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# 187 EX/17

## Part I

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## FOLLOW-UP TO THE INDEPENDENT EXTERNAL EVALUATION OF UNESCO

### PART I

#### REPORT BY THE DIRECTOR-GENERAL ON PROGRESS IN IMPLEMENTATION AND MONITORING BY THE EXECUTIVE BOARD SYSTEM

##### SUMMARY

Pursuant to 186 EX/Decision 17 (I and II), the Director-General presents herein a report on progress in follow-up to the Independent External Evaluation of UNESCO.

The work by the Ad Hoc Working Group on the IEE was highly productive in formulating concrete steps in response to the five strategic directions. Its work was supplemented by the action points of the Director-General. This item reports on progress achieved to date. A number of significant initiatives are ongoing under the overall reform effort, including long-term as well as short-term measures. This paper sets this out in greater detail. Key initiatives are:

- increased focus of the draft 36 C/5;
- ongoing reflection on the new C/4 and C/5 consultation process;
- concrete proposal to restructure UNESCO's field presence in Africa;
- working group established defining role for UNESCO liaison offices;
- draft strategy papers on partnerships being developed;
- Ad Hoc Group of Executive Board to be established at 188th session.

Action expected of the Executive Board: draft decision paragraph 15.

## I. INTRODUCTION

1. The final report of the Independent External Evaluation of UNESCO (IEE) was presented to the 185th session of the Executive Board in response to 35 C/Resolution 102. The Executive Board decided at that time (185 EX/Decision 18) to establish an Ad Hoc Working Group to examine the report and develop proposals concerning its recommendations. In the same decision, the Executive Board requested the Director-General to submit to the following session a plan of action on the follow-up to the IEE by the Secretariat.

2. At its 186th session, the Executive Board endorsed the recommendations of the Ad Hoc Working Group and the Director-General's action plan (186 EX/Decision 17 (I and II)). In the same decision, the Executive Board requested the Director-General to report on progress in the implementation of the recommendations of the Ad Hoc Working Group and her action plan.

3. This item therefore reports on progress made since the previous session of the Executive Board. Despite the relatively short timeframe, considerable progress has been made in a number of key areas. The Director-General remains strongly committed to a constructive collaboration with the Governing Bodies in support of the reform of the Organization.

4. The Director-General personally and visibly leads the change management process within the Secretariat. Consistent with the recommendations of the Ad-Hoc Working Group of Member States, she has entrusted the Deputy Director-General with the responsibility for managing and coordinating the overall implementation of the IEE recommendations and the Field Network Reform.

## II. PROGRESS REPORT

5. The following section highlights completed and ongoing actions of the Secretariat in response to 186 EX/Decision 17 (I and II). For ease of reference, the progress made is organized by each of the five Strategic Directions of the IEE final report. A detailed version of the action plan containing all of the planned actions, progress made thus far, and timetable for implementation can be found in the Annex.

### 6. Strategic Direction One – Increasing UNESCO's Focus

- In an effort to strengthen programmatic focus, the draft 36 C/5 includes adjustments in the scope of several Main Lines of Action and a reduction in the number of expected results, in addition to halving the number of intersectoral platforms from 12 to 6.
- The Africa and Gender equality global priorities have been strengthened in terms of both human and activity budget.
- The Director-General's proposals to optimize consultations on the C/5 and C/4 with no additional cost implications are contained in document 187 EX/17, Part III, that will be considered by the Board at its present session.

### 7. Strategic Direction Two – Positioning UNESCO Closer to the Field

- The Director-General's proposal for a reform of UNESCO's field network, endorsed by the Executive Board at its 185th and 186th sessions, is fully in line with the recommendations of the Independent External Evaluation. To improve the delivery of services to Members, the reform offers stronger concentration of UNESCO's technical expertise in multisectoral regional bureaux, increased presence at the national level through national offices and in particular through the establishment of UNESCO desks, enhanced level of expertise of staff, clearer reporting lines and accountabilities for results, as well as greater opportunities and incentives for intersectoral work including for post-conflict and post-disaster responses. The

reform also provides for improved coordination at regional level, including with National Commissions and category I and II institutes and centres.

