▓	▓	▓
Facilitate learning cohort exchanges																					▓	▓	▓	▓

For new managers/leaders with no United Nations working experience, it will be important that they attend the United Nations Leaders Programme. This training is organized by the United Nations Staff College for leaders within the United Nations family. Its aim is not only to reflect on leadership approaches and their application, but also to explore some of the main global and regional issues the United Nations is facing from multiple perspectives, as well as creating a more unified and effective United Nations leadership culture.

Targets

The leadership programme is intended for all staff at P-5 and above level, whether new to the leadership role or already established leaders. Specific modules and development opportunities will be targeted for the various populations.

To encourage gender equality at senior management level, "Women in Leadership" modules will be offered to those at the level of P-4 and above.

		D	P-5	P-4	NO-E	NO-D	Total
HQ/IEP	F	15	29	72	-	-	116
	M	21	50	61	-	-	132
	Total	36	79	133	-	-	248
Field/Inst	F	16	15	42	1	2	76
	M	24	30	65	-	4	123
	Total	40	45	107	1	6	199
TOTAL	F	31	44	114	1	2	192
	M	45	80	126	0	4	255
	Total	76	124	240	1	6	447

Efficiency and Effectiveness Gains

- A cadre of senior leaders who can effect organizational change where necessary, to meet the challenges of delivering on the sustainable development goals

- Deepened insight into individual preferred leadership styles, and improved "toolkit" of styles, approaches and strategies

- Improved understanding of organizational power bases, to use power to influence and lead others in an ethical manner

- Enhanced ability to communicate vision to others, to inspire and motivate

- A cadre of female managers with sufficient self-awareness to build on their strengths and overcome barriers to career development

6.   Maximize use of internal tools for increased productivity

Key Contacts	BFM; BSP ; KMI
Budget requested	$109K

Introduction

IT tools are essential to any aspects of programme delivery and there are numerous corporate applications to be mastered, specifically tools such as Outlook, FABS and SISTER, and others within the DUO applications.

Staff need access to training materials which can be used as a reference guide at a time when needed. During an informal training needs analysis carried out by HRM with a small sample of staff at the end of 2014, the need for training on the IT tools such as SISTER, purchasing and contracting tools stood out as the most frequently occurring.

Learning Objectives

The learning objective is for staff to:

- Master the usage of the Organization's tools to the required level for the job function

Targets

The target population includes administrative and support staff, programme specialists and supervisors, each of whom have different objectives and roles when using the online tools. Given the learner-driven need for training on these tools, there is no specific target in terms of numbers of current staff to complete the training within a given timeframe. The communication campaign will

ensure that all staff are aware of the existence of the modules and how they can be accessed. The use of key word searches will enable users to access the precise modules they need at a given moment. For newcomers to the Organization, a learning path by job function will guide users to the required training tools.

IT Tool	N° Distinct Users*
SISTER	2663
Contract Managment	2604
Travel Plans & Claims	2173
FABS	1221
VIP	1095
B4U	512

* 13 month period to 1 February 2016

Content Overview

The content will cover only the practical aspects of how to use the tools, and not the related business processes and procedures. Where necessary, these will be covered under the relevant training initiatives of this plan, with reciprocal recommendations of other complementary training modules which learners may find useful.

Learning Strategy and Planning

Given the demand from staff for assistance on the tools, the intention is therefore is to create tutorial videos, which are short enough for staff to easily access specific training topics. These will be based on a "help card" model, already piloted by KMI. It is particularly important that each item in the training materials should focus on a specific functionality of any given tool, so that staff can access the precise information which they need at any given moment, given the time pressure often faced by staff when they need to perform an action in an IT tool. These materials will be made available to staff via the learning platform and the use of them promoted through a communication campaign.

For learners who wish to refresh skills in general, without a specific learning need in mind, the modules will be structured around a logical progression, such as the process for making a travel request or a creating a new contract. Tags will indicate for which population (e.g. Administrative Officers, programme specialists etc.) the training may be particularly useful.

The high-level planning is as follows:

6. Maximize use of internal tools for increased productivity	2016												2017											
	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12
Design content for tutorials		░	░	░	░	░	░	░	░	░	░	░	░	░										
Develop, test and finalize video modules					░	░	░	░	░	░	░	░	░	░	░	░								
Implement video modules							░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░

Efficiency and Effectiveness Gains

- Increased numbers of "digitally savvy" users within the Organization

- Improved levels of IT literacy across all learners

- Reduced time spent navigating corporate applications

- Reduced error-rate

7. Strengthening UNESCO's Decentralized Evaluation

Key Contacts	IOS
Budget requested	$200K

- The necessity to strengthen UNESCO's leadership role in its areas of competence in the implementation of the 2030 agenda has been identified including through improving programme/project management, monitoring, reporting, evaluation; risk mitigation; as well as organizational learning.

- The present document provides further detail on the development of an Evaluation Focal Point network in order to strengthen UNESCO's decentralized evaluation function.

Introduction

In these challenging times of delivering upon its mandate with a reduced regular programme budget, UNESCO more than ever relies on extrabudgetary funding. At the same time, there is growing competition among actors for financial resources in an increasingly complex aid landscape. Moreover, UNESCO donors and Governing Bodies are increasingly demanding evidence of value for money and better evaluative evidence that policies and programme are delivering results. UNESCO has been struggling to meet these demands through evaluations of extrabudgetary projects.

The linkage between strengthening UNESCO's decentralized evaluation function and supporting and strengthening results-based management is clear. UNESCO recognizes that advancing independent inquiry through a more rigorous evaluation practice across a broader spectrum of UNESCO projects (i.e. extrabudgetary projects) is critical to enhancing results-based management, promoting organizational learning and increasing transparency and accountability.

A key challenge emerging from the different IOS studies and initiatives to strengthen decentralized evaluation practices has been the lack of a formal structure to ensure a more coordinated approach to planning, management and reporting of decentralized evaluations. Moreover, the capacities for managing decentralized evaluations are uneven across the UNESCO system.

In light of these challenges, and in line with the recently completed UNESCO Evaluation Policy and the IOS Evaluation Strategy, this proposal aims to establish an operational network of Evaluation Focal Points in the UNESCO system. This network will be coordinated by IOS and jointly with the latter will be responsible for improving the planning and quality of decentralized evaluations in the UNESCO system.

Learning Objectives

The overarching objective of this project is to establish an operational focal point network for decentralized evaluation that will serve as a platform for exchange of information on the planning, implementation and reporting with regard to decentralized evaluations

The specific learning objective is for staff to: the project aims:

- Enhance their capacities to plan, manage and use decentralized evaluations.

Targets

Once operational, the evaluation focal point network and the decentralized evaluations emerging from it will constitute a major contributor to supporting and advancing results-based management practices in UNESCO. The evaluative information coming from decentralized evaluations will be useful to programme staff and management for programme improvements. The decentralized evaluation will be essential inputs to periodic meta-evaluations and synthesis reviews conducted by IOS. These evaluative exercises will also be critical to improving organizational learning by feeding into the Organization's reporting mechanisms (through the Programme Implementation Report and Strategoc Results Report). The evaluations and synthesis exercises will provide a more robust evidence base on programme performance which is expected to improve strategic decision-making of (senior) management in UNESCO.

Donors will benefit indirectly by obtaining more accurate, objective and evidence-based information on how financial resources have been used and to what ends (i.e. results). UNESCO's Governing Bodies similarly benefit by receiving more robust, evaluative evidence to inform strategic decision-making on policy development and programme improvement e.g. via the Strategic Results Report. On a more global level, better evaluation coverage of UNESCO's extrabudgetary portfolio and the wide dissemination of those reports, results and lessons learned respond to the requirements of the International Aid Transparency Initiative (IATI) which seeks to improve the transparency in the use of financial resources in order to increase development effectiveness.

Content Overview

The primary content will include an evaluation management training programme to be delivered to the nominated focal points. The training will focus on key aspects in evaluation planning, management and follow-up. An updated set of UNESCO guidance materials for decentralized evaluations will also be developed including, *inter alia*, developing Terms of Reference, checklist on quality standards for inception reports and final reports and follow-up to evaluation recommendations.

Learning Strategy

The core of the proposal is the delivery of a hands-on evaluation management training programme to a selected number of Evaluation Focal Points. In order to broaden access and reach to a maximum number of learners, all content developed for the evaluation management training programme will be shared on line, including videos of the training sessions and guidance material, as part of an e-learning module.

Efficiency and Effectiveness Gains

An operational focal point network is expected to contribute to the following expected results:

- More efficient use of resources for evaluation through improved planning and collaboration

- Higher quality evaluations as a result of improved processes and outputs, i.e. evaluation reports

- More effective use of evaluations by UNESCO staff and stakeholders

- Improved opportunities to use evaluative information in synthetic reviews at the level of programmes, sectors and the organization as a whole.

The high-level planning is as follows:

7. Strengthening UNESCO's Decentralized Evaluation Function	2016												2017											
	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12
Update guidance material			▮	▮	▮																			
Develop evaluation management training material				▮	▮	▮																		
Hold training events							▮	▮	▮	▮														
Follow-up workshops													▮	▮	▮	▮								
Assessment of project																			▮					

ANNEX III

KNOWLEDGE MANAGEMENT AND INFORMATION TECHNOLOGIES PROPOSAL

1.   At its 196th session, the Executive Board reviewed the Knowledge Management & Information and Communication Technology (KM & ICT) Strategy and recognized the need for a considerable targeted investment to fully implement it. At the 197th session, five KM & ICT projects were proposed as part of the Invest for Efficient Delivery plan, as these investments could not be absorbed under the 38 C/5 Regular Budget. The Executive Board approved the initial phases of the Invest for Efficient Delivery plan, taking into account the debate. The table below provides the estimated costs and benefits of the projects, as presented during the debate.

Initiatives	Short description	Estimated cost (US $)	Benefits and Savings (US $)/ Payback period
1. Redesign core systems	Redesign and (re)implement core UNESCO information systems to improve programme management and delivery	3,414,000	1,455,000/ 2-3 years
2. Ensure business continuity and disaster recovery	Implement a secondary data centre site to allow UNESCO to recovery from disasters in an acceptable timeframe	383,000	Risk reduction
3. Implement system support for resource mobilization and events management	Implement a Constituent Relationship Management (CRM) system to improve resource mobilization, including due diligence, contact and events management.	985,000	439,000/ 2-3 years
4. Enhance Transparency Portal	Enhancement of Transparency Portal in context of the structured financing dialogue and review of reporting modalities. Knowledge exchange on resource mobilization	200,000	TBD
5. Strengthen knowledge sharing and collaboration in the field	Facilitate greater knowledge sharing between field offices, with Headquarters and external partners; promote use of Communities of Practices and new knowledge-sharing tools.	438,000	139,000/ ± 3 years
6. Improve document and multimedia management	Improve sustainability of documentary/multimedia heritage and increase public access	547,000	146,000/ ± 4 years

2.   The total cost of delivering these initiatives was roughly estimated at $5,967,000, based on a preliminary cost-benefit analysis. The estimated benefits are rough estimations based mainly on assumptions of time savings of staff as it is expected that the implementation of these initiatives will result in streamlined and more efficient business processes supported by more robust and more flexible systems. In addition benefits are expected based on better matching the requirements of programme planning, budgeting, monitoring and reporting, as well as those of project and donor management. These improvements could lead to cost reduction if legacy systems supporting similar functionalities are promptly decommissioned and if the improvement in processing time results in a decision to reconsider the number of staff involved in those processes.

It should be clarified, however, that these initial benefits cannot all be automatically translated into a reduction of staff and therefore costs. In most cases, the staff time savings will release staff capacity to focus on value-adding activities. Efficiency gains are expected in both programme and programme support sectors and will be measured.

Progress on initial phases

3.   Based on the decision of the Executive Board at its 197th session (197 EX/Decision 5.IV.D), progress has been made on all of the projects, as described in more detail below. A standard project implementation management methodology (Prince2), used by KMI, was confirmed as the standard methodology for the KM & ICT Projects under Invest for Efficient delivery, including reporting templates. In addition, a methodology for business benefits realization was selected.

4.   Further consultations with users and additional market research were also conducted, allowing to refine the initial planning. Furthermore, these proposals need to be coordinated with other initiatives taken by the Organization in the meantime, such as the Security Plan, following the terrorist attacks in Paris in November 2015.

Project 1. Redesign core system for enhanced programme management and delivery

Objectives

To review and redesign its core systems (FABS/STEPS (based on SAP) and SISTER) in order to address the evolving requirements of the Organization in the following areas:

- programme monitoring and evaluation – improve support to programme officers to plan, monitor and evaluate their projects and activities by reducing the administrative burden, facilitating reporting to Member States and donors, providing integrated dashboards for better follow-up of tasks and risks and allowing more controlled decentralization of activities to the field offices, following the agreed accountability framework;

- analytical reporting – enhance the capability of UNESCO to cater for a wide range of different reporting requirements such as automated/online reports and analytical dashboards for Member States and donors, and enabling better compliance to the International Aid Transparency Initiative (IATI) standards, so as to improve the overall transparency of the Organization;

- fully integrate results-based budgeting practices into UNESCO's processes and systems;

- automation and simplification of manual processes and further integration of the information systems will enable enhanced forecasting and monitoring of budget allocations and revisions, and provide significant efficiency gains in administrative processing.

Benefits and outcomes

Initiatives	Short description	Estimated cost (US $)	Benefits and Savings (US $)/ Payback period
Redesign core systems	Redesign and (re)implement core UNESCO information systems to improve programme management and delivery	3,414, 000	1,455,000 / 2-3 years

5.   The expected benefits from the redesign of the core systems include both quantitative and qualitative improvements, such as improved reporting and programme delivery, and staff time savings due to simplification and automation of processes and integration of systems. The initial quantitative estimate of the benefits includes the staff time savings of 360 programme specialists (P1-P5), 119 support staff (G-6), and 20 Executive and Administrative Officers (P-5) as well as the time savings of staff working on reporting (P-3) and technical support (P-3).

The expected outputs are:

- Documentation of redesigned processes and data sets;

- Implementation of newest versions of SAP public sector solution and new modules (possibly integrating FABS and STEPS – to be reviewed);

- Revised version of SISTER for documents 39 C/5 and 40 C/5, with significant integration with SAP.

6.   The expected outcomes from the redesign of the core systems project are:

- an integrated and harmonized system and streamlined business processed responding to the business needs and requirements and allowing a more efficient way of working;

- an improved setup of the organizational structure and master data representing the relevant objects for UNESCO which results in more flexible reporting;

- an enlarged and enriched data warehouse providing more information to senior management and project managers, which will lead to better decision-making.

Planning and status

7.   At the current stage (January 2016), the project is being formalized. The project initiation document and business case are under preparation, as well as the setup of the steering committee, project team and different working groups.

8.   A Request for Proposal (RFP) for the assessment of the project has been launched end of December 2015, for which over 15 companies have showed interest. The objective of the assessment is to validate the project roadmap, cost and benefits analysis and solution direction. At this stage, no final information is available with regards to the contractor. The start date of the assessment and formal kick-off of the project are planned for February 2016.

9.   In parallel, an RFP has been prepared for the merge of the financial (FABS) and HRM (STEPS) parts of the system into one. Given the recent decision of the General Assembly on the revision of the compensation package, the timing of the merge is being reevaluated. It should be noted that this GA decision requires significant efforts to adjust the HRM system (STEPS) to the new policies and that this has an impact and poses a risk to the Redesign project in terms of conflicts in priorities and potential delays/re-planning.

10.   At this moment the high-level project planning is as follows:

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

Project 2. Ensure business continuity and disaster recovery

Objectives

11.   The objective is to enable the Organization to protect and recover the IT infrastructure in the event of a natural, environmental, or man-made disaster.

12.   It should be noted that, following the recent terrorist attacks in Paris, this project has acquired a new urgency and is now part of a broader *ICT Business Continuity, Disaster Recovery and IT Security Action Plan.*

Benefits and outcome

Initiatives	Short description	Estimated cost (US $)	Benefits and Savings (US $)/ Payback period
Ensure business continuity and disaster recovery	Implement a secondary data centre site to allow UNESCO to recovery from disasters in an acceptable timeframe	383,000	Risk reduction

13.   Based on a preliminary study, the required investment in equipment and procedure development was estimated at $383,000. The intention was to use a server room in a UNESCO building distant from Fontenoy (IIEP or Miollis) to keep the cost to a minimum. Additional costs may be necessary depending on the level of security and recovery time defined. In light of the recent events however, it was decided to review the possibilities of an outside partner and a secondary data centre in another country. As the United Nations International Computing Centre (UNICC) is a United Nations service, an assessment was done by UNICC on the feasibility of a disaster recovery solution. The results are expected in February 2016. In case an external partner (UNICC or other) is chosen, an annual service fee and connectivity costs need to be incorporated in the Regular Budget (common charges). In order to limit these costs and make optimal use of new technology and services, we should seriously consider further use of cloud based solutions, specifically for email services. The cloud services for Microsoft Office include high security standards and disaster recovery at no charge to UNESCO due to its favourable Education Agreement with Microsoft. This investment should be seen as an insurance with the following benefits:

- minimizing the risk of delays when recovering from a disaster;

- guaranteeing the reliability and assuring the availability of core information systems;

- minimizing decision-making during a disaster;

- reducing potential legal liabilities;

- lowering unnecessarily stressful work environment.

14.   The output will be a new Data Centre facility or as service from third party with required procedures that will be used to quickly recover the IT operations in case of a disruption.

Planning and status

15.   An *ICT Business Continuity, Disaster Recovery and IT Security Action Plan* has been prepared in light of the increased vulnerabilities of our ICT infrastructure and information systems, following the recent events in Paris. This action plan describes the current status and ongoing

efforts in different areas, namely: ICT Business Continuity, Disaster Recovery, IT Security, Identity management and access control, and telephone systems. It also identifies key areas that need further investment in order to close the existing vulnerabilities and mitigate the existing risks.

16. Work is under way to select a solution for a secondary data centre, preferably with a third party, in order to have a solid basis away from Paris. The United Nations International Computing Centre (UNICC) is seen as the most logical partner and the discussions have started; other partners have been contacted in parallel. Since November 2015, KMI is reviewing the location of the back-up solution – currently in Miollis/Bonvin as part of the disaster recovery solution. Furthermore, discussions have been initiated with Microsoft for cloud solutions, in particular for email.

17. The high-level project planning is as follows:

	2016												2017											
	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12
Select solution for a secondary data centre																								
Review the location of the back-up solution																								
Detail the Disaster Recovery Plan including tests																								
Set up contract with Microsoft for cloud solutions																								
Develop cloud solution for email and other services																								

Project 3. Implement system support for resource mobilization and events management

Objectives

18. As indicated in a recent IOS audit report on resource mobilization as well as by a UNESCO project team, the investment in a comprehensive constituency management system (CRM) tailored to the Organization's strategic objectives could provide significant benefits. Currently there are overlapping databases and contact information, the pipeline of donor agreements are not systematically followed up and there are no standard solutions available for programme sectors to manage their networks of experts, including the use of newsletters, events registration, email lists and follow-up after events. UNESCO has a complex network of stakeholders, with many stakeholders involved in several activities of the Organization. The network of stakeholders is one of UNESCO's core assets and should be managed actively and supported by a single online platform. Building a sustainable Constituency Relationship Management System should rely significantly on the investment that business owners are prepared to make in the process and tools.

Benefits and outcome

Initiatives	Short description	Estimated cost (US $)	Benefits and Savings (US $)/ Payback period
Implement system support for resource mobilization	Implement a Constituent Relationship Management (CRM) system to improve resource mobilization, including due diligence, contact and events management Enhancement of Transparency Portal in context of the structured financing dialogue and review of reporting modalities. Knowledge exchange on resource mobilization	985,000	439,000 / 2-3 years

19. Many organizations have cited significant benefits since moving to a CRM solution, including:

- additional funding available for the programme through better access to donors and better relationships;

- improved collaborative planning, forecasting and responsiveness;

- improved information quality and management reporting;

- enhanced long-term profitability (in the case of UNESCO, this could mean more resources and better programme delivery).

- better knowledge of stakeholders and partners, by chronologically following up each aspect that is of interest to UNESCO.

- Streamlined and coordinated events management.

The initial quantitative estimate of the benefits includes the staff time savings of 25 staff (P1-5) that are responsible for managing cooperation and partnerships and staff maintaining only one contact database eliminating double entry (G-3/P-3). In addition the contracts for a contact database and events management systems can be stopped.

Planning and outcome

20. During 2015, significant work was carried out on the assessment of the Organization's needs. A tender exercise was undertaken, which revealed that several of the proposed technologies are already partly present at UNESCO and used on a daily basis. This implies that the Organization should build on the investment already made and extend the scope of the solutions in place. Further investigation needs to be done with the other United Nations organizations on how they managed that integration, ascertain the benefits of standardization and identify which technology will be the most advantageous for UNESCO to adopt. There is also a need to better understand the potential benefits to the Organization, the change it would bring to the way of working and the challenges of implementation. 2016 will be dedicated to the technological selection with strong input from business owner from an events management (MSS/ERI and Programme Sectors) perspective and further reviewing the relevance of the tool from a resource mobilization perspective. This selection process will include demonstrations by the vendors and visits to other UN organizations. We will profit of the geographical proximity and the concentration of organizations in Geneva. Implementation should take place in 2017 and deliver a first platform.

	2016												2017											
	1	2	3	4	5	6	7	8	9	#	#	#	1	2	3	4	5	6	7	8	9	#	#	#
Investigation with other organizations and vendors																								
Decide on technological approach																								
Rewrite and validate business requirements																								
Procurement of software and services																								
Implementation																								
Tests and adjustments																								
Communication campaign																								

Project 4. Enhance Transparency Portal

Objectives

21. UNESCO will introduce structured financing dialogues on the resourcing of its programme and budget. Transparency is one of the key principles underpinning the structured financing dialogue. It calls for a communication and reporting style that is more open, accessible and

accountable. WHO is one of the pioneers of the financing dialogues and it that context has launched a "Programme Budget Web Portal" (http://extranet.who.int/programmebudget/) which provides information on the Programme and budget, funding available and projected, financial flows and results achieved. In 2016, WHO will present a unified programmatic and financial report for 2014 and 2015 to the World Health Assembly. The WHO portal has been very positively assessed by contributors. It was also found that the web portal catalyzed internal transparency and accountability.

22.   As set out in the draft resource mobilization strategy for 2016-2017 (Ref. 197 EX/5 Part IV Add), to foster networking and knowledge exchange on resource mobilization among UNESCO field offices, efforts will be made to systematically document best practice in resource mobilization at country and regional level and integrate it within training and intelligence, and to mobilize the Directors and Heads of high performing UNESCO field offices in resource mobilization as resource persons in major training activities and advisers on in house strategies for resource mobilization and outreach.

Benefits and outcomes

Initiatives	Short description	Estimated cost (US $)	Benefits and Savings (US $)/ Payback period
Enhance Transparency Portal	Improve the quality, periodicity and presentation of information on the portal, expanding the coverage of the portal, and improve access for donor reports	200,000	TBD

23.   Based on an evaluation of UNESCO's current "Transparency Portal" and lessons learned from the "Programme Budget web Portal" of WHO, and other relevant experiences in the United Nations system, it is proposed to undertake an assessment of how UNESCO's Transparency Portal could be upgraded to provide similar information on resource flows and results. An assessment will also be made as to whether UNESCO can further improve its statutory reporting. This proposal is further documented in the report to 199th session "Principles and modalities of the structured dialogue on financing".

24.   As the exact scope of the improvements have not yet been defined and the discussions on the structured financing dialogue is ongoing, the benefits have not yet been defined or estimated.

Planning and status

25.   The enhancement of the Transparency Portal to accommodate the structure financing dialogue and other improvements will be analysed to strengthen resource mobilization and therefore the following activities are foreseen to start in April 2016:

- Requirements gathering and review of the IATI standard compliance and quality of information. In the current implementation of the Portal not all IATI fields are reported, all those that are relevant to the work of the Organization should be considered for the next reporting period. We can increase scope and coverage e.g. by including project documents, project websites and related activities in the scope.

- Detailed review of the "Programme Budget web Portal" of WHO and definition of UNESCO requirements.

26.   At this moment the high-level project planning is as follows:

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

Project 5. Improve knowledge management in the field

Objectives

27.   The objective of the project is to build on the experience and success of the CONNECT-U Project carried out in 2014 in Africa, with a comprehensive approach to improving external and internal knowledge management and specifically facilitating greater knowledge sharing within and among UNESCO's field offices, as well as with Headquarters and external partners. The project aims to address current challenges encountered in UNESCO field offices, while building greater synergies with Headquarters and within regions, as well as to expand on the idea of innovation in UNESCO, highlighting not just implementation of ICTs, but of colleagues' role in innovative processes.

Benefits and outcomes

Initiatives	Short description	Estimated cost (US $)	Benefits and Savings (US $)/ Payback period
Strengthen knowledge sharing and collaboration in the field	Facilitate greater knowledge sharing between field offices, with Headquarters and external partners; promote use of Communities of Practices and new knowledge-sharing tools.	438,000	127,000/ ± 3 years

28.   The various expected benefits from the project implementation include:

- accelerated programme delivery through increased focus on induction and exit strategies, mentor schemes, available collaborative tools, as well as learning before, during and after the implementation of activities, programmes and projects;

- innovation agenda pushed forward through the identification of change makers who can champion innovative work process and programme delivery;

- motivated and unified staff through the facilitation of dialogue within the offices, across the field and building stronger linkages between the field and Headquarters through teamwork, collaboration, and sharing among colleagues regardless of specialization;

- extended use of collaborative tools among field colleagues, in particular UNESTEAMS, which has a strong potential for driving more efficient internal work processes and facilitate online coordination and collaboration of projects and programmes.

- global awareness of return of investment in knowledge sharing and collaboration through the creation of advocacy tools to showcase the benefits of such activities for colleagues in the field, who feel pressed for time and overloaded to engage in KS and learning activities;

- Clarified information flows, work processes and reporting lines between the field and Headquarters; the current lack of coordination and clearly defined responsibilities affects office culture at a local level.

The initial quantitative estimate of the benefits includes the staff time savings of 200 programme specialists in the field (P1-P5) due to time savings on better use of information systems, finding information faster, improved cooperation and more reuse of existing materials and ideas.

Planning and status

29. The planning phase of the project is being finalized. A thorough review of previous plans, lessons learned and the final report of the pilot phase has taken place. This will be followed by a survey phase, during which we will revisit the analysis of available KM Toolkits to ensure continued alliance of CONNECT-U with international best practices. Discussions/workshops with stakeholders will enable us to secure a buy-in from the sectors and field offices. The project will be rolled out to field offices through the CONNECT-U Days, preceded by an assessment of the relevant field offices. Following the roll-out, each field office is expected to commit to the application of recommendations drawn by the team, called "Field Office Commitment". Finally, assessment of the commitments and a general review and assessment of the project will be carried out under the authority of the Steering Committee.

	2016												2017											
	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12
Review of the pilot phase and planning																								
Servey and analysis of available KM toolkits																								
CONNECT-U Toolkit recast																								
Rollout to regional offices (ARB, APA and LAC)																								
Rollout to national offices in Africa																								
Rollout to national offices (ARB, APA and LAC)																								
General project review/lessons learnt																								

Project 6. Improve document and multimedia management

Objectives

30. The project aims at modernizing UNESCO's document repository and library catalogue called UNESDOC. The platform, developed in 1996, is largely custom-made, with a high dependency on a single developer. In parallel, a multimedia platform, also custom-made, was put in place, serving both internal users and the general public. Today, the long-term sustainability of both systems is at risk, while their functionalities and integration with other internal and external platforms remain limited. It is therefore urgent to replace them with one modern and integrated platform.

Benefits and outcome

Initiatives	Short description	Estimated cost (US $)	Benefits and Savings (US $)/ Payback period
Improve document and multimedia management	Improve sustainability of documentary/multimedia heritage and increase public access	547,000	146,000 / ± 4 years

31. The expected benefits include:

- improved sustainability of the documentary and multimedia repository and reduced risk of failure or loss of documentary heritage;

- improved governance and transparency;

- increased public awareness of UNESCO and its activities thanks to additional capabilities to easily share UNESCO publications and materials through social media;

- improved and easy to use analytics to properly measure the impact and reach of UNESCO publications and facilitate evaluation.

- improved user experience for thousands of internal and external users, including researchers and policy-makers, which is likely to boost UNESCO's image.

- streamline electronic publication process improving efficiency by reducing programme specialists' time spent in the process.

The initial quantitative estimate of the benefits includes the staff time savings based on the merge of the document and multimedia management into one system and the reduction of maintenance costs.

32.   The output of this project is an integrated, centralized document management platform containing all UNESCO official documents, publications and other multimedia records in different formats. The centralized search of all UNESCO digital assets will be key feature of this new platform.

Planning and status

33.   A bidding exercise in second half 2015 for a full replacement of the current tools, supporting management of documents, publications and multimedia, resulted unsuccessful due to the complexity of the requirements. The project was reorganized and divided in phases, this will facilitate the implementation, reduce risks, and will improve the possibilities to stay in line with the targeted budget of $547,000. It was also decided to extend the participation of stakeholders in the reorganization of the project in order to better capture sectorial needs. The target for having the first version of the new UNESCO's Document, Publications and Multimedia platform is end of the first quarter 2017.

High-level project plan:

	2016												2017											
	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12
Project reorganization																								
Rewrite and validate business requirements																								
Select technological approach																								
Procurement of software and services																								
Prepare TOR and contract for provider																								
Implementation																								
Tests and adjustments																								
Communication campagne																								
Go Live																								

ANNEX IV

CONCEPT NOTE

<u>**DESIGNING A MORE STRATEGIC, SUSTAINABLE AND OPERATIONAL FIELD NETWORK**</u>

1.   The 2030 Agenda for Sustainable Development adopted by the United Nations General Assembly in September 2015 creates a new framework for development. UNESCO, as all other agencies of the United Nations system, is set to adopt its strategy, programmes and activities so as to support Member States in the effective and structured delivery of the sustainable development goals and targets.

2.   The recognition, in the 2030 Agenda, of the importance of the national level and the significance of the regional dimension for development and cooperation as a bridge between the global and national levels reconfirms the relevance of UNESCO's presence in the field as the cornerstone of its mandate and operations. It also underpins the importance of its core functions, namely capacity development to Member States, and calls for strengthening structured delivering in the field for country and regional wide support.

3.   Furthermore, delivering on the SDGs makes joined-up humanitarian and development work urgent to strengthen the conflict prevention and peacebuilding dimensions of programme design and delivery in conflict-affected countries. Indeed, the 2030 Agenda draws together the strands of development and peace into a new comprehensive and forward-looking framework. The 2030 Agenda provides an opportunity for UNESCO to engage more systematically in these areas joining forces with humanitarian actors from the outset of crises and participating in all stages of response, and to make this approach an integral part of the UNESCO field office reform. However, this requires preparing UNESCO for new ways of working.

4.   In addition to the new international development agenda, the budgetary constraints facing the Organization require reviewing its strategies and process of operating efficiently and effectively in the field, including by taking stock of the achievements and shortcomings of the reform of the field network in Africa implemented so far.

5.   Analysis undertaken of this first phase indicate that there is a broad agreement that the main goals of the reform remain pertinent, but that there is a number of challenges that need to be addressed for enhancing services delivery to Member States. They notably include a clearer defined strategy and implementation plan, a better programmatic focus, more appropriate criteria underlying the field structures and a more efficient monitoring of the adherence to those criteria, the need to enhance understanding of the accountability framework, and the need to review human resources and resource mobilization strategies and the need for flexibility and resources to strengthen presence, when and where conflict occurs.

6.   The challenges faced in the implementation of the reform of the field network in Africa are mutatis mutandis applicable to UNESCO's entire field reform process. The field reform process would gain from a holistic approach and focus on the key areas for strengthening UNESCO's leadership role in its areas of competence and with a view to building response capacity to the increasing expectations of its stakeholders, as identified in the "Invest for Efficient Delivery" Plan.

7.   A variety of initiatives for enhancing the capacity of field offices to contribute to the implementation of SDGs are included in the action plans for learning and development and for the redesign and development of information technologies proposed in this document. However, additional investment for the following areas would be required:

   (a)   Building a clearly defined strategy and implementation plan for the field reform based on solid analysis;

(b)   Sharpening UNESCO's programmatic focus and delivery at the regional and country levels to better contribute to the Agenda 2030 implementation;

(c)   Enhancing delivery capacity in countries in crisis and transition through enhanced research and policy capacity to guide overall strategic positioning and context-specific programmes from the outset of crisis and strengthening of assessment capacity when crises occur;

(d)   Redefining and adapting of the tools, guidelines and procedures for more efficient delivery in the field including for strengthening operational response in humanitarian crises including through rapid temporary deployment mechanisms.

8.   Document 199 EX/5, Part II.C on the "Sustainability of the current field network under the $518 million expenditure plan" outlines a phased process to generate proposals for a more strategic, programmatically optimal, sustainable and operational field network. This process needs to be accompanied by analytical work, a participatory consultation process and the provision of tools with a special focus on improving programme delivery in countries in crisis and transition.

9.   In complementing the action plans for learning and development and for the redesign and development of information technologies proposed to be considered under the "Invest for Efficient Delivery", the following areas are proposed to be covered:

(a)   Building a clearly defined strategy and implementation plan for the field reform based on solid analysis;

(b)   Sharpening UNESCO's programmatic focus and delivery at the regional and country levels to better contribute to the Agenda 2030 implementation;

(c)   Enhancing delivery capacity in countries in crisis and transition through enhanced research and policy capacity to guide overall strategic positioning and context-specific programmes from the outset of crisis and strengthening of assessment capacity when crises occur;

(d)   Redefining and adapting of the tools, guidelines and procedures for more efficient delivery in the field including for strengthening operational reply in humanitarian crises.

10.   The detailed planning of concrete action in this regard will be informed by the results of pertinent internal and external audits and evaluations.

11.   The initiative would be implemented within 18 months and would require a budget of $1,790,000.

Summary of intervention areas and proposed actions

Intervention areas	Actions
Building a clearly defined strategy and implementation plan for the field reform based on solid analysis and an intervention logic	Carry out data collection and analysis
	Carry out a global review of past UNESCO decentralization strategies and practices
	Review pertinent decisions and resolutions by the Governing Bodies
	Analyse field strategies in comparison with other United Nations agencies
	Define more appropriate criteria underlying the field

Intervention areas	Actions
	structures and a more efficient monitoring of the adherence to those criteria
	Review the accountability framework, the human resources strategy and the resource mobilization strategy
	Establish a framework for administrative changes
Budget required	$200,000
Sharpening UNESCO's programmatic focus and delivery at the regional and country levels to better contribute to the Agenda 2030 implementation	Undertake an analysis of implementation trends at regional levels
	Establish a consultation process with internal and external stakeholders
	Create a peer group of field office managers
Budget required	$240,000
Enhancing delivery capacity in countries in crisis and transition through enhanced research and policy capacity to guide overall strategic positioning and context-specific programmes from the outset of crisis and strengthening assessment capacity when crises occur	Undertake conflict analysis to assess risks and trends related to major global challenges[19] and their impact on UNESCO's priorities and work
	Develop comprehensive methodologies and tools to measure the impact of conflict in its fields of competence[20]
	Test the methodologies and tools in the field
Budget required	$350,000
Redefining and adapting of the tools, guidelines and procedures for more efficient delivery in the field including for strengthening operational response in humanitarian crises, including through rapid temporary deployment mechanisms	Set-up monitoring and evaluation mechanisms
	Develop simulation tools for optimizing the field network and for the of its efficiency
	Review the accountability framework
	Set-up an information platform
	Review field related workflows including procedures in countries in conflict and transition, etc.
	Develop, set-up and pretest a rapid deployment mechanism to provide enhanced temporary human resources to support UNESCO field offices and their response
Budget required	$1,000,000

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[19] Such as forced displacement, migrations, climate change, etc.
[20] Data will serve to identify loses and assess developmental needs from the onset and ensure that these are taken into account in specific responses.

E. **Proposal for presenting the performance indicators (PI) and targets related to the global priorities Africa and gender equality**
(Follow-up to 197 EX/Decision 5 (IV, F))

1.   At its 197th session, the Executive Board requested the Director-General to submit a proposal for "presenting the performance indicators and associated baselines and targets for UNESCO's global priorities Africa and gender equality in such a way as to ensure that both global priorities are reflected appropriately in all relevant expected results".

2.   The Director-General submits herein her proposal for presenting and presenting the performance indicators and targets related to the Global Priorities Africa and Gender Equality in a way that increases their systematic and effective consideration in programming.

3.   The expected results, performance indicators and associated targets related to the Global Priorities have been defined for 2014-2017 in the Operational Strategy for Priority Africa 2014-2021 and the UNESCO Priority Gender Equality Action Plan (GEAP II) 2014-2021, adopted by the 37th session of the General Conference. In the Approved 37 C/5 and 38 C/5, the expected results for global priority Africa, and global priority Gender Equality are thus aligned with their respective strategies. These expected results, along with their respective performance indicators and targets are presented under the dedicated sections on the Global Priorities, as part of each Major Programme.

4.   As it was the case for the 37 C/5 and the 38 C/5, the Priority Africa Operational Strategy and the GEAP II will continue to provide the framework and guide the preparation of the Draft 39 C/5. Programmes and actions and related expected results will be conceived and proposed in the Draft 39 C/5 in alignment with these Operational Strategy and GEAP II, and in a way to ensure the achievement of their respective outcomes in a more systematic fashion. More particularly, and in application of the results-based management approach, the programmatic priorities, focus areas and expected results of the Major Programmes will continue to give due regard to the concerns and needs of the Global priorities, Africa and Gender Equality.

5.   In addition, and with respect to the results framework, assuming that the presentation of the Major Programmes expected results and their performance indicators and targets will follow the same format as in the Approved 38 C/5, the performance indicators and targets related to each of the Global Priorities could be defined and integrated in a way that demonstrates how these Global Priorities are fully mainstreamed in the programme. Where needed, distinct expected results related to one or the other of the two Global Priorities could be formulated.

6.   Indicative examples of mainstreamed and/or integrated presentation within the results frameworks are shown in the tables below (paragraph 7). The examples are based on the actual expected results as set in the 38 C/5 Approved Expenditure Plan ($518M). The   examples   show that, where relevant, it is possible to disaggregate the target for a particular performance indicator to show specifically the targets expected to be reached in Africa, or in relation to Gender Equality. In addition, and in cases where this disaggregation is not feasible or not relevant, it would be possible to define a separate performance indicator related to one or the other Global Priority.

7.   Indicative examples by Major Programme

Major Programme I - Education

Expected result 1: National capacities strengthened to develop and implement policies and plans with a lifelong learning framework

Performance indicators	*Targets 2017*
Number of countries (supported by UNESCO) where education policies have been reviewed to integrate a lifelong learning perspective	*16 Member States, including:* – *At least 8 Member States in **Africa, of which 2 LDCs**;* – *15 Member States, of which at least 3 in **Africa**, have undertaken a **gender analysis** and corresponding **gender responsive measures** in their reviews*

Major Programme III – Social and human sciences

Expected Result 5: Capacities of Member States strengthened to design and implement multi-stakeholder and inclusive public youth policies and young women and men engaged in community building and democratic processes

Performance indicators	*Targets 2017*
Number of supported Member States which have initiated a multi-stakeholder and inclusive process of formulation and/or a review of their public policies on youth, including a gender equality dimension, with the participation of young women and men	– *3 to 7 countries (at least 3 in **Africa** and 1 in each other region) initiate a multi- stakeholder and inclusive process of formulation and/or evidence based review of their public policies on youth;* – *At least 4 public policies on youth are **gender responsive policies**.*

Major Programme IV – Culture

Expected result 5: National capacities strengthened and utilized to safeguard the intangible cultural heritage, including indigenous and endangered languages, through the effective implementation of the 2003 Convention

Performance indicators	*Targets 2017*
Number of supported Member States utilizing strengthened human and institutional resources for intangible cultural heritage and integrating ICH into national policies	– *Policies developed or revised in 30 States and human and institutional resources strengthened in 55 States, of which half have adopted **measures for gender parity for human** resources; and of which **at least seven southern African countries and three in other parts of the continent** have revised or are revising their institutional and legal frameworks for the safeguarding of intangible cultural heritage*

(NEW PI specific to GE) Number of statutory operational documents that reflect gender equality principles	*At least one*

Proposed decision

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

The Executive Board,

1. <u>Recalling</u> 36 C/Resolution 92, 33 C/Resolution 78, 196 EX/Decision 15 (II) and 197 EX/Decision 5 (IV, F),

2. <u>Having examined</u> document 199 EX/5 Part II (E),

3. <u>Expresses its satisfaction</u> with the proposals presented in the document;

4. <u>Notes</u> that it will be feasible to implement these proposals in time for the preparation of the Draft Programme and Budget for 2018-2021 (39 C/5);

5. <u>Requests</u> the Director-General to apply the proposed format as appropriate when submitting the Draft 39 C/5 to the Executive Board at its 201st session.

F.   Structured Financing Dialogue
(Follow-up to 197 EX/Decision 5 (IV, B))

A.   Background

(i)   Initial decision (2012)

1.   The UN General Assembly, in its resolution on the quadrennial comprehensive policy review (67/226), expressed its *"concern that the share of core contributions to United Nations funds and programmes has declined in recent years, and recognizes the need for organizations to address, on a continuous basis, the imbalance between core and non-core resources"* (paragraph 26). It encouraged Member States and the United Nations development system to *"prioritize the allocation of core/regular resources and non-core resources that are more predictable, flexible, less earmarked and better aligned with the priorities of programme countries" (paragraph 40).*

2.   A related concern was that institutional support (substantive and operational) to non-core funded activities may in fact be subsidized by core resources with a consequent negative effect on the availability of remaining core resources for programme activities, in particular at the country level (QCPR paragraph 43).

3.   In this spirit, the General Assembly requested *"the executive boards of the funds and programmes and the governing bodies of the specialized agencies, as appropriate, to organize* **structured dialogues** *during 2014 on how to finance the development results agreed in the new strategic planning cycle of their respective entities, with a view to making non-core resources more predictable and less restricted/earmarked, broadening the donor base and improving the adequacy and predictability of resource flows"* (67/226, para. 46).

4.   Importantly, the General Assembly also encouraged all United Nations organizations *"as appropriate, to* **ensure that all available and projected core and non-core resources are consolidated within an integrated budgetary framework,** *based on the priorities of their respective strategic plans"*.[21]

(ii)   A continued concern

5.   These recommendations were also reiterated in a 2014 Joint Inspection Unit Report ("An analysis of the Resource Mobilization Function of the United Nations System"). The JIU encouraged the executive heads of United Nations organizations *"to consider organizing structured dialogues with their respective donors on financing, with a view to improving predictability and assist in long term strategic planning, sustainable and prioritization"*.[22]

6.   Recent reports have added "volatility" as a concern, showing a higher degree of volatility from year to year for non-core resources (e.g. 62% of 2011 contributions by main donors changed by more than 20% compared to 2010).[23]

7.   The integrated nature of the 2030 Agenda adds urgency to this discussion: *"Given the integrated nature of the 2030 Agenda, it will be imperative that contributions have the flexibility which enables the UNDS to carry out the horizontal activities cutting across multiple target areas. As such, it will be important to ensure that non-core funding will become more flexible/less*

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[21]   General Assembly resolution A/RES/67/226 (QCPR), paragraph 41.
[22]   Joint Inspection Unit Report. Geneva 2014. Analysis of the Resource Mobilization Function within the United Nations System.
[23]   "Report of the Secretary-General on the implementation of GA resolution 67/226 on the QCPR (includes the funding analysis and the QCPR monitoring and reporting framework)", 2014, paragraph 43.

earmarked, and be supported by a healthy core funding base and that core resources are not used to help finance non-programme costs associated with non-core activities."[24]

    (iii)   Current state of structured financing dialogue (SFD) in the United Nations system

8.   Discussions within the United Nations system are at various stages of development. According to the report of the Secretary-General on implementation of the above resolution of December 2015:

- some 17 out 25 United Nations organizations surveyed in 2015 reported that they had scheduled a structured financing dialogue in 2014;[25]

- In 2015, 21 of the 25 United Nations entities surveyed indicated that they consolidated available and projected core and non-core resources within an integrated budgetary framework.

- two Specialized Agencies appear to have taken decisions on this issue (see summary in Annex I):

  - o   WHO – with a full SFD approach developed over several years (as described in the 2014 JIU report on the Resource Mobilization Function within the United Nations system, WHO's structured financing dialogue was rooted in major recent reforms)[26]

  - o   FAO, which has developed an integrated budget.

9.   The WHO Financing Dialogue was positively evaluated in an external evaluation commissioned by WHO itself in 2014, which highlighted that:

- the financing dialogue reinforced the Programme budget as an important resource mobilization too;

- there was more predictable funding at the start of 2014-2015 biennium (the level of predictable funding reached 69% at the start of the 2014-2015 biennium, compared to 61% and 52% in previous biennia);

- a large group of donors provided projections increasing the predictability of WHO financing (around 25% of the programme budget was projected prior to the second financing dialogue);

- overall transparency was enhanced through a programme budget web portal.[27]

    (iv)   UNESCO's response

10.   The 197th session of the Executive Board of UNESCO decided to organize, with the support of the Director-General on an annual basis, starting at the 199th session of the Executive Board, a structured dialogue on financing with Member States and relevant partners. The purpose would be to monitor and follow up on the predictability, flexibility, transparency and alignment of both regular programme and extrabudgetary resources, including information on resource requirements. The

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[24]   "Report of the Secretary-General Implementation of General Assembly Resolution 67/226 on the quadrennial comprehensive policy review of operational activities for development of the United Nations system (QCPR): 2016" (28 December 2015, advance, unedited version).

[25]   *Report of the Secretary-General-* Implementation of General Assembly Resolution 67/226 on the quadrennial comprehensive policy review of operational activities for development of the United Nations system (QCPR) – 28 December 2015.

[26]   Joint Inspection Unit Report. Geneva 2014. "Analysis of the Resource Mobilization Function within the United Nations System."

[27]   "WHO Financing Dialogue Evaluation. Final Report". PriceWaterhouse. 17 April 2014

Executive Board further requested UNESCO to present proposals for modalities and a timeline for the organization of a structured financing dialogue to its 199th session, and the Director-General to include in her reporting to the governing bodies an annual update on the outcome of the financing dialogue.

11.   The General Conference, at its 38th session, [28] also requested the Director-General to include an annual structured dialogue on financing in the roadmap for the preparation of document 39 C/5 and identified the discussion on appropriate financial instruments, including the special account modality, as a core part of the financing dialogues. [29]

B.   Responding to the QCPR requests: structured financing dialogue and integrated budgetary framework

(i)   Structured financing dialogue: addressing core concerns

12.   There is no unique model for the "structured financing dialogue" within the United Nations system, and no one-size-fits-all. At this stage, all United Nations organizations appear to have followed different paths and chosen different parameters, consistent with their own mandates, management strategies, and donor base. While focusing on the main principles, it is therefore important to focus also on the specificity of UNESCO. The following paragraphs outline some possible implications based on the experience of other organizations.

13.   At the same time, as highlighted in the QCPR 2012, it is expected that structured financing dialogues should address the entire range of concerns identified by the General Assembly, in particular the following issues:

- **Alignment**: ensuring that resources flow to organization-wide priorities;

- **Predictability**: encouraging donors and partners to make multi-annual commitment to facilitate planning, and a clearer identification of funding gaps;

- **Flexibility**: being able to mobilize and manage resources flexibly so as to ensure all key areas of the programme are financed, not just those that are appealing to donors;

- **Broadening the donor** base to reduce dependency on a few key donors;

- **Transparency**: giving the full picture of how the programme is resourced and delivered and where funding gaps lie. [30] Trust is key to resourcing the programme. Hence, the financing dialogue places emphasis on transparency, the achievement of results, and progress on wider reform issues.

- **Responding to volatility** in year-to-year financing, especially for non-core funding, is also a concern (see above). Well-functioning **cost-recovery frameworks** are also an important element.

14.   The exact modalities of this dialogue will need to be decided by Member States. The Executive Board has recommended an annual periodicity starting at the 199th session (197 EX/Decision 5 (IV, B). An initial dialogue could therefore be held in the spring of 2016, either as part of the Board's session or on the margins of the session, and another dialogue in the spring of 2017, coinciding with the examination of the draft document 39 C/5. Beyond formal "dialogue"

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[28]   38 C/Resolution 104)
[29]   38 C/Resolution 86 on Financial Regulations for Special Accounts.
[30]   UNDP has expanded on these principles as follows: (a) Universality, to ensure that UNDP development resources and related activities are available to support all eligible countries; (b) Progressivity, to ensure the distribution of regular programme resources are directed primarily to low-income and least developed countries.

sessions, however, it is recommended that a continuous dialogue be maintained on these issues, in particular as an integral part of the preparation of the next Programme and Budget (39 C/5).

(ii) Developing an integrated budgetary framework

15.   As requested by the General Assembly, and as already introduced by a majority of United Nations organizations, an **integrated budgetary framework** appears essential to facilitate and to inform the proposed dialogues on financing.

16.   Such a framework would consolidate in a full RBB manner all available and projected core and non-core resources, thereby allowing an examination by the Member States of **the whole programme funded by the whole resources of UNESCO**. This would be accompanied by an assessment of the resources necessary to achieve UNESCO's programme objectives, based on clear targets combining assessed and voluntary contributions.

17.   A key benefit of the integrated budgetary framework that is highlighted in the Secretary-General's recent report is that the presentation of the integrated budgets in conjunction with the strategic plan of organizations, increases transparency and fosters trust with Member States and other partners".[31] It fosters a sense of **shared accountability** by the Secretariat and Member States for resourcing the programme. At WHO for example, for the 2014-2015 biennium, the World Health Assembly approved the allocation among the six main "categories" of WHO of an overall budget of $3,977 million comprised of $929 million in assessed contributions and $3,048 million in voluntary contributions. Through the decision approving the Programme and Budget, the Member States "resolve that the budget will be financed"[32] by assessed contributions and voluntary contributions. It is this joint "will" and shared accountability between Member States and Secretariat for resourcing the programme that lend a unified programme and budget its cogency.

18.   In addition, this integrated budget framework also encourages a better coordinated and more strategic approach to resource mobilization with a house-wide focus on **filling the gaps**, enabling the design of coordinated house-wide and sectoral approaches to resourcing the funding gap, rather than a more diffuse result-by-result approach to pursuing any opportunity that is aligned with the C/5 document. A lesson learned from other agencies is that it is important not to inflate the "aspirational budget", leaving only a **reasonable and realistic funding "gaps"** (WHO has thus moved from what was initially "aspirational" budget to a budget informed by Member States' expectations of a realistic budget based on past trends of income and expenditures as well as agreed organizational deliverables reflecting programmatic shifts in emphasis grounded in health priorities including a bottom up planning process and costing of outputs.[33]

19.   This budget framework needs to rest on a robust results framework which would convey a clear vision of what UNESCO's programme **needs to do** rather than an assessment of the Organization **can do** based on resources that are already available. This would likely contribute to more efficient planning based on the increased predictability of funding, enhanced donor outreach and resource management and most importantly could lead to significant gains in programmatic focus, and enhanced impact.

20.   While the expression "structured financing dialogue" appears to focus only on the "financing" of United Nations organizations, the overall approach concerns equally key programme choices. The structured financing dialogue aims at resourcing the results set out in the programmes and budgets of United Nations agencies irrespective of the source of funding whether assessed contributions or voluntary contributions. It should probably best be referred to as an "Integrated Programme and Budget Framework".

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[31]   *Report of the Secretary-General-* Implementation of General Assembly Resolution 67/226 on the quadrennial comprehensive policy review of operational activities for development of the United Nations system (QCPR) – 28 December 2015.

[32]   Sixty-sixth World Health Assembly. Agenda item 12.3. Programme budget 2014-2016. Ref: WHA66.2.

[33]   Source: WHO reform. Financing of WHO 13 May 2013.

C. Key drivers for a structured financing dialogue and integrated budgetary framework

21. The introduction of this new framework may have broad implications for the way that the programme is planned, that funding gaps are identified and communicated to Member States and donors, and that funding for the programme is received, managed and allocated. However, UNESCO has already taken several steps which are consistent with a structured financing dialogue and an integrated budgetary framework. These will deserve further development:

(a) The gradual introduction of **results-based budgeting (RBB)** in recent years, materialized in document 38 C/5 for which the budget for the five Major Programmes was prepared through this approach from its earliest phase. In addition, RBB has been further refined, through growing discussions over the definition of expected results, performance indicators as well as through the introduction in the preparation of document 38 C/5 of realistic full budgeting of proposed C/5 activities using a devoted IT tool reflecting both regular programme and extrabudgetary resources; the introduction of a structured financing dialogue and of an integrated budgetary framework would require special efforts **to clearly define the entire programme** of UNESCO regardless of the funding sources (assessed contribution or voluntary contribution) with clear associated results, performance indicators and targets;

(b) The gradual **integration of extrabudgetary resources** into the planning of the Programme and Budget – through the introduction of the Complementary Additional Programme (CAP) focusing on the resourcing of individual expected results; All of UNESCO's proposed extrabudgetary projects are linked to a C/5 result. The "Sharpened Resource Mobilization Strategy"[34] of 2013 also introduced the critically important notions of priority for areas where UNESCO holds leadership, and comparative advantage.

(c) UNESCO already has experience with the **projection of targets for resource mobilization** for each expected result in the C/5 document, which are presented for information as an annex to the draft resource mobilization strategy for 2016-2017. This would allow for the projection of targets at more aggregated levels.

(d) The **new reporting format** adopted by the General Conference at its 38th session, combining a report on performance (Programme implementation Report focusing on outputs) and a report on strategic outcomes (Strategic Results Report), is somewhat similar to the reporting requested today at WHO.

(e) The introduction during the last biennium of an **IATI-compliant Transparency Portal** which can be adapted as needed to provide better information on resource flows and results.

(f) Application of the **cost-recovery** principle needs to be further reviewed and rigorously pursued within the integrated budget framework, in order to ensure full costing of the extrabudgetary funded projects and a balanced utilization between the assessed contribution and the voluntary contribution in terms of direct and indirect cost items.

(g) **Relations with donors** are evolving gradually, with more emphasis placed on more strategic multi-year partnerships, and a gradual broadening of the donor base. This evolution should be encouraged, as well as efforts to engage with donors not simply bilaterally, but across a wider range of partners more deeply, with grouped meetings of donors interspersed with bilateral meetings, without however impeding specified support when consistent with programme priorities or with emerging priorities (e.g. conflicts, disasters). The structured financing dialogue can facilitate better coordination among donors and greater overall impact and strategic targeting of investments.

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34   37 C/INF.28.

(h)   Other areas may also need to be reviewed, such as the "constant dollar mechanism"-Foreign exchange.

22.   As a first step, the Executive Board may wish to recommend that concrete proposals concerning an integrated budgetary framework be made at the fall 2016 session of the Board, in the framework of the preliminary proposals on document 39 C/5. Taking into account the specificities of UNESCO's situation, it is suggested to adopt a phased approach to the introduction of a structured financing dialogue. The first biennium (2018-2019) of the next quadrennium (2018-2021) could focus on clarifying the fundamental elements of such a possible transition, which might then find a more elaborate translation during the second biennium (2020-2021).

23. In parallel, the Secretariat proposes to strengthen measures to improve transparency on resource flows and funding gaps. Adapted tools and approaches may become necessary (resource mobilization around funding gaps; a transparency portal showing resource flows, progress and success stories, the development of a predictability index, etc.) Ongoing efforts to diversify the donor base, to develop multiannual partnerships with donors, and strengthen modalities for mobilizing lightly earmarked and develop new modalities for core voluntary resources will also be monitored in the annual reporting on the financing dialogue which can be integrated in the annual report on the Director-General's Action Plan for Improved Management of Extrabudgetary Funds which is presented to every fall session of the Executive Board.

Proposed decision

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

The Executive Board,

1.   <u>Having examined</u> document 199 EX/5 Part II (F),

2.   <u>Takes note</u> of its contents;

3.   <u>Requests</u> the Director-General to make concrete proposals concerning the possible presentation in the Programme and Budget for 2018-2021 (39 C/5) of an integrated budgetary framework, taking into account the discussions at the Board;

4.   <u>Further requests</u> the Director-General to make recommendations in this context on the organization of a structured financing dialogue at its 201st session, as well as on practical measures needed to adapt, as necessary, UNESCO's relevant tools and approaches;

5.   <u>Decides</u> to hold a structured financing dialogue at the 201st session of the Executive Board.

ANNEX I

EXAMPLES OF A UNIFIED PROGRAMME AND BUDGET

WHO

Between the 2012-2013 and 2014-2015 biennia, WHO made the shift from the approval by the Health Assembly of the programme budget financed from assessed contributions (representing only around 25% of programme resources) to the approval on "entire proposed programme budget", also setting a realistic ceiling on projected voluntary contributions.[35]

Broadly speaking, WHO has three segments to its budget: (i) Base funding for the 6 main categories of work which covers the essential work of WHO and for which a budget ceiling is set (ii) special arrangements which have separate governance arrangements and budget cycles [36] and fall outside the purview of the World Health Assembly, and (iii) event related funding typically relating to crisis situations[37] for which the Secretariat is authorized to incur expenditures in access of the allocation approved by the World Health Assembly.[38]

The nature of funding falls into two categories: specified voluntary contributions which are tightly earmarked contributions under specific programmes and projects and 'flexible funding' which comprises assessed contributions, core voluntary contributions and revenues from programme support costs.

After the approval of the programme budget, and based on a careful analysis of the extrabudgetary resources that are available (whether in hand or projected) for programme areas, the Director-General has the authority to assign flexible funding to areas where there is a funding gap. The decision on the biennial programme and budget "Authorizes the Director-General to use the assessed contributions together with the voluntary contributions, subject to the availability of resources, to finance the budget"[39] according to the allocation approved by the World Health Assembly. Any remaining funding gap is then the subject of a coordinated corporate resource mobilization effort.

FAO[40]

Further to a "Strategic Thinking Process" launched in 2012, FAO presented a Programme of Work and Budget (PWB) for 2014-2015 which focuses FAO's resources and efforts on those areas where the organization's comparative advantages are largest, and it aims to deliver results where impacts are greatest. The PWB proposes an integrated view of total resource requirements to carry out the Programme of work to achieve two-year targets under the results framework from the Net Budgetary Appropriation (assessed contributions) and voluntary contributions.

While the level of assessed contributions will be known at the beginning of the biennium based on the Budgetary Appropriations Resolution adopted by Conference, the amount, timing and earmarking of extrabudgetary voluntary resources will be subject to some uncertainty. In the planning process for 2014-15, FAO has sought to mitigate this risk by deriving estimates of extrabudgetary resources based on status of extrabudgetary projects, with two levels of assurance:

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[35] "WHO Reform. Financing of WHO". Ref. A66/48. 13 May 2013.
[36] Research for tropical diseases and human reproduction and hosted partnerships such as "Roll Back Malaria partnership" (Source: About WHO. Key Financial Information).
[37] Budget lines for polio eradication and outbreak and crisis response (Source: About WHO. Key Financial Information).
[38] Sixty-sixth World Health Assembly. Agenda item 12.3. Programme budget 2014-2016. Ref: WHA66.2.
[39] Sixty-sixth World Health Assembly. Agenda item 12.3. Programme budget 2014-2016. Ref: WHA66.2.
[40] The Director-General's Medium Term Plan 2014-17 and Programme of work and Budget 2014-15, FAO C2013/3

- <u>Higher level of assurance</u>: (a) currently operational projects that have budgeted resources in 2014-15; and (b) project proposals in the pipeline that are under negotiation and are likely to be approved, with budgets in 2014-15, being essentially assured funding;

- <u>Lower level of assurance</u>: prospects based on project ideas and positive contacts with donors.

Executive Board
Hundred and ninety-ninth session

199 EX/5
Part II Corr.

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 II

MANAGEMENT ISSUES

CORRIGENDUM

On page 34, the title of paragraph (ii) should read as follows:

"Improved and sharpened resource mobilization processes and strategies ($1,283,000)"

On page 36, ANNEX I: RESULTS FRAMEWORK AND COSTING is attached hereafter:

STRATEGIC RESULTS FRAMEWORK & COSTING

STRATEGIC RESULTS	EXPECTED ACCOMPLISHMENTS PHASE I				EXPECTED ACCOMPLISHMENTS PHASE II (provisional)			COSTING PHASE I	COSTING PHASE II (provisional)
Streamlined & re-aligned structures that are more effective and accountable	Financial Management & accountability strengthened	Leadership skills enhanced			Corporate services revisited & reconfigured	Field network redesigned and optimized	Website Governance reviewed and adapted		
	$ 438,000	$ 109,000						$ 547,000	
Improved & sharpened resource mobilization processes and strategies;	Skills developed for all staff in the area of resource mobilization	Transparency Portal revised to reflect structured financing dialogue and review of reporting modalities	Constituency Relationship Management System (CRM) developed and implemented		Structured financing dialogue approach developed	Harmonized and simplified project/donor reporting			
	$ 98,000	$ 200,000	$ 985,000					$ 1,283,000	
Realigned programming in support of Agenda 2030	Director of Field Offices enabled to better position UNESCO in UNCT joint initiatives & enhanced programmatic contribution A2030	Communities of Practices and new knowledge-sharing tools developed and actively applied							
	$ 547,000	$ 438,000						$ 985,000	
Sharpened delivery modalities and appropriate mechanisms/tools					Modalities for emergency transition contexts reviewed and adjusted	Strengthened operational response in humanitarian crises including through rapid temporary deployment	Review of implementation trends and issues in the field	Adapted tools and guidelines for the field	
									$ 1,500,000
Improved operational modalities & streamlined work processes	Document and multimedia management optimized	Internal Tools for increased productivity developed and applied			Generic Job Profiles created for more efficient recruitment process				
	$ 547,000	$ 109,000						$ 656,000	
Improved program/project management & Risk mitigation	Core UNESCO information systems to improve programme management and delivery resdesigned & implemented	Business continuity and disaster recovery ensured	Programme cycle management strengthened, programming gender mainstreamed	Decentralized Evaluation network established and trained					
	$ 3,414,000	$ 383,000	$ 449,000	$ 200,000				$ 4,446,000	
blue = KMI & IT Plan							GRAND TOTAL	$ 7,917,000	$ 1,500,000
green = Training Plan									

Executive Board
Hundred and ninety-ninth session

199 EX/5
Part III

PARIS, 22 February 2016
Original: English

<u>Item **5** of the provisional agenda</u>

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

PART III

HUMAN RESOURCES ISSUES

SUMMARY

The purpose of this document is to inform the Members of the Executive Board on the progress achieved in the follow-up to the decisions and resolutions adopted by the Executive Board and the General Conference at their previous sessions.

Part III of this document contains information on the following human resources issues:

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

Pursuant to 37 C/Resolution 74 and 197 EX/Decision 5 (V,A), the Director-General submits an information note on the situation of the geographical distribution and the gender balance of the staff in the Secretariat and progress report on the achievement of gender balance at the senior levels.

Action expected of the Executive Board: Proposed decision in paragraph 22.

B. **Feasibility of a new health insurance scheme**

At its 191st session, the Executive Board requested the Director-General to undertake a study with a view to introducing a new health insurance scheme, and to report back at its 194th session. This study was put on hold as it was considered more pertinent and efficient to undertake the study within the framework of the major study being carried out on health insurance across the United Nations Common System and to report on progress and/or conclusions at the 2016 spring session of the Executive Board.

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

C. **Annual report (2015) by the International Civil Service Commission (ICSC): Report by the Director-General**

Article 17 of the Statute of the International Civil Service Commission (ICSC) provides that "(ICSC) shall submit an annual report to the General Assembly including information on the implementation of its decisions and recommendations. The report shall be transmitted to governing organs of the other Organizations through their

In 114 EX/Decision 8.5, the Executive Board approved a proposal, by the Director-General to submit all future ICSC annual reports to the Executive Board at the spring session following publication of the report, which was subsequently endorsed by the General Conference in 22 C/Resolution 37.

Furthermore, the General Conference invited the Director-General, in 38 C/Resolution 88, to inform the Executive Board about measures adopted, either by the General Assembly or the ICSC, before the General Conference's 39th session.

The present document submits the ICSC's annual report for 2015 to the Executive Board for information and describes measures affecting the conditions of service of UNESCO staff members which were implemented following ICSC recommendations/decisions and/or decisions taken by the General Assembly in its resolution 70/244 of December 2015.

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

D. **Preliminary proposals for a Human Resource Management Strategy for 2017-2022**

Pursuant to 196 EX/Decision 23 (III), the Director-General submits preliminary proposals for a Human Resource Management Strategy for 2017-2022.

Action expected of the Executive Board: Proposed decision in paragraph 33.

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

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Section I: Geographical distribution of staff

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1.   Pursuant to 37 C/Resolution 74 and 197 EX/Decision 5 (V A), the Director-General submits to the Executive Board an information note on the situation of the geographical distribution of the staff in the Secretariat.

2.   Geographical distribution applies to international professional staff occupying geographical posts. Geographical posts are the established posts financed from UNESCO's regular programme, excluding language posts (see Note on the calculation of the geographical quotas).

Overall situation for the period January 2015 to January 2016

3.   As of January 2016, UNESCO counts 195 Member States of which 153 (78%) are represented in the Secretariat.

4.   At its 38th session [1], the General Conference adopted a revised scale of assessed contributions for 2016/2017, based on the revised scale of assessments adopted by the United Nations General Assembly at its 70th session. The quotas of 23 Member States were adjusted accordingly as of January 2016; for the majority, there was no impact on the geographical status, except for five Member States which changed status: two became over-represented, one normally-represented, and two under-represented. Member States concerned were informed accordingly.

5.   Table 1 shows that 64 (33%) Member States are normally represented; 17 (8%) are over-represented, 72 (37%) are under-represented and 42 (22%) are non-represented. A detailed list of the situation by country is attached in Annex I. Between January 2015 and January 2016, the total number of represented Member States has remained stable (153) eg 78%. Normally-represented countries decreased by 6 from 70 to 64; over-represented countries decreased from 18 to 17, while under-represented countries increased from 65 to 72. Non-represented countries remained at the same level, eg 42 (22%).

Table 1:
Situation of the geographical distribution
as at January 2016

Status of representation	Number of Member States January 2016
Normally represented	64 (33%)
Over-represented	17 (8%)
Under-represented	72 (37%)
Total number of Member States represented	**153 (78%)**
Non-represented	42 (22%)
Total number of Member States	**195**

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[1]   38 C/Resolution 83.

Progress against the 85% target of represented Member States – Evolution between January 2010 and January 2016

6.	The HR Strategy (2011-2016) set a target of 85% represented Member States by 2016. Between 2010 and 2012, progress was made and the level of representation increased to 83%, up from 80%. From 2012, the low level of external recruitment due to the financial constraints, combined with departures of staff on geographical posts (of which 24% on agreed separations) led to a decrease of represented countries to 79% by end 2013. In 2014-2015, the number of represented countries has remained stable (153; 78%).

Table 2
Evolution of the geographical distribution
(January 2010 to January 2016)
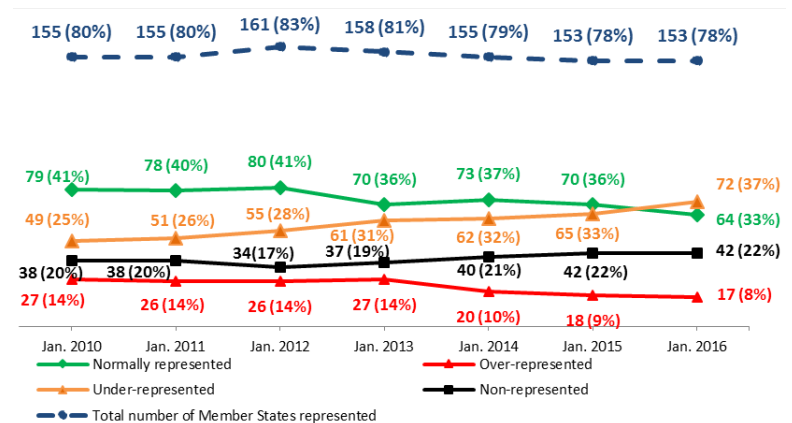
7.	Projections for April 2016 show a marked improvement – it is expected that more than 80% of Member States will be represented – thanks to the hiring of Young Professionals (YPP) from non-represented countries. The number of normally-represented countries is also anticipated to improve, from 64 in January 2016 to more than 70 in April 2016, with the recruitment of YPPs from under-represented countries.

The Young Professionals Programme and other measures to improve the geographical distribution

8.	The Young Professionals Programme (YPP) is one of the most effective mechanisms to improve the geographical representation of Member States. It has been in operation for many years in UNESCO, but was put on hold in 2012, due to the budgetary situation and the lack of available posts. The YPP was re-launched in 2015, with 14 geographical posts at P-1/P-2 level reserved for candidates from non- and under-represented Member States. Following a call for applications to National Commissions for UNESCO, and a selection process led by the Bureau of Human Resources Management with the receiving sectors/bureaux, 14 candidates were selected for the Programme, of whom 5 from non-represented countries and 9 from under-represented countries, distributed amongst the six regional groups. From the 14 candidates, 9 are women and 5 men. The Young Professionals will be assigned in majority to the programme sectors.

9.	Other initiatives implemented in 2015 to enlarge the pool of potential applicants from non- and under-represented countries for external recruitments include sponsored trainee schemes (the People's Republic of China and Singapore), outreach missions[2] and job/career fairs[3]. Ad hoc briefings were also being held with targeted National Commissions and Permanent Delegations on the best modalities to collect and submit qualified applications. UNESCO vacancies were also advertised among the organizations of the United Nations common system.

10.	The recent amendment by the General Conference of Staff Regulation 4.4. on the advertisement of posts will also – on the whole – support the improvement of geographical distribution, as it allows external candidates to compete for all posts advertised in the Secretariat at the same time as serving staff (prior to this change, posts other than Director posts had to be advertised internally first).

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[2]	Notably to the People's Republic of China.
[3]	Switzerland, ENA (Programme for International Students).

11.   The Action Plan for the improvement of geographical distribution will end in 2016. In the course of 2016, the Secretariat will review the Plan and propose concrete measures for the improvement of the geographical distribution in the Secretariat in the coming years, notably outreach strategies to attract candidates from non- and under-represented countries.

Geographical distribution by regional group

12.   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 in this report 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.

13.   As shown in Table 3, Groups II, III, IV and Va are below the minimum index established. Group Vb did not change while Group I decreased by 11 but remains within index.

Table 3

Evolution of the geographical distribution by regional group since January 2015

Regional groups*	Index January 2016		January 2015	January 2016	Variation since January 2015	Status January 2016
	Mini	Max				
Group I	170	285	231 (38%)	220 (37%)	-11	Within index
Group II	62	114	57 (9%)	54 (9%)	-3	Below minimum index
Group III	83	157	59 (10%)	58 (10%)	-1	Below minimum index
Group IV	156	277	118 (19%)	115 (20%)	-3	Below minimum index
Group V(a)	97	191	95 (16%)	92 (16%)	-3	Below minimum index
Group V(b)	46	82	48 (8%)	47 (8%)	-1	Within index
Total			**608**	**586**	**-22**	

(*) **Electoral groups**: Group I: Europe and North America; Group II: Eastern Europe; Group III: GRULAC; Group IV: ASPAC; Group V(a): Africa and Group V(b): Arab States

14.   Table 4 shows that non- and under-represented countries are found in all regional groups, including those that are within index. Group IV has the highest number of non- and under-represented Member States (30), followed by Group V(a) with 26 and Group III with 22. Group II counts 13 non- or under-represented Member States, and Groups I and V(b) 11 and 12, respectively. The number of non and under-represented countries, overall and by regional Group is expected to decrease with the hiring of the 14 Young Professionals in 2016 (Paragraphs 7-8 above).

Table 4
Number of non- and under-represented Member States within each regional group

Regional groups*	Total Member States	Number and % of Under and non- represented Member States
Group I	27	11 (41%)
Group II	25	13 (52%)
Group III	33	22 (67%)
Group IV	44	30 (68%)
Group V(a)	47	26 (55%)
Group V(b)	19	12 (63%)
Total	**195**	**114 (58%)**

Representation at Director level and above by regional group

15.   The number of Directors on geographical posts increased from 57 to 58 (+1) between January 2015 and January 2016. Over that period, Group III and V(b) increased by 2 Director staff and Group I by 1; whilst Group V (a) reduced by 3 and Group II by 1. The number of Directors remained stable in Group IV.

Table 5

Geographical distribution by regional group (*) of staff at Director and above level

Regional groups	January 2015 Directors and above level	%	January 2016 Directors and above level	%	Variation since 1 January 2015
Group I	24	42%	25	43%	1
Group II	3	5%	2	3%	-1
Group III	7	12%	9	16%	2
Group IV	9	16%	9	16%	0
Group V(a)	10	18%	7	12%	-3
Group V(b)	4	7%	6	10%	2
Total	**57**	**100%**	**58**	**100%**	**1**

(*) Electoral groups: Group I: Europe and North America; Group II: Eastern Europe; Group III: GRULAC; Group IV : ASPAC; Group V (a): Africa and Group V(b): Arab States.

Section II: Gender balance of staff

16.   This section of the report presents an update on the gender balance in the Secretariat, and a progress report on the UNESCO Action Plan for Gender Parity[4] which aimed at achieving 50% representation of women at senior-management levels (D-1 and above) by 2015.

17.   The population covered in this part of the report is larger than in the geographical distribution report, since the gender data cover all staff with fixed-term appointments irrespective of the source of funding of their posts; while geographical distribution data is restricted to staff on geographical posts which are regular programme posts (RP). Therefore, the Director gender data includes Director posts financed by extra-budgetary funds, such as those in category 1 institutes.

Progress report: Gender balance at Director level and above

18.   Since January 2015, significant progress has been made in the representation of females at senior management level, with an increase by 8% of female Directors from 36% to 44% by January 2016, close to the target of 50%. This is due mostly to the hiring of new female Directors whilst the number of male Directors continued to decrease through retirements.

Table 6

Situation of the gender balance at Director level by grade from January 2015 to January 2016 (Regular programme and extrabudgetary funds)

	January. 2015 F	% F	M	%M	Total	January. 2016 F	% F	M	%M	Total	Difference %F
DDG	-	-	1	100%	1	-	-	1	100%	1	-
ADG	3	43%	4	57%	7	2	33%	4	67%	6	-10%
D-2	9	53%	8	47%	17	12	67%	6	33%	18	+14%
D-1	13	30%	31	70%	44	17	38%	28	62%	45	+8%
Total	**25**	**36%**	**44**	**64%**	**69**	**31**	**44%**	**39**	**56%**	**70**	**+8%**

Gender balance at Professional level and above

19.   As of January 2016, female staff represent a slight majority (51%) at the Professional and above level (D/P), as well as in the Professional category (P). Female representation is particularly high at the junior levels, with 62% at P-1/P-2 level and 52% at P-3 level. At P-4 and P-5 levels, women represent 48% and 36%, respectively.

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4   In 179 EX/5 Part I (VI).

Table 7
Situation of the gender balance at Professional level by grade
Regular programme and extrabudgetary funds (January 2015 - January 2016)

	January 2015					January 2016					Difference
	F	% F	M	%M	Total	F	% F	M	%M	Total	%F
DDG	-	-	1	*100%*	**1**	-	-	1	*100%*	**1**	0%
ADG	3	43%	4	*57%*	**7**	2	33%	4	*67%*	**6**	-10%
D-2	9	53%	8	*47%*	**17**	12	67%	6	*33%*	**18**	14%
D-1	13	30%	31	*70%*	**44**	17	38%	28	*62%*	**45**	8%
Total D	**25**	**36%**	**44**	***64%***	**69**	**31**	**44%**	**39**	***56%***	**70**	8%
P-5	47	35%	87	*65%*	**134**	44	36%	79	*64%*	**123**	1%
P-4	105	46%	124	*54%*	**229**	113	48%	122	*52%*	**235**	2%
P-3	164	52%	149	*48%*	**313**	166	52%	153	*48%*	**319**	0%
P-2/P-1	130	60%	87	*40%*	**217**	137	62%	85	*38%*	**222**	2%
Total P	**446**	**50%**	**447**	***50%***	**893**	**460**	**51%**	**439**	***49%***	**899**	1%
Total D/p	**471**	**49%**	**491**	***51%***	**962**	**491**	**51%**	**478**	***49%***	**969**	2%

CONCLUSION

20.   A total of 153 Member States are represented within the Secretariat (78% of the Member States). While this remains a high level of representation, a downward trend has been noted since January 2012, mainly as a result of the high number of separations (retirements, agreed separations) and a low number of external hires. A sustained effort of recruitment of candidates from non- and under-represented countries is required to progress towards the target of 85%. In this regard, the hiring of 14 Young Professionals in early 2016 will contribute to improving the geographical distribution of the staff, and increase the number of represented Member States as well as the number of normally represented Member States. A new Action Plan for the improvement of the geographical distribution will be developed in 2016.

21.   As of January 2016, women represent a slight majority of the staff in the Professional and above category (D/P) (51%). At the senior management level, significant progress has been made, with 44% female Directors by January 2016, compared to 36% at the beginning of 2015 (22% in 2010). The retirement of 6 male Directors by end-2016 will provide an opportunity to continue to enhance the gender balance, while the parity goal will continue to be pursued. A new Action Plan will be developed, in close cooperation with the Division for Gender Equality, to follow up on the Action Plan 2008-2015.

Proposed decision

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

The Executive Board,

1.   <u>Recalling</u> 197 EX/Decision 5 (V,A),

2.   <u>Takes note</u> of the information provided by the Director-General regarding the situation of the geographical distribution and the gender balance of the staff as of January 2016;

3.   <u>Invites</u> the Director-General to submit to the Executive Board a full report on the situation of the geographical distribution of staff in the Secretariat and on the achievement of gender balance at the senior level at its 201st session.

4.   <u>Invites</u> the Director-General to submit to the General Conference at its 39th session a full report of the geographical distribution and gender balance of the staff of the Secretariat, along with remedial measures being undertaken to redress the imbalance.

ANNEX I

GEOGRAPHICAL DISTRIBUTION BY MEMBER STATES AND BY GRADE

(JANUARY 2016)

	Member States	Sigle	DDG	ADG	D2	D1	P5	P4	P3	P2	P1	Total	Max.	Min.	Situation
1	Afghanistan	AFG	0	0	0	0	0	0	2	0	0	2	4	2	=
2	Albania	ALB	0	0	0	1	0	1	0	0	0	2	4	2	=
3	Algeria	DZA	0	0	0	0	1	1	0	3	0	5	4	3	+
4	Andorra	AND	0	0	0	0	0	1	0	0	0	1	4	2	-
5	Angola	AGO	0	0	0	0	0	0	0	0	0	0	4	2	O
6	Antigua and Barbuda	ATG	0	0	0	0	0	0	0	1	0	1	4	2	-
7	Argentina	ARG	0	0	0	0	2	1	0	1	0	4	7	4	=
8	Armenia	ARM	0	0	0	0	0	0	0	0	0	0	4	2	O
9	Australia	AUS	0	0	1	1	0	2	2	1	0	7	11	7	=
10	Austria	AUT	0	0	0	0	1	2	0	1	0	4	6	4	=
11	Azerbaijan	AZE	0	0	0	0	0	0	1	0	0	1	4	2	-
12	Bahamas	BHS	0	0	0	0	0	0	1	0	0	1	4	2	-
13	Bahrain	BHR	0	0	0	0	0	0	0	0	0	0	4	2	O
14	Bangladesh	BGD	0	0	0	0	0	0	2	1	0	3	5	3	=
15	Barbados	BRB	0	0	0	0	0	0	1	0	0	1	4	2	-
16	Belarus	BLR	0	0	0	0	1	0	0	0	0	1	4	2	-
17	Belgium	BEL	0	0	1	0	3	1	3	0	0	8	6	4	+
18	Belize	BLZ	0	0	0	0	0	0	0	1	0	1	4	2	-
19	Benin	BEN	0	0	0	0	0	1	1	2	0	4	4	2	=
20	Bhutan	BTN	0	0	0	0	0	0	1	0	0	1	4	2	-
21	Bolivia (Plurinational State of)	BOL	0	0	0	0	0	0	1	0	0	1	4	2	-
22	Bosnia and Herzegovina	BIH	0	0	0	0	0	0	1	0	0	1	4	2	-
23	Botswana	BWA	0	0	0	0	0	0	1	0	0	1	4	2	-
24	Brazil	BRA	0	0	0	2	0	1	2	0	0	5	17	10	-
25	Brunei Darussalam	BRN	0	0	0	0	0	0	0	0	0	0	4	2	O
26	Bulgaria	BGR	0	0	0	0	2	2	2	1	0	7	4	2	+
27	Burkina Faso	BFA	0	0	0	1	2	0	1	0	0	4	4	2	=
28	Burundi	BDI	0	0	0	0	0	1	0	0	0	1	4	2	-
29	Cabo Verde	CPV	0	0	0	0	0	0	0	0	0	0	4	2	O
30	Cambodia	KHM	0	0	0	0	1	0	0	1	0	2	4	2	=
31	Cameroon	CMR	0	0	0	0	1	3	2	1	0	7	4	2	+
32	Canada	CAN	0	0	0	1	2	5	2	4	0	14	13	8	+
33	Central African Republic	CAF	0	0	0	0	0	0	0	0	0	0	4	2	O
34	Chad	TCD	0	0	0	0	0	0	0	0	0	0	4	2	O
35	Chile	CHL	0	0	0	0	0	1	1	0	0	2	5	3	-
36	China	CHN	0	1	0	1	3	3	1	2	0	11	39	23	-
37	Colombia	COL	0	0	0	0	2	1	1	0	0	4	5	3	=
38	Comoros	COM	0	0	0	0	1	0	0	0	0	1	4	2	-
39	Congo	COG	0	0	0	1	0	1	2	0	0	4	4	2	=
40	Cook Islands	COK	0	0	0	0	0	0	1	0	0	1	4	2	-
41	Costa Rica	CRI	0	0	1	0	1	1	0	0	0	3	4	2	=
42	Côte d'Ivoire	CIV	0	0	0	0	0	1	1	1	0	3	4	2	=
43	Croatia	HRV	0	0	0	0	1	1	1	0	0	3	4	2	=
44	Cuba	CUB	0	0	0	0	1	2	0	1	0	4	4	2	=
45	Cyprus	CYP	0	0	0	0	0	0	1	1	0	2	4	2	=
46	Czech Republic	CZE	0	0	0	0	1	0	1	1	0	3	5	3	=

	Member States	Sigle	DDG	ADG	D2	D1	P5	P4	P3	P2	P1	Total	Max.	Min.	Situation
47	Democratic People's Republic of Korea	PRK	0	0	0	0	1	1	0	0	0	2	4	2	=
48	Democratic Republic of the Congo	COD	0	0	0	0	0	1	1	1	0	3	4	2	=
49	Denmark	DNK	0	0	0	1	4	3	0	0	0	8	5	3	+
50	Djibouti	DJI	0	0	0	0	1	1	0	0	0	2	4	2	=
51	Dominica	DMA	0	0	0	0	0	0	0	0	0	0	4	2	O
52	Dominican Republic	DOM	0	0	0	0	0	0	0	1	0	1	4	2	-
53	Ecuador	ECU	0	0	0	0	1	0	0	1	0	2	4	2	=
54	Egypt	EGY	0	0	0	0	1	1	0	0	0	2	5	3	-
55	El Salvador	SLV	0	0	0	0	0	0	0	0	0	0	4	2	O
56	Equatorial Guinea	GNQ	0	0	0	0	0	0	0	0	0	0	4	2	O
57	Eritrea	ERI	0	0	0	0	0	0	1	0	0	1	4	2	-
58	Estonia	EST	0	0	0	0	1	0	0	0	0	1	4	2	-
59	Ethiopia	ETH	1	0	0	0	0	1	2	1	0	5	4	3	+
60	Fiji	FJI	0	0	0	0	0	1	0	0	0	1	4	2	-
61	Finland	FIN	0	0	0	0	1	2	0	0	0	3	5	3	=
62	France	FRA	0	1	0	4	7	11	16	6	0	45	20	12	+
63	Gabon	GAB	0	0	0	0	0	0	0	1	0	1	4	2	-
64	Gambia	GMB	0	0	1	0	2	0	0	1	0	4	4	2	=
65	Georgia	GEO	0	0	0	0	0	0	1	0	0	1	4	2	-
66	Germany	DEU	0	0	2	1	4	7	7	1	0	22	25	15	=
67	Ghana	GHA	0	0	0	0	1	0	0	1	0	2	4	2	=
68	Greece	GRC	0	0	0	0	0	0	3	2	0	5	5	3	=
69	Grenada	GRD	0	0	0	0	0	1	0	0	0	1	4	2	-
70	Guatemala	GTM	0	0	0	0	0	0	0	0	0	0	4	2	O
71	Guinea	GIN	0	0	0	0	0	1	0	0	0	1	4	2	-
72	Guinea-Bissau	GNB	0	0	0	0	0	1	0	0	0	1	4	2	-
73	Guyana	GUY	0	0	0	0	0	0	0	0	0	0	4	2	O
74	Haiti	HTI	0	0	0	0	0	0	0	0	0	0	4	2	O
75	Honduras	HND	0	0	0	0	0	1	0	1	0	2	4	2	=
76	Hungary	HUN	0	0	0	0	1	0	0	1	0	2	4	2	=
77	Iceland	ISL	0	0	0	0	0	0	0	0	0	0	4	2	O
78	India	IND	0	0	0	1	2	5	0	1	0	9	15	9	=
79	Indonesia	IDN	0	0	0	0	0	0	2	0	0	2	7	4	-
80	Iran (Islamic Republic of)	IRN	0	0	0	0	0	0	0	1	0	1	6	3	-
81	Iraq	IRQ	0	0	0	0	0	0	1	0	0	1	4	3	-
82	Ireland	IRL	0	0	0	0	3	0	2	0	0	5	5	3	=
83	Israel	ISR	0	0	0	0	0	2	1	0	0	3	5	3	=
84	Italy	ITA	0	0	0	3	5	7	5	1	0	21	16	10	+
85	Jamaica	JAM	0	0	0	0	0	0	1	1	0	2	4	2	=
86	Japan	JPN	0	0	0	1	4	9	17	1	0	32	35	21	=
87	Jordan	JOR	0	1	0	1	0	1	0	1	0	4	4	2	=
88	Kazakhstan	KAZ	0	0	0	0	0	0	0	0	0	0	4	3	O
89	Kenya	KEN	0	0	0	0	0	1	0	0	0	1	4	2	-
90	Kiribati	KIR	0	0	0	0	0	0	0	0	0	0	4	2	O
91	Kuwait	KWT	0	0	0	0	0	0	0	0	0	0	4	3	O
92	Kyrgyzstan	KGZ	0	0	0	0	0	0	1	0	0	1	4	2	-
93	Lao People's Democratic Republic	LAO	0	0	0	0	0	0	2	0	0	2	4	2	=
94	Latvia	LVA	0	0	0	0	0	0	2	0	0	2	4	2	=
95	Lebanon	LBN	0	0	0	0	2	3	0	0	0	5	4	2	+
96	Lesotho	LSO	DDG	ADG	D2	D1	0	0	0	0	P1	0	4	2	O

	Member States	Sigle	DDG	ADG	D2	D1	P5	P4	P3	P2	P1	Total	Max.	Min.	Situation
97	Liberia	LBR	0	0	0	0	0	0	0	0	0	0	4	2	O
98	Libya	LBY	0	0	0	0	0	0	0	1	0	1	4	2	-
99	Lithuania	LTU	0	0	0	0	0	1	1	1	0	3	4	2	=
100	Luxembourg	LUX	0	0	0	0	0	0	0	0	0	0	4	2	O
101	Madagascar	MDG	0	0	0	0	1	0	1	0	0	2	4	2	=
102	Malawi	MWI	0	0	0	0	1	0	0	0	0	1	4	2	-
103	Malaysia	MYS	0	0	0	0	0	1	2	0	0	3	5	3	=
104	Maldives	MDV	0	0	0	0	0	0	0	1	0	1	4	2	-
105	Mali	MLI	0	0	0	0	0	1	1	0	0	2	4	2	=
106	Malta	MLT	0	0	0	0	0	0	0	0	0	0	4	2	O
107	Marshall Islands	MHL	0	0	0	0	0	0	0	0	0	0	4	2	O
108	Mauritania	MRT	0	0	1	0	0	0	0	0	0	1	4	2	-
109	Mauritius	MUS	0	0	0	0	1	1	1	0	0	3	4	2	=
110	Mexico	MEX	0	0	0	2	2	0	3	2	0	9	9	5	=
111	Micronesia (Federated States of)	FSM	0	0	0	0	0	0	0	0	0	0	4	2	O
112	Monaco	MCO	0	0	0	0	0	0	0	0	0	0	4	2	O
113	Mongolia	MNG	0	0	0	1	0	0	1	0	0	2	4	2	=
114	Montenegro	MNE	0	0	0	0	0	0	0	0	0	0	4	2	O
115	Morocco	MAR	0	0	0	0	0	4	3	1	0	8	4	2	+
116	Mozambique	MOZ	0	0	0	2	2	0	0	0	0	4	4	2	=
117	Myanmar	MMR	0	0	0	0	0	1	0	0	0	1	4	2	-
118	Namibia	NAM	0	0	0	0	0	0	1	0	0	1	4	2	-
119	Nauru	NRU	0	0	0	0	0	0	0	0	0	0	4	2	O
120	Nepal	NPL	0	0	0	0	0	2	2	1	0	5	4	2	+
121	Netherlands	NLD	0	0	0	3	1	2	2	1	0	9	8	5	+
122	New Zealand	NZL	0	0	0	0	1	0	1	0	0	2	4	3	-
123	Nicaragua	NIC	0	0	0	1	0	0	1	0	0	2	4	2	=
124	Niger	NER	0	0	0	0	2	0	1	1	0	4	4	2	=
125	Nigeria	NGA	0	0	0	0	0	1	1	0	0	2	6	3	-
126	Niue	NIU	0	0	0	0	0	0	0	0	0	0	4	2	O
127	Norway	NOR	0	0	0	1	0	3	1	0	0	5	6	4	=
128	Oman	OMN	0	0	0	1	0	0	0	0	0	1	4	2	-
129	Pakistan	PAK	0	0	0	0	0	2	1	1	0	4	5	3	=
130	Palau	PLW	0	0	0	0	0	0	0	0	0	0	4	2	O
131	Palestine	PSE	0	0	0	0	0	0	1	0	0	1	4	2	-
132	Panama	PAN	0	0	0	0	0	0	1	0	0	1	4	2	-
133	Papua New Guinea	PNG	0	0	0	0	0	1	0	0	0	1	4	2	-
134	Paraguay	PRY	0	0	0	0	0	0	0	0	0	0	4	2	O
135	Peru	PER	0	0	0	0	0	1	1	0	0	2	4	3	-
136	Philippines	PHL	0	0	0	0	1	1	0	2	0	4	5	3	=
137	Poland	POL	0	0	0	0	1	0	0	1	0	2	7	4	-
138	Portugal	PRT	0	0	0	0	0	1	1	0	0	2	5	3	-
139	Qatar	QAT	0	0	0	0	0	0	0	1	0	1	4	3	-
140	Republic of Korea	KOR	0	0	1	1	0	1	4	3	0	10	10	6	=
141	Republic of Moldova	MDA	0	0	0	0	0	1	0	1	0	2	4	2	=
142	Romania	ROU	0	0	0	0	0	2	3	1	0	6	4	3	+
143	Russian Federation	RUS	0	1	0	0	2	2	1	1	0	7	14	9	-
144	Rwanda	RWA	0	0	0	0	0	0	0	0	0	0	4	2	O
145	Saint Kitts and Nevis	KNA	0	0	0	0	0	1	0	1	0	2	4	2	=
146	Saint Lucia	LCA	0	0	0	1	0	0	0	2	0	3	4	2	=
147	Saint Vincent and the Grenadines	VCT	0	0	0	0	0	0	0	0	0	0	4	2	O

	Member States	Sigle	DDG	ADG	D2	D1	P5	P4	P3	P2	P1	Total	Max.	Min.	Situation
148	Samoa	WSM	0	0	0	0	0	0	0	0	0	0	4	2	O
149	San Marino	SMR	0	0	0	0	0	0	1	0	0	1	4	2	-
150	Sao Tome and Principe	STP	0	0	0	0	0	0	0	1	0	1	4	2	-
151	Saudi Arabia	SAU	0	0	0	1	0	0	0	1	0	2	7	4	-
152	Senegal	SEN	0	0	0	0	1	1	2	2	0	6	4	2	+
153	Serbia	SRB	0	0	0	0	0	1	0	0	0	1	4	2	-
154	Seychelles	SYC	0	0	0	0	0	2	1	0	0	3	4	2	=
155	Sierra Leone	SLE	0	0	0	0	0	1	0	0	0	1	4	2	-
156	Singapore	SGP	0	0	0	0	0	0	0	0	0	0	5	3	O
157	Slovakia	SVK	0	0	0	0	0	0	1	0	0	1	4	2	-
158	Slovenia	SVN	0	0	0	0	0	0	0	0	0	0	4	2	O
159	Solomon Islands	SLB	0	0	0	0	0	0	0	0	0	0	4	2	O
160	Somalia	SOM	0	0	0	0	0	1	0	0	0	1	4	2	-
161	South Africa	ZAF	0	0	1	0	0	1	2	1	0	5	5	3	=
162	South Sudan	SSD	0	0	0	0	0	0	0	0	0	0	4	2	O
163	Spain	ESP	0	0	0	0	6	4	2	1	0	13	12	7	+
164	Sri Lanka	LKA	0	0	0	0	1	0	0	0	0	1	4	2	-
165	Sudan	SDN	0	0	0	0	1	0	0	0	0	1	4	2	-
166	Suriname	SUR	0	0	1	0	0	0	0	0	0	1	4	2	-
167	Swaziland	SWZ	0	0	0	0	0	1	0	0	0	1	4	2	-
168	Sweden	SWE	0	0	0	0	0	2	0	0	0	2	7	4	-
169	Switzerland	CHE	0	1	0	0	0	1	1	0	0	3	7	4	-
170	Syrian Arab Republic	SYR	0	0	0	0	2	0	1	0	0	3	4	2	=
171	Tajikistan	TJK	0	0	0	0	0	0	0	0	0	0	4	2	O
172	Thailand	THA	0	0	0	0	0	0	0	1	0	1	5	3	-
173	The former Yugoslav Republic of Macedonia	MKD	0	0	0	0	1	1	0	0	0	2	4	2	=
174	Timor-Leste	TLS	0	0	0	0	0	0	0	0	0	0	4	2	O
175	Togo	TGO	0	0	0	0	1	1	0	0	0	2	4	2	=
176	Tonga	TON	0	0	0	0	0	0	0	0	0	0	4	2	O
177	Trinidad and Tobago	TTO	0	0	0	0	0	1	0	0	0	1	4	2	-
178	Tunisia	TUN	0	0	1	0	1	0	6	1	0	9	4	2	+
179	Turkey	TUR	0	0	1	0	0	1	0	0	0	2	7	4	-
180	Turkmenistan	TKM	0	0	0	0	0	0	1	0	0	1	4	2	-
181	Tuvalu	TUV	0	0	0	0	0	0	0	0	0	0	4	2	O
182	Uganda	UGA	0	0	0	0	0	0	3	0	0	3	4	2	=
183	Ukraine	UKR	0	0	0	0	0	0	2	1	0	3	4	3	=
184	United Arab Emirates	ARE	0	0	0	0	0	0	0	0	0	0	6	3	O
185	United Kingdom of Great Britain and Northern Ireland	GBR	0	0	3	0	6	1	5	1	1	17	18	11	=
186	United Republic of Tanzania	TZA	0	0	0	0	0	1	0	0	0	1	4	2	-
187	United States of America	USA	0	0	0	2	4	8	9	2	0	25	76	46	-
188	Uruguay	URY	0	0	0	0	0	0	1	0	0	1	4	2	-
189	Uzbekistan	UZB	0	0	0	0	0	2	1	0	0	3	4	2	=
190	Vanuatu	VUT	0	0	0	0	0	0	0	0	0	0	4	2	O
191	Venezuela (Bolivarian Republic of)	VEN	0	0	0	1	0	0	0	0	0	1	6	3	-
192	Viet Nam	VNM	0	0	0	0	0	0	2	0	0	2	4	3	-
193	Yemen	YEM	0	0	0	0	0	0	1	1	0	2	4	2	=
194	Zambia	ZMB	0	0	0	0	0	0	1	0	0	1	4	2	-
195	Zimbabwe	ZWE	0	0	0	0	0	0	1	1	0	2	4	2	=
	Total		**1**	**5**	**15**	**37**	**104**	**156**	**181**	**86**	**1**	**586**			

ANNEX II

	Over-represented		In Balance		Under-represented		Non-represented
Group I	Belgium Canada Denmark France Italy Netherlands Spain	Group I	Austria Cyprus Finland Germany Greece Ireland Israel Norway United Kingdom of Great Britain and Northern Ireland	Group I	Andorra Portugal San Marino Sweden Switzerland Turkey United States of America	Group I	Iceland Luxembourg Malta Monaco
Group II	Bulgaria Romania			Group II	Azerbaijan Belarus Bosnia and Herzegovina Estonia Georgia Poland Russian Federation Serbia Slovakia	Group II	Armenia Montenegro Slovenia Tajikistan
Group IV	Nepal	Group II	Albania Croatia Czech Republic Hungary Latvia Lithuania Republic of Moldova The former Yugoslav Republic of Macedonia Ukraine Uzbekistan			Group III	Dominica El Salvador Guatemala Guyana Haiti Paraguay Saint Vincent and the Grenadines
Group Va	Cameroon Ethiopia Senegal			Group III	Antigua and Barbuda Bahamas Barbados Belize Bolivia (Plurinational State of) Brazil Chile Dominican Republic Grenada Panama Peru Suriname Trinidad and Tobago Uruguay Venezuela (Bolivarian Republic of)	Group IV	Brunei Darussalam Kazakhstan Kiribati Marshall Islands Micronesia (Federated States of) Nauru Niue Palau Samoa Singapore Solomon Islands Timor-Leste Tonga Tuvalu Vanuatu
Group Vb	Algeria Lebanon Morocco Tunisia	Group III	Argentina Colombia Costa Rica Cuba Ecuador Honduras Jamaica Mexico Nicaragua Saint Kitts and Nevis Saint Lucia				
		Group IV	Afghanistan Australia Bangladesh Cambodia Democratic People's Republic of Korea India Japan Lao People's Democratic Republic Malaysia Mongolia Pakistan Philippines Republic of Korea	Group IV	Bhutan China Cook Islands Fiji Indonesia Iran (Islamic Republic of) Kyrgyzstan Maldives Myanmar New Zealand Papua New Guinea Sri Lanka Thailand Turkmenistan Viet Nam	Group Va	Angola Cabo Verde Central African Republic Chad Equatorial Guinea Lesotho Liberia Rwanda South Sudan
		Group Va	Benin Burkina Faso Congo Côte d'Ivoire Democratic Republic of the Congo Djibouti	Group Va	Botswana Burundi Comoros	Group Vb	Bahrain Kuwait United Arab Emirates

Over-represented	*In Balance*		*Under-represented*		*Non-represented*
		Gambia		Eritrea	
		Ghana		Gabon	
		Madagascar		Guinea	
		Mali		Guinea-Bissau	
		Mauritius		Kenya	
		Mozambique		Malawi	
		Niger		Namibia	
		Seychelles		Nigeria	
		South Africa		Sao Tome and Principe	
		Togo		Sierra Leone	
		Uganda		Somalia	
		Zimbabwe		Swaziland	
	Group Vb	Jordan		United Republic of Tanzania	
		Syrian Arab Republic		Zambia	
		Yemen	Group Vb	Egypt	
				Iraq	
				Libya	
				Mauritania	
				Oman	
				Palestine	
				Qatar	
				Saudi Arabia	
				Sudan	
17	**64**		**72**		**42**

Total: 195

B.   Feasibility of a new health insurance scheme
(Follow-up to 191 EX/Dec.29, 196 EX/Dec.5 (V, B))

1.   Since the establishment of the United Nations and its specialized agencies, the staff regulations of these organizations have required that the executive head of the organization establish a scheme of social security for the staff, including provisions for health protection. An official, upon appointment to a post in the United Nations system, may become a member of a staff health insurance scheme. Such schemes provide them with insurance against medical expenses incurred as a result of illness, maternity or accident[1]. In the early days of the United Nations, health insurance was made available to serving staff members only, and without benefit of any organizational subsidy. In resolution 1095 (XI) of 27 February 1957, the General Assembly authorized the sharing of the costs of health insurance by the organization on an approximately equal basis with participating staff members, subject to the provision that a larger subsidy would be granted to staff in the lower salary levels.

2.   UNESCO's Medical Benefits Fund (MBF) was established by the General Conference in 1948 and is a medical insurance plan that the Director-General is required to operate for staff in accordance with the provisions of Staff Regulation 6.2.; to provide medical and dental benefits to staff members and retirees worldwide and their covered dependents.

3.   The Medical Benefits Fund is a self-financed scheme administered by a third party commercial provider. Claims are financed directly through the collection of premiums that are shared by the staff, retirees and UNESCO in accordance with cost-sharing ratios approved by the General Conference.

4.   The MBF provides coverage of 90% of hospital expenses and 75% to 80% of reasonable and customary costs for other covered medical expenses. It allows a choice of medical and dental practitioners, pharmacists and health-care establishments, subject to certain restrictions and reimbursement limitations. Maximum annual reimbursable amounts and maximum reimbursements for specific medical expenses help to contain costs, while hardship provisions ensure that participants maintain access to care in case of chronic or serious medical conditions.

5.   The Fund has faced financial problems for many years with the expenditure on claims regularly exceeding income (i.e. contributions from participants), a situation exacerbated by the increasing proportion of voluntary participants (retired staff) in the plan in relation to the active staff. The increase in the contribution rates in 2012, the non-admission of new secondary dependents and accommodation costs for medicalized retirement homes; and increased controls have however stabilized the short-term financial situation of the MBF where the reserves have increased from 7 to 18 months (with 18 being the desired level) and therefore there seems to be no immediate need to change the formula.

6.   As for the whole of the United Nations common system, the major issue facing UNESCO on medical insurance coverage is After Service Health Insurance (ASHI). The issue has been discussed many times both at the Executive Board and the General Conference and as far back as 2008. The General Conference in the 38 C/5 decided to include a provision of $3.7 million in a separate appropriation line for the ASHI long-term liability, corresponding to 1% of the staff costs amount.

7.   As indicated in paragraph 1 above, at the time of the establishment of the United Nations the medical insurance schemes were limited to active staff members. In the early 1950s, organizations of the United Nations system started to extend the benefits of the medical insurance schemes, on an optional basis, to staff members upon their retirement from the service. In the United Nations, in a report submitted to the General Assembly at its twenty-first session (A/6491 and Corr. I), the

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[1]   Report of the Joint Inspection Unit, United Nations system staff medical coverage, JIU/REP/2007/2.

Secretary-General noted that the automatic termination of the medical coverage to retiring staff was "unduly restrictive", and suggested that after-service health protection should be extended to all retiring staff of the United Nations, on similar lines to the prevalent common practice among Member States to provide after-service health protection for national civil servants and members of their families. The General Assembly, in December 1966, approved the establishment of the after-service health insurance programme.

8.   In the beginning, there was no matching contribution by the organizations for the retirees. There was no subsidy and the retirees were required to contribute in full. However, this position changed in 1965, when the International Labour Organization argued that "many retired officials and their survivors, whose financial position was less favourable than that of the serving officials, were required to devote to health protection a quite disproportionate part of their income as compared with serving officials ... the principle of social insurance which has been fully applied for active insured persons since 1958 and which implies the sharing of the costs, irrespective of whether governing body approved the sharing of the cost of insuring the retired officials and subsequently other United Nations system organizations followed suit."

9.   Currently, all the health insurance schemes in the United Nations system provide for cost-shared health insurance coverage to retirees and their dependants. In all the schemes, the health insurance coverage for retirees is optional, and available only as a continuation of previous coverage without interruption in a contributory health insurance plan of the United Nations system. In order to be enrolled in the after-service health insurance programme, the former staff member and his eligible dependants must all have been covered under such an insurance scheme at the time of the staff member's separation from service. At the time of separation, a staff member may switch from their current health insurance plan to another plan for retirement more appropriate to the location of his residence.

10.   UNESCO, like other organizations also has such a scheme for its retirees. However, given UNESCO's liability for the provision of ASHI for staff and considering the need for any health insurance system to be fully funded to avoid incurring such liabilities in future, the Executive Board requested the Director-General at its 191st session to carry out a study with a view to introducing a new health insurance plan as soon as possible.

11.   Preliminary enquiries indicated that a study of this magnitude, in terms of its scope and depth, would necessitate a much lengthier tender process than originally foreseen under UNESCO's rules on procurement. Furthermore, the General Assembly had, at its 68th session (autumn 2013), also made a request concerning ASHI (resolution 68/244), namely:

(a)   requested the Secretary-General to examine the option of broadening the mandate of the United Nations Pension Fund, to include the cost-effective, efficient and sustainable administration of ASHI benefits, taking into account the advantages and disadvantages of this option, including its financial and legal implications, and to report thereon at the seventieth session of the General Assembly (autumn 2015); and

(b)   requested the Secretary-General to undertake a survey of current health care plans for active and retired staff within the United Nations system, to explore all options to increase efficiency and contain costs and to report thereon at its seventieth session.

12.   Also in response to an earlier request of the General Assembly, the United Nations Secretary-General had examined the financial and legal implications of changing (a) the scope and coverage of the after-service health insurance plans and (b) the contribution levels for current retirees and active staff and had concluded:

(a)   From a legal standpoint, any significant changes to the scope, coverage and contribution levels of the after-service health insurance plans that are detrimental to participants could affect the core elements of the acquired rights of both active and

retired staff members in relation to the benefit. This would contravene staff regulations.12.1, which allows the existing Staff Regulations and Rules of the United Nations to be supplemented or amended by the General Assembly without prejudice to the acquired rights of the staff members. While no definition of acquired rights exists in the Staff Regulations and Rules, it is a well-established legal principle that has been followed not only by national jurisdictions but also by administrative tribunals in the United Nations system;

(b)   It is not always easy to determine whether a specific change to a rule may affect acquired rights. Essentially, rights which are acquired through service and become due cannot be challenged by a subsequent rule that modifies the conditions giving rise to them;

(c)   The after-service health insurance benefit essentially derives from the staff member's contract of employment and is acquired through service. It is thus an essential part of the staff members' terms and conditions of employment;

(d)   The rights of current retirees to after-service health insurance have become due and are being enjoyed. Significant changes to the scope, coverage and/or contribution levels of the after-service health insurance plans that diminish their benefits would pose legal risks;

(e)   Insofar as active staff members are concerned, modifications that affect rights acquired through service would be admissible only prospectively;

(f)   Any change to the after-service health insurance could have financial implications for the liabilities, ongoing costs and apportionment of costs borne by the participants and by the United Nations. The financial implications would more accurately be determined on the basis of detailed measures;

(g)   Changes to the design of the plans have been introduced on a regular basis, including an increase in the level of deductibles and co-payment amounts paid by participants on the basis of prevalent provisions in comparable plans. Plan designs continue to be adapted in accordance with the evolving health insurance environment, while maintaining the goal of containing costs and ensuring access to quality care for eligible retirees.

13.   Finally, to take forward the General Assembly requests, the High Level Committee of Management of the CEB decided to establish a Working Group under its Finance and Budget Network (FBN) of the, chaired by the United Nations Secretariat. As health insurance matters come under the responsibility of the CEB's HR Network, the latter also cooperated in the study.

14.   UNESCO's Bureau of Human Resources Management (HRM) and Financial Management Bureau (BFM) were members of this Working Group; which has completed an initial report for the General Assembly in which it concluded that the United Nations Joint Staff Pension fund should not broaden its mandate to take on the administration of ASHI benefits. At this stage no final conclusions have been reached about the various options to increase efficiency and contain costs. The General Assembly is expected to take up this report at its first resumed session of its 70th session in the spring of 2016, (the report will be available once published by the United Nations Secretariat). The Working Group would continue to meet thereafter, with a view to exploring further options to address the United Nations common system liabilities.

15.   Considering the above and the fact that:

(a)   The GA has expressed itself on this issue and stated that ASHI is a right of retired staff of the United Nations bearing in mind that not all retirees are eligible under their

national schemes and it is not viable to join a private scheme at the age of 62 or 65 when no previous contributions were made;

(b)   As staff transferred to UNESCO from other agencies expect to have the same benefits as they do in the rest of the United Nations system it would be difficult for us to have a MBF without ASHI when this is what the United Nations common system offers;

(c)   If we had an alternative scheme which provided funding for the After Service Health care that is tantamount to the ASHI liability we have now, with the added risk that it would be payable upon separation and would not just be a notional amount that may never become due. (If the participant does not stay on ASHI);

(d)   Staff on the new scheme could not be expected to pay the same premiums as for the existing scheme, because the long-term benefits are not the same. This would undermine the necessary cross-subsidy for existing staff. Effectively the current scheme would then go bankrupt as there would be no new contributions and this deficit would need to be funded;

(e)   If the last person on the existing scheme is employed at age 30 the liability will continue for about 55 years depending on the longevity of individuals, although the liability would decrease over time;

(f)   UNESCO, as the whole United Nations system, is expected to offer benefits that are similar to those offered by national governments and as most national and other schemes offer some type of ASHI coverage, UNESCO would be disadvantaged;

(g)   Putting staff on unequal benefits, whether by contract type or by health care entitlements, for performing the same functions is inadvisable;

it is recommended that the study with a view to introducing a new health insurance scheme that excludes ASHI be put on hold, pending further discussions within the ASHI working group and continued monitoring of the financial situation of the Medical Benefits Fund.

Proposed decision

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

The Executive Board,

1.   <u>Recalling</u> 191 EX/Decision 29 and 196 EX/Decision 5 (V, B),

2.   <u>Having examined</u> document 199 EX/5 Part III (B),

3.   <u>Considering</u> that the Working Group established by the United Nations High Level Committee on Management (HLCM) of the CEB has now completed its study on the viability of the United Nations Joint Staff Pension Fund administering the United Nations system ASHI liability and that further options will still be studied by the ASHI working group;

4.   <u>Decides</u> to suspend the study with a view to introducing a new health insurance scheme and asks the Director-General to report back to the Executive Board during its Spring 2017 session on the further progress of the ASHI working group and present its recommendations for possible implementation at UNESCO.

C. **Annual report (2015) by the International Civil Service Commission (ICSC): Report by the Director-General**
(Follow-up to 114 EX/Dec.8.5, 22 C/Res.37, 196 EX/Dec.5 (V, A), 38 C/Res 88)

Introduction

1.   ICSC's annual report for 2015 contains measures that affect the conditions of service of United Nations common system staff, including UNESCO staff. The General Assembly examined this report and its recommendations at its 70th session and adopted resolution 70/244 (**Annex 1**) which contains its decisions on the report.

Mandatory age of separation

2.   The United Nations General Assembly decided that the mandatory age of separation of staff recruited before 1 January 2014 should be raised to 65 years, at the latest by 1 January 2018 (for staff recruited on or after 1 January 2014 the mandatory age of separation is already set at 65 years), taking into account the acquired rights of staff.

Follow up action

3.   The change described in paragraph 2 above requires an amendment to UNESCO Staff Regulation 9.5 which will be submitted to the General Conference for its approval at its 39th session.

Base/floor salary scale

4.   The comparator civil service's (US federal civil service) pay rose by 1% in 2015. In addition, minor changes were introduced in the US tax schedule at federal level. The Commission, therefore, decided to recommend to the United Nations General Assembly that the current base/floor salary scale for the professional and higher categories should be increased by 1.08% through the standard consolidation method of increasing base salary and commensurately reducing post adjustment multiplier points (that is, on a "*no loss, no gain*" basis) with effect from 1 January 2016. This recommendation was approved by the General Assembly.

Follow up action

5.   The new salary scale (**Annex 2**) was implemented in UNESCO on 1 January 2016. The adjustment will increase slightly the level of the repatriation grant and of the termination indemnities.

Review of the common system compensation package

6.   Between 2013 and 2015, the ICSC carried out a comprehensive review of the common system compensation package for staff in the Professional and higher categories, to ensure that compensation for United Nations staff globally remains competitive and fit for purpose while ensuring overall cost containment. The final conclusions and recommendations of the ICSC on the comprehensive review were reported to the General Assembly at its seventieth session. The United Nations General Assembly approved the proposals on the common system compensation package as follows:

Unified salary scale and transitional measures

7.   The General Assembly approved a revised unified net base salary which will become effective 1 January 2017 which will replace the present dual rate scale (single and dependency) **(Annex 3 a)**. The new salary scale, which will apply to all serving and newly recruited staff members, contains only one single salary rate, irrespective of dependency status. The grade and step matching of staff for conversion from the current to the new scale will follow the instructions

provided by the ICSC. The transition of current staff to the unified scale will be done to avoid losses and minimize windfall gains (**Annex 4).** The new scale will consist of 13 steps for grades P1 to D1 and 10 steps for the D-2 level.

Staff assessment rates

8.   The General Assembly approved the staff assessment rates to be used in conjunction with gross base salaries upon implementation of the unified salary scale as shown in **Annex 3 b**. These staff assessment rates should be reviewed two years after the implementation of the revised compensation system.

Step increments periodicity

9.   A revised step periodicity will become effective on 1 January 2017. For grade P1 to P5, within-grade step increments will be granted annually from step I to step VII, and thereafter biennially. For grades D1 and D2 biennial steps will continue to start at steps 5 and 2, respectively.

Pensionable remuneration scale

10.   The pensionable remuneration scale will be introduced concurrently with the unified scale (**Annex 5**).

Spouse and single parent allowance

11.   A separate allowance, set at 6% of net remuneration (base salary plus post adjustment) will be provided to staff with a dependent spouse and to those who are single parents. In the latter case, no child allowance will be payable for the first child.

12.   Staff members who currently receive a dependency rate salary in respect of the first child because their spouse earnings are above the established threshold at the time of conversion will receive a transitional allowance of 6% of net remuneration in respect of that child, as a transitional pay protection measure. In this case, no additional child allowance is paid in respect of that child. Transitional allowances will be gradually reduced, and will be replaced by the child allowance as soon as it becomes equal or less than the amount of the child allowance.

Child allowance and secondary dependent allowance

13.   The dependent child and secondary dependent allowances will be maintained as at present.

Education grant

14.   The revised education grant scheme will be effective the school year in progress on 1 January 2018 (for example in Europe this would mean the school year 2017/2018). It will be based on one global sliding scale (**Table 1** below) for reimbursement consisting of seven brackets, with declining reimbursement levels, and will cover admissible expenses from primary, secondary and tertiary level education. The current distinction by currency zones and varying reimbursable maxima levels will be discontinued.

15.   Admissible expenses will be limited to tuition and enrolment-related fees, as well as, where applicable, boarding expenses.

16.   Eligibility to boarding related expenses will be limited to staff serving in field locations whose children attend primary and secondary education institutions outside the staff member's duty station. No boarding expenses will be paid in respect of children attending tertiary (post-secondary) education. Boarding related expenses will be paid in the form of lump sum of $5,000. The education grant travel will provide for one round trip for each scholastic year for child of a staff member in receipt of assistance with boarding expenses.

17. The current scheme of the special education grant for children with disabilities will continue to apply subject to the overall global ceiling equal to upper limit of the sliding scale; reimbursement of boarding expenses will be based on the actuals up to the upper limit of the scale plus US $5,000.

Table 1:

Seven-bracket sliding scale adjusted on the basis of 2014/15 tuition fees

Claim amount bracket (United States dollars)	Reimbursement rate (percentage)
0-11 600	86
11 601-17 400	81
17 401-23 200	76
23 201-29 000	71
29 001-34 800	66
34 801-40 600	61
40 601 and above	–

Repatriation grant

18. Repatriation grant will be payable starting on five years of expatriate service according to the current five-year payment schedule as of 1 July 2016. Current staff will maintain their eligibility to the repatriation grant under the present schedule up to the number of years accrued at the time of implementation of the new scheme.

Relocation related entitlements

19. The following relocation package will come in force on 1 July 2016:

    (a) Settling-in grant

        The settling–in grant will replace the assignment grant and will be paid as follows: a lump sum equivalent to one month of base salary plus applicable post-adjustment (at the new duty station) and the DSA element equivalent to 30 days of local daily subsistence allowance for staff, plus 15 days of local subsistence allowance for each accompanying family member;

    (b) Non-removal allowance will be discontinued as of 1 July 2016. Staff who moved prior to the implementation of the new relocation package and are in receipt of the non-removal allowance will continue to receive the allowance for up to five years at the same duty station, or until the staff member moves to another duty station;

    (c) Relocation shipment
        Where foreseen, full removal of household goods will continue to be provided, in accordance with the relevant applicable rules.

Mobility and field allowances and benefits

    Hardship allowance
    Flat amount, differentiated by the classification of duty station and grade of staff member will be payable as of 1 July 2016, no transitional measures. Staff will be paid the equivalent of the current dependency rate, regardless of their family status. The matrix is shown in below:

Hardship allowance payment matrix

Hardship category of duty station	Hardship allowance (annual amounts in United States dollars)		
	Group 1 (P-1 to P-3)	Group 2 (P-4 and P-5)	Group 3 (D-1 and above)
A	–	–	–
B	5 810	6 970	8 140
C	10 470	12 780	15 110
D	13 950	16 280	18 590
E	17 440	20 920	23 250

Non-family service allowance

The current additional hardship allowance will be replaced with a non-family service allowance as of 1 July 2016. Eligible staff with recognized dependants will receive US $1,650 per month ($19,800 per year); staff members with no dependants: $625 per month ($7,500 per year).

Mobility incentive

A mobility incentive will be introduced to replace the current mobility allowance. The annual amounts of the mobility incentive per grade band are as follows:

Assignment number	Additional amounts	Group 1 (P-1 to P-3)	Group 2 (P-4 and P-5)	Group 3 (D-1 and above)
2 to 3	None	6,500	8,125	9,750
4 to 6	25 per cent	8,125	10,156	12,188
7+	50 per cent	9,750	12,188	14,625

The incentive will be payable to staff members with at least five consecutive years of prior service in a United Nations common system organization, as of their second assignment, following a geographical move. Staff assigned to category "H" duty stations will not be eligible to the incentive. The new mobility incentive will be increased by 25% upon the 4th assignment and by 50% upon the 7th assignment.

Accelerated home leave travel
The accelerated home leave travel (12 months' cycle) will apply only to D and E category duty stations that do not fall under the rest and recuperation framework;

Discontinuation of freeze of the allowances

20.   The freeze of the allowances requested in General Assembly resolution 68/253 is discontinued effective 1 January 2016 for the General Services and related categories, and 1 January 2017 for the Professional and higher categories.

Financial and Administrative Implications of the decisions related to Compensation Review

IT systems

21.   The changes to the compensation package described above will be implemented by enhancing the existing ERP system (SAP).

Financial implications

22.   The financial implications were estimated by ICSC at the United Nations common system level based on 2012 data (without transitional measures) and would initially result in about 2% savings throughout the United Nations common system, although ultimately this figure is expected to be higher. At this stage it is too early to estimate the exact impact of the review at UNESCO level.

Statutory texts

23.   The changes will require modifications to the Staff Rules and the HR Manual and will be announced in Administrative Circulars to be published before the effective dates of the different elements of the revised compensation package.

Proposed decision

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

The Executive Board,

1.   Recalling 114 EX/Decision 8.5 and 22 C/Resolution 37, 196 EX/Decision 5 (V, A) and 38 C/Resolution 88,

2.   Having examined document 199 EX/5 Part III (C),

3.   Takes note of its content;

4.   Invites the Director-General to continue to ensure UNESCO's participation in the work of the International Civil Service Commission (ICSC) and to take into account its recommendations and the decisions of the General Assembly.

ANNEX I

United Nations General Assembly Resolution A/Res/70/244

Draft resolution submitted by the Vice-Chair of the Committee following informal consultations

United Nations common system

The General Assembly,

Recalling its resolutions 44/198 of 21 December 1989, 51/216 of 18 December 1996, 52/216 of 22 December 1997, 53/209 of 18 December 1998, 55/223 of 23 December 2000, 56/244 of 24 December 2001, 57/285 of 20 December 2002, 58/251 of 23 December 2003, 59/268 of 23 December 2004, 60/248 of 23 December 2005, 61/239 of 22 December 2006, 62/227 of 22 December 2007, 63/251 of 24 December 2008, 64/231 of 22 December 2009, 65/248 of 24 December 2010, 66/235 A of 24 December 2011, 66/235 B of 21 June 2012, 67/257 of 12 April 2013, 68/253 of 27 December 2013 and 69/251 of 29 December 2014,

Having considered the report of the International Civil Service Commission for 2015[1],

Reaffirming its commitment to a single, unified United Nations common system as the cornerstone for the regulation and coordination of the conditions of service of the United Nations common system,

1.   *Takes note with appreciation* of the work of the International Civil Service Commission;

2.   *Takes note* of the report of the Commission for 2015[1];

3.   *Reaffirms* the role of the General Assembly in approving conditions of service and entitlements for all staff serving in the organizations of the United Nations common system, bearing in mind articles 10 and 11 of the statute of the Commission[2];

4.   *Recalls* articles 10 and 11 of the statute of the Commission, and reaffirms the central role of the Commission in regulating and coordinating conditions of service and entitlements for all staff serving in the organizations of the United Nations common system;

I.   Conditions of service applicable to both categories of staff

Mandatory age of separation

Decides that the mandatory age of separation for staff recruited before 1 January 2014 should be raised by the organizations of the United Nations common system to 65 years, at the latest by 1 January 2018, taking into account the acquired rights of staff,

II.   Conditions of service of staff in the Professional and higher categories

A.   Base/floor salary scale

Recalling its resolution 44/198, by which it established a floor net salary level for staff in the Professional and higher categories by reference to the corresponding base net salary levels of officials in comparable positions serving at the base city of the comparator civil service (the United States federal civil service),

Approves, with effect from 1 January 2016, as recommended by the Commission in paragraph 35 of its report, the revised base/floor scale of gross and net salaries for staff in the Professional and higher categories, as contained in annex IV to the report,

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[1]   *Official Records of the General Assembly, Seventieth Session, Supplement No. 30* (A/70/30)
[2]   Resolution 3357 (XXIX), annex

B.   Evolution of the margin and margin management around the desirable midpoint

Recalling section I.B of its resolution 51/216 and the standing mandate from the General Assembly, in which the Commission is requested to continue its review of the relationship between the net remuneration of the United Nations staff in the Professional and higher categories in New York and that of the comparator civil employees in comparable positions in Washington, D.C. (referred to as "the margin"),

1.   *Reaffirms* that the range of 110 to 120 for the margin between the net remuneration of officials in the Professional and higher categories of the United Nations in New York and officials in comparable positions in the comparator civil service should continue to apply, on the understanding that the margin would be maintained at a level around the desirable midpoint of 115 over a period of time;

2.   *Notes* that the estimated margin between net remuneration of the United Nations staff in grades P-1 to D-2 in New York and that of officials in comparable positions in the United States federal civil service in Washington, D.C. for the period from 1 January to 31 December 2015 is 117.2 and that its five-year average (2011 to 2015) also amounts to 117.2, which is above the desirable midpoint of 115;

3.   *Recalls* its request, contained in its resolution 69/251, that the Commission continue action to bring the calendar year margin to around the desirable midpoint and further examine issues relating to margin management;

4.   *Approves* the recommendations of the Commission on the margin management methodology as stated in paragraph 302 of its report;

5.   *Decides* that, if the margin trigger levels of 113 or 117 are breached, the Commission should take appropriate action through the operation of the post adjustment system;

III.   Review of the common system compensation package

1.   *Approves* the proposals on the common system compensation package[3],3 subject to the provisions of the present resolution;

2.   *Decides* that, unless otherwise established, these provisions should come into force on 1 July 2016;

3.   *Takes note* of the fact that, following the submission of the Commission's report on the comprehensive review to the General Assembly, the freeze in the increases of allowances requested in its resolution 68/253 (sect. I.A, para. 5) will be discontinued, effective 1 January 2016 for the General Services and related categories, and effective 1 January 2017 for the Professional and higher categories;

4.   *Recalls* paragraph 5, section I.A, of its resolution 68/253, and requests the Commission to review all allowances under its purview in order to assess the requirements for upward revisions;

5.   *Encourages* the Commission to continue its inclusive approach with the representatives of the different stakeholders of the common system;

1.   Unified salary scale and transitional measures

6.   *Approves* the proposed unified base/floor salary scale structure, as recommended by the Commission in paragraph 210 (a) and as shown in annex II, section A, of its report, as of 1 January 2017;

7.   *Decides* that the unified salary scale should be updated, as recommended in paragraph 211 (a) and as shown in annex II, section A, of the report of the Commission, to reflect any adjustments in base/floor salaries that may be approved before its implementation;

8.   *Approves* the grade and step matching of staff for conversion from the current salary scale structure to the unified scale structure, as recommended in paragraph 249 (a) and as shown in annex II, section B, of the report of the Commission;

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3   *Official Records of the General Assembly, Seventieth Session, Supplement No. 30* (A/70/30), chap. VI, sect. C.

9. *Decides* that:

    (a)   The salary levels of staff members that were higher than those at the maximum step of their grade upon conversion to the unified salary scale should be maintained by the Commission as a pay protection measure;

    (b)   Those salaries should be adjusted for any changes in post adjustment, including consolidation of post adjustment to base salaries approved by the General Assembly;

    (c)   The Commission will maintain and adjust the applicable pensionable remuneration amounts for such salaries;

10. *Also decides* that:

    (a)   Staff members in receipt of the dependency rate of salary in respect of a dependent child at the time of conversion to the unified salary scale structure will receive a transitional allowance of six per cent of net remuneration in respect of that dependent child and that no child allowance should be paid concurrently in that case;

    (b)   The allowance would be reduced by one percentage point of net remuneration every 12 months thereafter;

    (c)   When the amount of the transitional allowance becomes equal to or less than the amount of the child allowance, the latter amount would be payable in lieu;

    (d)   The transitional allowance would be discontinued if the child in respect of whom the allowance was payable were to lose eligibility;

11. *Further decides* that the net base salaries of the Assistant Secretaries-General and Under Secretaries-General in the unified scale shall be established at the level of their present dependency rate of pay, reduced by six per cent, and that the pensionable remuneration of these grades should be maintained at their current levels;

2. Staff assessment rates

12. *Approves* the staff assessment rates to be used in conjunction with gross base salaries upon implementation of the unified salary scale, as recommended in paragraph 210 (b) and as shown in annex II, section C, of the report of the Commission;

13. *Decides* that these staff assessment rates should be reviewed two years after the implementation of the revised compensation system to ensure that there continues to be no adverse impact on the Tax Equalization Fund;

3. Pensionable remuneration scale

14. *Approves* the proposed pensionable remuneration scale, upon implementation of the proposed unified salary scale, as recommended in paragraph 210 (c) and as shown in annex II, section D, of the report of the Commission;

15. *Decides* that the proposed pensionable remuneration scale should be updated to reflect any changes in net remuneration that may occur in New York before it is implemented to ensure that staff continue to receive at least the same pensionable remuneration;

16.   *Also decides* that the pensionable remuneration scale should continue to be updated on the same date and by the same percentage as net remuneration changes in New York;

4.   Spouse allowance

17.   *Approves* the establishment of a dependent spouse allowance at the level of six per cent of net remuneration, as recommended in paragraph 210 (d) of the report of the Commission;

18.   *Decides* that serving staff members with a dependent spouse should be paid a spouse allowance at the time of conversion to the unified salary scale, as recommended in paragraph 249 (b) of the report of the Commission;

5.   Single-parent allowance

19.   *Decides* that staff members who are single parents and who provide main and continuous support for their dependent children shall receive an allowance in respect of the first dependent child, which shall be at the level of six per cent of net remuneration, and should be provided in lieu of the child allowance;

6.   Step increments and performance incentives

20.   *Decides* to grant within-grade step increments annually from step I to step VII and biennially thereafter for grades P-1 through P-5, and to maintain biennial steps at the D-1 and D-2 levels as per the current system, as recommended in paragraph 279 (a) of the report of the Commission;

21.   *Also decides* to maintain present eligibility arrangements for step increments;

22.   *Further decides* to discontinue the current practice of granting accelerated step increments;

23.   *Requests* the Commission to conduct a study on the performance management schemes in common system organizations and to formulate recommendations on performance incentives based on merit that are not related to cash rewards, such as the possibility of accelerated step increments, and invites the Commission to review its recommendations contained in annex III of its report in the light of its findings and to report thereon not later than at the seventy-second session of the General Assembly;

24.   *Also requests* the Commission to conduct a detailed study on the budgetary and administrative arrangements necessary for the establishment of a cash reward system, including funding, oversight and accountability mechanisms, and to report thereon not later than at the seventy-second session of the General Assembly;

7.   Education grant

25.   *Decides* that the revised education grant scheme shall be introduced as of the school year in progress on 1 January 2018;

26.   *Also decides* to revise the criteria covering post-secondary education to make the grant payable up to the end of the school year in which the child completed four years of post-secondary studies or attained a first post-secondary degree, whichever comes first, subject to the upper age limit of 25 years;

27.   *Further decides* that admissible expenses should be tuition (including mother tongue tuition) and enrolment-related fees, as well as assistance with boarding expenses;

28.   *Decides* that tuition-and enrolment-related expenses should be reimbursed under a global sliding scale consisting of seven brackets, with declining reimbursement levels ranging from 86 per cent at the lowest bracket to 61 per cent at the sixth bracket and zero per cent at the seventh bracket, as outlined in table V in the report of the Commission;

29.   *Also decides* that boarding-related expenses should be paid by a lump sum of 5,000 United States dollars, and only to staff serving in field locations whose children are boarding to attend school outside the duty station at the primary or secondary level, and that, in exceptional cases, boarding assistance should be granted to staff at "H" duty stations under the discretionary authority of executive heads;

30.   *Further decides* that round-trip education grant travel between the staff member's duty station and the location of study should be provided for each academic year for a child of staff in receipt of assistance with boarding expenses;

31.   *Decides* that capital assessment fees should be covered outside the education grant scheme by the organizations of the common system;

32.   *Also decides* that the global sliding scale should be reviewed for possible adjustment, based on movements in tuition fees tracked biennially for a list of representative schools and upon assessment by the Commission;

33.   *Further decides* that the amount of assistance with boarding expenses should be reviewed for possible adjustment, based on the movements in fees charged by boarding facilities of International Baccalaureate schools tracked biennially and upon assessment by the Commission;

34.   *Decides* that the lists of both the representative schools and the International Baccalaureate schools mentioned in paragraphs 356 (f) and (g) of the report of the Commission should be reviewed every six years for possible updating;

35.   *Also decides* that the current scheme of the special education grant for children with disabilities shall continue to apply after the introduction of the revised regular education grant scheme, subject to the overall global ceiling equal to the upper limit of the sliding scale plus the amount equivalent to the boarding lump sum under the regular education grant scheme;

36.   *Further decides* that the maximum admissible expenses for the special education grant should be synchronized with those of the education grant, so as to set the maximum at an amount equal to the upper limit of the top bracket of the applicable global sliding scale;

37.   *Decides* that for boarding assistance under the special education grant for children with disabilities, actual expenses should be used in the calculation of the total admissible expenses for reimbursement, up to the overall grant ceiling equal to the upper limit of the top bracket of the global sliding scale, plus the amount of 5,000 dollars equivalent to the boarding lump sum paid in the education grant scheme;

8.   Repatriation grant

38.   *Confirms* the rationale of the repatriation grant as an earned service benefit payable to expatriate staff members who leave the country of the last duty station upon separation;

39.   *Decides* that a threshold of five years of expatriate service should be established as an eligibility requirement for the repatriation grant, as recommended in paragraph 375 of the report of the Commission;

40.   *Also decides* that, on transition to the new scheme, current staff members should retain their eligibility within the current grant schedule up to the number of years of expatriate service accrued at the time of the implementation of the revised scheme;

9.   Relocation-related elements

41.   *Approves* the Commission's recommendation to discontinue the non-removal allowance;

42.   *Decides*, for staff who move before the implementation date of the new relocation package and who choose the option of non-removal of household goods, to continue to pay the non-removal allowance up to five years at the same duty station or until the staff member moves to another duty station, as a transitional measure;

43.   *Also decides* to retain the current approach to relocation travel, which would remain the responsibility of the organizations of the common system;

44.   *Approves* the options concerning relocation shipments provided by the Commission in paragraph 399 (d) and (f) of its report;

45. *Decides* to provide a settling-in grant equivalent to 30 days of local daily subsistence allowance for staff, plus 15 days of local daily subsistence allowance for each accompanying eligible family member, and a lump sum amount equivalent to one month of net base pay plus applicable post adjustment;

10. Field allowances and benefits

46. *Approves* the adjusted hardship system consisting of five categories, as proposed in paragraphs 122 and 413 of the report of the Commission, which would be effective immediately upon implementation and for which no transitional measures would be required;

47. *Also approves* the new non-family service allowance, in lieu of the current additional hardship allowance, as described in paragraph 421 of the report of the Commission, and underlines that no transitional measures would be put in place for this allowance;

48. *Further approves* the new mobility incentive to encourage mobility of staff to field duty stations, as recommended by the Commission in paragraphs 129 and 431 of its report, which would apply to staff with five consecutive years of prior service in an organization of the common system and from their second assignment, and which would exclude duty stations categorized as "H" duty stations under the hardship scheme;

49. *Decides* to increase the proposed mobility incentive by 25 per cent upon the fourth assignment of a staff member and by 50 per cent upon the seventh assignment;

50. *Also decides* to maintain the provisions of the current rest and recuperation framework, as proposed by the Commission in paragraph 443 (a) of its report;

51. *Further decides* to discontinue accelerated home leave travel, except at D and E category duty stations that do not fall under the rest and recuperation framework;

11. Compensation review and other issues

52. *Takes note* of the Commission's intention to review the use of different categories of staff;

53. *Approves* an incentive payment for the recruitment of experts in highly specialized fields in instances in which the Organization is unable to attract suitably qualified personnel, as described and recommended in paragraphs 271 and 279 (c) of the report of the Commission, and decides that the Commission should assess the scheme after a period of three years from the date of its implementation;

54. *Recalls* its requests contained in its resolution 69/251 that the Commission continue to monitor progress in achieving gender balance, and requests the Commission to provide information to the General Assembly at its seventy-first session on the progress made by organizations of the common system in the implementation of existing gender policies and measures towards achieving the goal of 50/50 gender balance in the common system;

55. *Also recalls* the decisions of the Commission contained in paragraph 137 of its report for 2014[4], and in this regard requests the Commission to provide information to the General Assembly in future annual reports on how the new compensation package contributes to the strengthening of gender balance and geographical diversity;

56. *Invites* the organizations of the United Nations common system to make efforts to ensure work-life balance and provide career development opportunities, which are important elements in motivating and retaining staff;

57. *Also invites* the Commission to present to the General Assembly, at its seventy-first session, a progress report on the implementation of the new common system compensation package, and a comprehensive assessment report, including a global staff survey on the conditions of service, no later than at its seventy-fifth session.

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[4] Ibid., *Sixty-ninth session, Supplement No. 30* (A/69/30).

ANNEX II

Salary scale for the Professional and higher categories:
Annual gross salaries and net equivalents after aplication of staff assessment
(United States dollars)
(In US dollars - effective 1 January 2016)

Level		I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	XIII	XIV	XV
USG	Gross	194,136														
	Net D	149,395														
	Net S	134,449														
ASG	Gross	176,463														
	Net D	137,024														
	Net S	124,080														
D-2	Gross	144,751	147,815	150,920	154,117	157,314	160,510									
	Net D	114,668	116,905	119,144	121,382	123,620	125,857									
	Net S	105,345	107,233	109,114	110,990	112,861	114,721									
D-1	Gross	132,290	134,984	137,668	140,362	143,055	145,742	148,437	151,174	153,980						
	Net D	105,572	107,538	109,498	111,464	113,430	115,392	117,359	119,322	121,286						
	Net S	97,583	99,289	100,994	102,692	104,389	106,081	107,766	109,451	111,130						
P-5	Gross	109,449	111,738	114,029	116,315	118,608	120,895	123,188	125,475	127,766	130,055	132,344	134,632	136,923		
	Net D	88,898	90,569	92,241	93,910	95,584	97,253	98,927	100,597	102,269	103,940	105,611	107,281	108,954		
	Net S	82,586	84,072	85,552	87,032	88,510	89,981	91,454	92,923	94,390	95,853	97,316	98,771	100,229		
P-4	Gross	90,038	92,080	94,122	96,162	98,205	100,264	102,475	104,685	106,895	109,101	111,314	113,521	115,730	117,941	120,151
	Net D	74,130	75,743	77,356	78,968	80,582	82,193	83,807	85,420	87,033	88,644	90,259	91,870	93,483	95,097	96,710
	Net S	69,032	70,499	71,969	73,431	74,895	76,358	77,820	79,278	80,736	82,193	83,646	85,100	86,554	88,004	89,454
P-3	Gross	74,013	75,903	77,794	79,680	81,572	83,461	85,348	87,241	89,129	91,019	92,911	94,799	96,690	98,578	100,505
	Net D	61,470	62,963	64,457	65,947	67,442	68,934	70,425	71,920	73,412	74,905	76,400	77,891	79,385	80,877	82,369
	Net S	57,379	58,751	60,126	61,497	62,873	64,244	65,615	66,991	68,361	69,735	71,103	72,473	73,838	75,209	76,577
P-2	Gross	60,715	62,405	64,095	65,786	67,477	69,165	70,857	72,544	74,235	75,928	77,615	79,306			
	Net D	50,965	52,300	53,635	54,971	56,307	57,640	58,977	60,310	61,646	62,983	64,316	65,652			
	Net S	47,803	49,015	50,223	51,434	52,642	53,853	55,083	56,310	57,542	58,770	59,995	61,228			
P-1	Gross	47,464	48,976	50,516	52,146	53,767	55,392	57,016	58,644	60,265	61,887					
	Net D	40,344	41,630	42,908	44,195	45,476	46,760	48,043	49,329	50,609	51,891					
	Net S	38,056	39,239	40,423	41,605	42,786	43,969	45,151	46,319	47,481	48,644					

D = Rate applicable to staff members with a dependent spouse or child
S = Rate applicable to staff members with no dependent spouse or child

*/ Staff assessment to be used in conjunction with gross base salaries
    A. Staff assessment rates for those with dependants

Assessable income (United States dollars)	Assessment rate (percentage)
First 50,000	15
Next 50,000	21
Next 50,000	27
Remaining assessable amount	30

    B. Staff assessment rates for those without dependants

Staff assessment amounts for those with neither a dependent spouse nor a dependent child would be equal to the difference between the gross salaries at different grades and steps and the corresponding net salaries at the single rate.

ANNEX III

A. Unified salary scale for the Professional and higher categories showing annual gross salaries and net equivalents after application of staff assessment

(Effective 1 January 2017, subject to revision)

(United States dollars)

Level		I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	XIII
USG	Gross	190 059												
	Net	140 939												
ASG	Gross	172 268												
	Net	129 268												
D-2	Gross	137 954	140 969	143 981	147 000	150 018	153 215	156 414	159 611	162 809	166 006			
	Net	106 068	108 178	110 287	112 400	114 512	116 622	118 733	120 843	122 954	125 064			
D-1	Gross	123 410	126 059	128 709	131 359	134 000	136 650	139 299	141 943	144 594	147 240	149 887	152 686	155 494
	Net	95 887	97 741	99 596	101 451	103 300	105 155	107 009	108 860	110 716	112 568	114 421	116 273	118 126
P-5	Gross	106 237	108 489	110 743	112 993	115 247	117 497	119 753	122 004	124 257	126 509	128 763	131 011	133 267
	Net	83 866	85 442	87 020	88 595	90 173	91 748	93 327	94 903	96 480	98 056	99 634	101 208	102 787
P-4	Gross	87 413	89 414	91 417	93 418	95 421	97 421	99 426	101 550	103 723	105 896	108 073	110 241	112 416
	Net	69 934	71 455	72 977	74 498	76 020	77 540	79 064	80 585	82 106	83 627	85 151	86 669	88 191
P-3	Gross	71 699	73 551	75 405	77 255	79 111	80 963	82 814	84 671	86 522	88 375	90 232	92 082	93 937
	Net	57 991	59 399	60 808	62 214	63 624	65 032	66 439	67 850	69 257	70 665	72 076	73 482	74 892
P-2	Gross	55 343	57 000	58 658	60 314	61 972	63 632	65 289	66 943	68 603	70 259	71 916	73 576	75 230
	Net	45 561	46 820	48 080	49 339	50 599	51 860	53 120	54 377	55 638	56 897	58 156	59 418	60 675
P-1	Gross	42 934	44 222	45 510	46 798	48 084	49 373	50 722	52 129	53 536	54 943	56 349	57 755	59 162
	Net	35 635	36 704	37 773	38 842	39 910	40 980	42 049	43 118	44 187	45 257	46 325	47 394	48 463

Abbreviations: USG, Under-Secretary-General; ASG, Assistant Secretary-General.

Note: Shaded steps will be granted biennially.

B. Staff assessment rates to be used with the unified salary scale

(United States dollars)

Bracket		Bracket size	Tax percentage
From	To		
—	50 000	50 000	17
50 000	100 000	50 000	24
100 000	150 000	50 000	30
150 000	Upward	—	34

ANNEX IV

B.   Grade and step matching at the time of transitioning

Grade	Present step	Proposed (Present D)	Proposed (Present S)	Grade	Present step	Proposed (Present D)	Proposed (Present S)	Grade	Present step	Proposed (Present D)	Proposed (Present S)	Grade	Present step	Proposed (Present D)	Proposed (Present S)
P-1	1	4	4	P-2	11	13	13	P-4	4	4	4	P-5	9	9	8
P-1	2	5	5	P-2	12	–^{a}	–	P-4	5	5	5	P-5	10	10	9
P-1	3	6	6	P-3	1	1	1	P-4	6	6	6	P-5	11	11	10
P-1	4	7	7	P-3	2	2	2	P-4	7	7	7	P-5	12	12	11
P-1	5	8	8	P-3	3	3	3	P-4	8	8	8	P-5	13	13	12
P-1	6	9	9	P-3	4	4	4	P-4	9	9	9	D-1	1	3	2
P-1	7	11	10	P-3	5	5	5	P-4	10	10	10	D-1	2	4	3
P-1	8	12	11	P-3	6	6	6	P-4	11	11	11	D-1	3	5	4
P-1	9	13	13	P-3	7	7	7	P-4	12	12	11	D-1	4	6	5
P-1	10	–^{a}	–	P-3	8	8	8	P-4	13	13	12	D-1	5	7	6
P-2	1	3	3	P-3	9	9	9	P-4	14	–^{a}	–^{a}	D-1	6	8	7
P-2	2	4	4	P-3	10	10	10	P-4	15	–^{a}	–^{a}	D-1	7	9	8
P-2	3	5	5	P-3	11	11	11	P-5	1	1	1	D-1	8	10	9
P-2	4	6	6	P-3	12	12	12	P-5	2	2	2	D-1	9	11	10
P-2	5	7	7	P-3	13	13	13	P-5	3	3	3	D-2	1	2	1
P-2	6	8	8	P-3	14	–^{a}	–^{a}	P-5	4	4	4	D-2	2	3	2
P-2	7	9	9	P-3	15	–^{a}	–^{a}	P-5	5	5	4	D-2	3	4	3
P-2	8	10	10	P-4	1	1	1	P-5	6	6	5	D-2	4	5	4
P-2	9	11	11	P-4	2	2	2	P-5	7	7	6	D-2	5	6	5
P-2	10	12	12	P-4	3	3	3	P-5	8	8	7	D-2	6	7	6

Abbreviations: D, dependency status; S, single status.
  ^{a} Salaries to be maintained by the International Civil Service Commission.

ANNEX V

Pensionable remuneration scale after the introduction of the unified scale

(Effective 1 January 2017, subject to revision)

(United States dollars)

Level	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	XIII
USG	301 443	–	–	–	–	–	–	–	–	–	–	–	–
ASG	278 617	–	–	–	–	–	–	–	–	–	–	–	–
D-2	226 417	231 676	236 943	242 208	247 468	252 732	257 995	263 258	268 520	273 781	–	–	–
D-1	201 410	205 868	210 577	214 896	219 215	223 524	227 842	232 374	237 003	241 629	246 248	250 418	254 870
P-5	175 226	178 897	182 568	186 245	189 915	193 588	197 258	200 934	204 605	208 278	211 951	215 632	219 569
P-4	143 031	146 571	150 103	153 637	157 180	160 711	164 248	167 788	171 321	174 854	178 387	181 935	185 465
P-3	117 554	120 559	123 558	126 554	129 559	132 557	135 557	138 562	141 702	144 985	148 264	151 543	154 825
P-2	91 077	93 761	96 441	99 131	101 810	104 495	107 179	109 862	112 545	115 226	117 913	120 597	123 276
P-1	69 933	72 211	74 489	76 766	79 044	81 322	83 600	85 878	88 156	90 434	92 711	94 989	97 267

Abbreviations: USG, Under-Secretary-General; ASG, Assistant Secretary-General.

D. Preliminary proposals for a Human Resource Management Strategy for 2017-2022
(Follow-up to 196 EX/Dec. 23 (III))

1. In 196 EX/Decision 23 (III), in April 2015, the Executive Board asked the Secretariat to submit to it, at its 199th session, preliminary proposals for forward-looking management of jobs, staffing and skills for 2017-2022, taking into account the External Auditor's recommendations, and the findings of the reviews of staffing and support services, and on non-staff personnel.

2. The preliminary proposals contained in the present document are drawn on initial consultations with Senior Management, Staff Associations, and Member States. Upon review by the Executive Board of this document, the Secretariat will develop a draft comprehensive Human Resource Strategy for submission to the 200th session of the Executive Board in the fall of 2016.

Link with UNESCO's Strategy

3. As a specialized agency, and a knowledge-based organization, UNESCO's value depends on a highly skilled, highly performing, flexible and engaged staff. The Human Resource Strategy is, therefore, fundamental to the success and to the future of the Organization.

4. As a fundamental premise, the HR strategy must be grounded in UNESCO's global strategy.

5. The **Medium-Term Strategy 2014-2021** (37 C/4) reaffirms that the greatest resource of UNESCO is a skilled, motivated and dedicated workforce of the highest competence and integrity, geographically diverse and gender balanced, empowered to achieve the Organization's missions and strategic objectives through a commitment to managing for results"[1].The Strategy points to the challenge of ensuring that staff skills and competencies continue to be of the highest standards to support UNESCO delivery capacity and competitive edge in a multilateral environment.

6. To achieve this, the Organization will strive to attract and retain the best experts and professionals, support them in learning and development and deploy and manage staff in the most cost-effective manner, to contribute to the strategic objectives of the Organization. The Medium-Term Strategy also highlights the need for modernizing UNESCO's human capacity and for adopting flexibles approaches, as well as integration/harmonization with the United Nations common system and the values of international civil service.

7. The Medium-Term Strategy, adopted by the General Conference in 2013, was followed, two years later, by the adoption by the General Assembly, of the 2030 Agenda for Sustainable Development, and its 17 Goals (SDGs). SDGs are of considerable importance to UNESCO, which will contribute to several of them. Whilst the overall objectives set out in the Medium-Term Strategy remain valid, the HR Strategy for 2017-2022 must now clearly aim at ensuring that **UNESCO has the capacity to effectively deliver on the SDGs**. This universal, ambitious and innovative Agenda will require a well-coordinated, nimble and flexible United Nations system able to support countries collaboratively to deliver on their sustainable development commitments. This is a major, ambitious, collaborative effort that UNESCO will undertake, together with other Organizations of the United Nations system.

Key principles of the HR Strategy

8. SDGs provide ambitious and exciting challenges ahead. Having turned the page of the financial crisis, UNESCO and its staff are getting ready to address these challenges. The new HR Strategy must be purpose built, realistic, achievable and must take into account the budgetary reality. The HR Strategy must also contribute to bring all parts of UNESCO into One UNESCO and close the HQs/field/category 1 institute divide.

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[1]   37 C/4 Paras 109-111.

9.   Impact, sustainability, innovation and cost efficiency will be key guiding principles. Impact will be fundamental: For each proposed action, the question will be asked: Does it support programme? Does it support the implementation of the SDGs?

10.   Finally, the drive for simplification will guide our actions.

Two areas of focus

11.   The HR Strategy will focus on two key themes:

> **I.   Build staff capabilities for the SDGs**
>
> **II.   Create an engaging and enabling work environment**

I.   Build staff capabilities for the SDGs

12.   UNESCO needs competent staff who have the right profile, skills and attitude; and who are engaged, flexible, mobile and eager to learn and develop. This area will focus on, attracting and developing UNESCO staff. Will we have staff with the right skills, training and competencies in the next 3-5 years and beyond? What are the staff current capabilities? What are the skill gaps and how to address them? This is also about attracting the right talent from outside UNESCO and developing it. Whom we hire is key. Quality is key.

13.   Activities proposed in this area will include: Competency development, HR planning, Recruiting, Mobility, Learning.

Getting the foundations right: values and competencies of UNESCO staff

14.   A UNESCO competency framework will define the values and the core competencies that all UNESCO staff must demonstrate. There are four fundamental values: commitment to UNESCO, integrity, respect for diversity and professionalism. There will be seven core competencies such as accountability, teamwork, communication, innovation etc. In addition, there will be six managerial competencies applicable to managers. The framework will be embedded in key HR processes supporting recruitment, selection, and learning and development.

Attracting and retaining the best

15.   UNESCO needs to be considered as an employer of choice; where the experience of staff matches the external reputation that attracted them into the Organization. This involves advance planning and quality recruitment. It also requires a robust mobility culture and working with staff as their careers develop, to identify their skills and potential, to plan their next move.

16.   **HR planning** tools and mechanisms will be put in place (taking account of audit recommendations), to assess current capabilities, anticipate skills gaps and staffing needs, and build strategies to address the gaps. A comprehensive skills assessment will be planned, considering UNESCO's total workforce, and not limited to staff on fixed-term contracts. Critical and hard to fill positions will be identified at a 3 year horizon, and appropriate strategies developed to address these gaps. The HR planning process will be integrated with the Programme and Budget planning, ensuring an HR intervention early in the C/5 planning process, and a timely identification of staffing gaps/needs with the Sectors/Field Offices.

17.   **Recruitment and selection processes** will be made more rapid, transparent and efficient, leveraging new technologies, including social media. Outreach strategies will be implemented to scout for talent and attract pools of qualified candidates from a diversity of regions and

backgrounds. The target of 85% of represented countries will be actively pursued; and proactive work undertaken in cooperation with Member States concerned. Assessment centres will be envisaged for senior positions; and the use of recruitment firms explored.

18. **Mobility:** Increased geographical mobility will contribute to reducing the HQs/Field divide. The level of geographical mobility in UNESCO has remained at 10-12% for the past 6 years, with, on average, 90 staff moving between duty stations every biennium, on a voluntary basis. There is a need to improve geographical and functional mobility. We also need to take action to facilitate moves for young staff early in their careers. To enhance mobility, it is proposed to introduce a **managed mobility** programme, which will cover functional and geographical mobility for Professional staff and functional mobility for General Service staff. Support for mobility and assignments outside UNESCO, with some possibility to return, will also be explored. Short-term assignments within the Organization will expose staff to learning and cross fertilization of ideas and knowledge.

Learning, an imperative in a knowledge-based Organization

19. To be in a position to rise to the challenges of the SDGs, UNESCO must create a **learning culture** in which staff are afforded the opportunities to not only close the capability gap but to go beyond and excel in their field, with the skills and knowledge required to deliver on the SDGs.

20. The current needs for learning are enormous, as there has been no training budget and virtually no corporate learning offered since 2012. There is a need for targeted time and financial investment in learning, to address not only the need to build skills and capabilities, but also to improve staff engagement and retention.

21. A set of essential learning initiatives has been developed and will be implemented under the **Invest For Efficiency Initiative** (in 199 EX/5 Part II).These initiatives address the priority learning areas of resource mobilization, programme management, management and accountability, Organizational effectiveness within the United Nations system, Leadership, and corporate applications and IT tools. Other initiatives may also need to be developed to address specific technical skills required by Programme staff for SDG delivery.

22. HR Technology will be maximized to facilitate learning in a connected, fast moving, collaborative work environment. Mobile and video learning are examples of innovative HR digital experiences with potential high impact. Coaching and mentoring programmes will also be part of the learning offer. It is proposed to change the learning policy to include a minimum period of learning time per year to facilitate skill and knowledge development.

II.   Create an engaging and enabling work environment

23. UNESCO needs to create an engaging and enabling work environment in which everyone is able to maximize their contribution, individually and through teams, and their wider networks. This requires optimal design, in terms of workforce, structure, and jobs. Staff need clarity of their roles, and a vision of potential career paths within the Organization. An enabling work environment means an inclusive workplace, which nurtures talent and fosters staff motivation.

An optimal design for the Organization

24. A review of contractual modalities is envisaged, to ensure that they fit the purpose of a flexible workforce, composed with staff serving over the longer term, as well as specialized expertise for limited periods. The review will also seek to ensure that contractual modalities are used appropriately; it will cover the non-staff personnel, and consider the entire contingent workforce, including the need to seek, develop and consolidate Partnerships for the provision of complementary, time-limited expertise. The duration of staff contracts will also be reviewed (ranging up to five years).

25.   In terms of the individual staff roles, generic job descriptions will be rolled out for a majority of typical jobs in the Organization, job titles will be harmonized and career paths developed and communicated, providing information (notably in terms of competency requirements) to staff on the career streams in the Organization. Talent reviews could be explored for staff who have been in the same function for 5 years or more.

An inclusive workplace

26.   An inclusive workplace is one that values and recognizes individual contribution, but also the value of teamwork; one that promotes transparency and ethical behavior, as well as the duty of care; one that provides a healthy and safe work environment for all. An engaging work environment is underpinned by a management and leadership culture, based on transparency, coaching and feedback, in which individual strengths are leveraged.

27.   **Team recognition** will be particularly valued, and recognized. The Team Awards programme will be revitalized. A culture of recognition will be fostered, and supervisors and managers equipped with the skills to provide meaningful feedback and staff recognition. Behaviours the Organization wants to promote such as innovation, collaboration and knowledge sharing will be acknowledged.

28.   **Transparency** of information is important for the building of trust and to support a positive work atmosphere. HRM needs to communicate on HR issues in a timely and simple manner. **Ethics** will continue to be high on the agenda, with the roll out of Ethics Training. A healthy and safe environment will also continue to be high on the HR agenda.

29.   **Flexible work arrangements** will be implemented to enable staff to work remotely. This would acknowledge the needs of a diverse workforce, particularly younger staff and foster engagement and motivation.

HRM as an enabler of Programme Delivery

30.   HRM is often perceived as being Headquarters-centric and not sufficiently business-oriented. From the words of a Senior Manager: "*Changes in Human Resources should support the programme, and not be done for administrative convenience*". HRM will ensure that it is a trusted business partner that adds value and delivers solutions in support of programme delivery.

31.   A client-orientation approach will be emphasized. This will include work on process simplification, delegation of authority and Service Level Agreements for key HR transactions. HR data analytics will be better utilized to guide decisions.

32.   The professionalization of HR and its quest for adding value will therefore be at the heart of HRM's mission for the years to come. HRM will strive to become an enabler and builder of the Organization's talent.

Proposed decision

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

The Executive Board,

1.   <u>Recalling</u> 196 EX/Decision 23 (III),

2.   <u>Takes note</u> of the preliminary proposals submitted by the Director-General for a Human Resource Management Strategy for 2017-2022;

3.   <u>Requests</u> the Director-General to submit to it, at its 200th session, a comprehensive Human Resource Management Strategy.

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

PART III

HUMAN RESOURCES ISSUES

CORRIGENDUM

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

Section I: geographical distribution of staff, paragraph 8 on page 2 should read as follows:

"*The Young Professionals Programme (YPP) is one of the most effective mechanisms to improve the geographical representation of Member States. It has been in operation for many years in UNESCO, but was put on hold in 2012, due to the budgetary situation and the lack of available posts. The YPP was re-launched in 2015, with **16** geographical posts at P-1/P-2 level reserved for candidates from non- and under-represented Member States. Following a call for applications to National Commissions for UNESCO, and a selection process led by the Bureau of Human Resources Management with the receiving sectors/bureaux, **16** candidates were selected for the Programme, of whom **7** from non-represented countries and **9** from under-represented countries, distributed amongst the six regional groups. From the **16** candidates, **11** are women and **5** men. The Young Professionals will be assigned in majority to the programme sectors.*"

PARIS, 30 March 2016
Original: English

Item **5** of the provisional agenda

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

PART III – HUMAN RESOURCES ISSUES

ADDENDUM

COMMENTS BY THE UNESCO STAFF UNION (STU)

Pursuant to Item 9.2.E.7 of the UNESCO Human Resources Manual, the UNESCO Staff Union (STU) submits its comments on the reports by the Director-General.

A.   Geographical distribution and gender balance of staff

Section I – Geographical distribution of the staff

The STU notes with regret that there is no improvement in the geographical representation of Member States and urges the Director-General to increase representation within the Organization. The relaunch of the Young Professionals Programme in 2016 is a good first step in this direction. However, the STU believes that the calls for applications for the Young Professionals Programme should be disseminated more broadly than just National Commissions and diplomacy circles, to target specialized communities and the best experts in every field. Efforts should also be made in order to guarantee that such a programme could be beneficial to field offices, which is not the case today.

Section II – Gender balance of staff

The STU is satisfied with the overall increase of gender balance but notes with regret that the percentage of female directors (44%) and professionals at the highest grade (P-5 = 36%) is still low.

Following the high rate of retirement at the Director level in the next two and a half years, the STU hopes that the Administration will seize the opportunity to remedy this imbalance at the Director level. The STU also hopes that during the recruitment of the current and future vacancies women will be given due priority at equal competence.

B.   Feasibility study on introducing a new health insurance scheme
   (Follow-up to 191 EX/Dec.29, 196 EX/Dec.5 (V, B))

The STU supports the proposed decision to suspend the feasibility study to introduce a new health insurance scheme, since such a scheme would have damaging legal and financial implications for UNESCO and the participants in the Medical Benefits Fund.

The STU thus endorses the arguments presented in the document 199 EX/5 Part III.B, starting from paragraph 11. However, it notes that it in the first 10 paragraphs there are a number of factual errors which it draws to the attention of the Executive Board, and requests the Administration to correct.

In the first instance, there is some confusion between the establishment of a health insurance scheme by the United Nations and that by UNESCO. While the General Assembly of the United Nations resolved in February 1957 to authorize a sharing of costs between the Organization and participating staff members (para. 1), at UNESCO, the Organization has made a contribution equal to that of the member of staff since the establishment of the Medical Benefits Fund in 1948 (3C-ADM-10, Annex 1, Article III). Similarly, while the General Assembly of the United Nations is noted to have approved the establishment of an after-service health insurance scheme in December 1966 (para. 7), such a scheme was made available to retired staff in UNESCO in October 1958 (10 C/46).

Paragraph 3 states that "The Medical Benefits Fund is a self-financing scheme administered by a third party commercial provider." While reimbursements claims have been outsourced to a private provider, the Fund has, since its establishment, been administered by UNESCO. The co-owners of the Fund, i.e. the participants, are anxious to have this statement corrected.

Paragraph 5 states that "The Fund has faced financial problems for many years with expenditure on claims exceeding income (i.e. contributions from participants)" This last statement should of course be "contributions from participants and the organization".

The STU wishes to remind the Executive Board that the Fund had a deficit for four years, from 2008 to 2011, with the reserve reduced to 7% of reimbursements in 2011. There are several reasons for this:

(a)   there was no increase in contributions for the 16 years, from 1996 to 2012, despite the generally accepted medical costs annual inflation rate of 5%, salary increases at a rate of 3%, and the General Assembly of Participants repeatedly drawing the attention of the Directors-General to the problem;

(b)   the proposal to move to the 60:40 cost-sharing formula in three stages, beginning 1 January 2008, contained in the Director-General's 2005 Global Plan of Action[1], has never been implemented. And similar proposals were not accepted by the governing bodies of UNESCO in 2011 and in 2013.

These reasons are not recognized by the emphasis on a decrease in the number of active staff, and the increase in the number of retired staff.

The change in the rates as well as the increase in contributions in 2012 has improved the financial situation, and the present dollar-euro exchange rate is no doubt helping as well. However, it should not be forgotten that, although UNESCO was well ahead of the United Nations in the early days, it is a less than generous employer now, still contributing only 50% towards the health insurance of the staff, while other organizations contribute up to 75%, and a number provide a substantial subsidy to retired staff; for example, the cost-sharing formula in ILO and United Nations Geneva is 50/50 for active staff and 67/33 for retired staff (187 EX/32 Annex I).

C.   Annual report (2015) by the International Civil Service Commission (ISCS): Report by the Director-General
(Follow-up to 114 EX/Dec.8.5, 22 C/Res.37, 196 EX/Dec.5 (V, A), 38 C/Res 88)

The STU expresses its **opposition to the adopted reforms of the compensation package for staff in the Professional and higher categories** (family allowances, spouse benefit, child allowance, assignment grant, rental deduction, education grant, mobility and hardship scheme, etc.).

The STU through FICSA intends to actively monitor the implementation of the new compensation package, as well as its consequences for staff and our organizations. In particular, we intend to monitor follow up to the UNGA request that the ICSC report back on how the changes in the new compensation package affect **gender balance** and **geographical mobility**. Moreover, the STU will further examine the legal implications of the package in the context of staff's acquired rights.

The STU is concerned that staff are constantly being asked to do more with less. At the same time, our Organization needs to attract and retain the highest level of expertise and performance. The STU is therefore placing as its top concern safeguarding staff's pay and benefits.

Education grant

As for the **education grant**, the ICSC proposed two options for the reimbursement of tuition and enrolment fees. The STU through FICSA was able to persuade delegates to adopt the better of the two options (US $40,600), which provides for a 75% reimbursement of tuition and enrolment fees. Unlike the present scheme, lower amounts of school fees will benefit from a higher rate of reimbursement. The STU remains concerned, however, that unavoidable costs (such as transport, exam fees, books and supplies, mandatory school meals, etc.), which in some duty stations are significant, will no longer be covered.

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[1]   172 EX/Decision 38 Item 8. "Invites the Director-General to report to it at its 176th session on the implementation of the global action plan, including proposed measures to increase the contributions to the Medical Benefits Fund, which will be presented as part of the Draft Programme and Budget for 2008-2009 (34 C/5)."

Regrettably, only in exceptional circumstances will staff at headquarter duty stations be able to receive support for boarding fees for primary and secondary education. Moreover, boarding support and education travel will no longer be available at the university level.

Mandatory age of separation

The General Assembly decided that for staff recruited before 1 January 2014, the mandatory age of separation should be raised by the organizations of the United Nations common system to 65 years, **at the latest** by 1 January 2018, taking into account the acquired rights of staff. (I.e. staff retains the right to retire at either 60 years or 62 years, depending on the rules applicable when the staff member entered into United Nations service.) Whereas the ICSC had recommended implementing the new age of separation by 1 January 2017 at the latest, major contributing countries supported by the administrations initially proposed postponing implementation until 2020. Ultimately, the compromise date of 1 January 2018 was agreed upon, with organizations being granted the flexibility to introduce the change earlier should they so wish to do so. The STU will monitor that this deadline is met by the Organization, notably by means of a Resolution to be adopted by the forthcoming 39th session of the General Conference

Moreover, the STU is deeply concerned by the worrying situation facing thousands of new retirees of the United Nations common system, including our former UNESCO staff members, participating in the United Nations Joint Staff Pension Fund. Delays in the disbursement of retirement benefits following separation have attained six months.

Mobility and field allowances and benefits

The STU through FICSA argued that proposed cuts to mobility allowances would reduce the attractiveness of geographic mobility. As a result, the UNGA agreed to increase the allowance by 25 per cent for those on their fourth assignment and by 50% for those on their seventh assignment. Regrettably, staff serving in "H" duty stations is excluded from receiving a mobility allowance.

Based on the above, the STU proposes that the following could be added to the decision to be adopted:

> *The Executive Board:*
>
> *...*
>
> 5. *Also invites the Director-General to report to it at its 201st session* on how the changes in the new compensation package affect **gender balance** and **geographical mobility**.

D. Preliminary proposals for a Human Resource Management Strategy for 2017-2022
(Follow-up to 196 EX/Dec.23 (III))

The STU is concerned by the lack of clarification and concrete development of the many ideas listed in this section.

And first and foremost, the STU, following document 197 EX/5 Part V, would like to see an evaluation of the Human Resources management strategy for 2011-2016.

I. Build staff capabilities for the SDGs

Getting the foundations right: values and competencies of UNESCO staff

The STU acknowledges that there is an urgent need to allocate funding for training programmes.

Although a request to finance a set of training programmes has been submitted to the preparatory group of the Executive Board in document 197 EX/5.INF.2 "Invest for Efficient Delivery", it cannot replace a stable corporate training budget financed by the regular programme.

Therefore, the STU regrets that Zero USD is allocated for training in the $518 million expenditure plan scenario for the biennium. Training also requires the availability of time and energy to dedicate, and it is a matter of fact that, following the restructuring of the Organization, this has become the less available resource.

The STU further deplores that promises made during the redeployment exercise in 2014, according to which redeployed staff would be duly trained on their newly-assigned functions, have not been kept.

The STU further deplores that there have been no efforts on the part of Human Resources Management to find an adequate or appropriate solution for our downgraded colleagues.

Attracting and retaining the best

The STU questions how UNESCO is able to attract and retain the best candidates in its field of competences as overall employment conditions will considerable deteriorate for professional staff following the implementation of the ICSC Review.

Achieving SDGs is an appealing challenge which will require improvement of capacities in many specialized disciplines, and it is a matter of concern that efforts of which the management is so proud, like the "invest for efficiency", are addressing mainly managerial competencies (not programme oriented)…

The STU remains deeply concerned with the lack of human resources planning in the Organization, which is crystallized by the fact that the **2011-2016** Human Resource Management strategy remained at the development stage already reported in 197 EX/5 Part V and that no concrete outcome has been published since. The STU urges the Director-General to develop a real human resources management policy for UNESCO for 2017-2022, with clear goals and mechanisms, in which all levels of hierarchy become accountable for their responsibilities in human resources management, including knowledge and skills development, career development planning and transparent mobility and recruitment processes.

Recruitment and selection processes

The STU is pleased to read that the recruitment process will be made more rapid, transparent and efficient but would like to learn how this will be made possible Current recruitment procedures should be revised in order to ensure some level of equity, fairness and transparency at each stage of the recruitment process. HRM should start by playing a role in the recruitment process and ensure that personnel policies area applied.

Furthermore, STU is worried that the decision by the last General Conference on Staff Issues ("*Staff members shall be given priority of consideration for vacant posts on the basis of equal competence*") will not be implemented, and that this staff acquired right will not be protected. Should external recruitment become the norm, this will perpetuate a high percentage of demotivated staff with no prospects for career development.

This with the lack of training opportunities we were stressing before is generating a very dangerous and unfair situation of non-competitiveness (linked to the continuous erosion of our competences) of internal human resources.

Mobility policy

According to paragraph 18, it is proposed to introduce a managed mobility programme, which will cover functional and geographical mobility for Professional staff and functional mobility for General Service staff. Support for mobility and assignments outside UNESCO, with some possibility to return, will also be explored.

STU is outraged to see that after years of unapplied mobility policies and schemes, HRM is still at the stage of exploring! STU would like to recall that to this date no mobility mechanism whatsoever has been set up and that the majority of dispositions of the October 2013 Mobility Policy have remained unapplied. Transfers at equal grade between field offices or from Headquarters to field offices and vice versa are left to the discretion of sectors and field directors, and are decided on a case-by-case basis with completely opaque criteria.

II.   Create an engaging and enabling work environment

The STU fully supports HRM's initiative to finally introduce flexible work arrangements to enable staff to work remotely and firmly believes that these measures will positively contribute to the motivation of staff and improve work-life balance. The STU hopes that the eligibility criteria for flexible work and the modalities to grant it will be equitable and transparent to all parties concerned.

Based on the above, the STU proposes that the following could be added to the decision to be adopted:

> *The Executive Board:*
>
> *…*
>
> 5.   *Invites the Director-General to report to it at its 200th session on the **evaluation of the Human Resources management strategy for 2011-2016**;*

> *And*
>
> *Invites the Director-General to develop a human resource management policy for UNESCO including knowledge and skills development, career development planning and transparent mobility and recruitment processes;*

> *And*
>
> *Invites the Director-General to provide further clarification and outline what is meant by "an optimal design for the Organization".*