- Within the framework of the Approved C/4 and C/5 documents, multisectoral regional offices will ensure the continuation of the regional strategic approach as defined by UNESCO's policy organs and/or the Director-General. They will ensure enhanced regional coordination, support and oversight with regard to subsidiary country-level structures. A Regional Support Platform will provide support and advice to the offices in the region in the areas of finance, administration, IT and human resources, thus bringing Corporate Services closer to the field.
- In the context of the alternative budget option, the Director-General proposes to focus on Africa during the 36 C/5 period, with the objective of securing the financial viability and the successful implementation of the first phase of the field network reform, bearing also in mind the priority status of Africa and the conclusions of previous evaluations that Africa is the region that most urgently needs to benefit from the reformed field architecture. At present, intensive consultations are under way with all regions, in particular with Group V(a) (Africa) and its subregional groups. Document 187 EX/33 gives further details on action taken by the Director-General pursuant to 186 EX/Decision 28, with particular reference to the proposed accountability framework and roadmap for the implementation of the field network in Africa.

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

- A Working Group on liaison offices was established to define the roles, functions, objectives and reporting lines of UNESCO liaison offices. Specific guidelines in this regard will soon be issued. Their main thrusts will be shared by the Director-General in her oral report to the 187th session of the Executive Board.

9. Strategic Direction Four – Strengthening Governance

- In response to the recommendation that the General Conference, upon advice by the Executive Board, examine certain items without preliminary debate – unless requested by a Member State – focusing on the draft resolution texts, the Addendum to the Revised Provisional Agenda of the 36th session will include a list of such items.
- Upon approval, the recommendation that the General Conference merge its ADM and PRX Commissions on an experimental basis will be implemented in the planning process for the 37th session, depending on the number of agenda items attributed to these two commissions.
- Proposals concerning the mandate of the Ad Hoc Group of the Executive Board tasked with supporting the preparation of the two plenary commissions of the Executive Board session are being prepared for consideration by the 188th session.
- A quality framework for Executive Board documents is also tabled at the present session. The Director-General's proposals in this respect are contained in document 187 EX/INF.11.

10. Strategic Direction Five – Developing a Partnership Strategy

- A draft UNESCO policy framework for strategic partnerships is outlined in document 187 EX/17 Part IV. This overarching umbrella statement about key principles and approaches for partnership agreements will be complemented by separate strategies for engagement with different categories of partners, including civil society/NGOs, expert communities, media companies, parliamentarians, associated schools, UNESCO chairs and the private sector.

- In follow-up to previous decisions of the Executive Board, a dedicated strategy for engagement with the private sector is presented to the Board at its present session in Annex I of document 187 EX/6, Part XII.
- Likewise, a new framework for cooperation with NGOs will be presented to the Board at its present session (187 EX/37) and to the General Conference at its 36th session (36 C/48). This new framework seeks to improve the involvement of NGOs in the formulation and implementation of UNESCO's programmes through a simplified partnership procedure.
- In addition, a team of external consultants has been contracted to assist the Secretariat in the development of the overall policy framework for strategic partnerships and strategies for individual categories of partners. The above-mentioned private sector strategy may require further revision to ensure its coherence with the policy framework and other strategy frameworks developed by the external consultants.

### III. IEE ITEMS FOR DEBATE AT THE 36th SESSION OF THE GENERAL CONFERENCE

11. As a result of earlier discussions and decisions of the Executive Board, a number of items related to the IEE follow-up will be open for further debate at the General Conference. The outcome of those debates will inform the ongoing reform effort and the implementation of the Director-General's action plan on the IEE.

12. Pursuant to 186 EX/Decision 17 (I), items for debate at the 36th session of the General Conference will include the recommendations to the 36th session of the General Conference to adopt a new four-year programming cycle, informed by a brief Medium-Term Strategy (C/4 document) of a rolling nature with an eight-year time-frame and a limited number of strategic objectives. Ongoing reflection on modalities for introducing the proposed changes in UNESCO's programming cycle is set out in document 187 EX/17, Part II.

### IV. IEE FOLLOW-UP MECHANISM

13. The Director-General will continue to inform the governing bodies of progress made in response to the IEE through:

- an item on the IEE on the agenda of the 36th session of the General Conference;
- a progress report to the 189th session of the Executive Board;
- regular Information Meetings with Permanent Delegations of Member States, with the next one scheduled on 8 September 2011.

14. Furthermore, a dedicated website containing all relevant material on the IEE and its follow-up is currently under development and will soon be available to Member States.

### Proposed action by the Executive Board

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

The Executive Board,

1. Recalling 35 C/Resolution 102, 185 EX/Decision 18 and 186 EX/Decision 17 (I and II)
2. Having examined document 187 EX/17 Part I,

3. Takes note with satisfaction of the progress made by the Secretariat in implementation of the recommendations of the Ad Hoc Working Group and the Director-General's action plan with respect to the operational aspects of the IEE report;
4. Requests the Director-General to submit a report to it at its 189th session on progress in the implementation of the recommendations and planned actions contained in document 186 EX/17 Part I and Part II, respectively.

## ANNEX

### INDEPENDENT EXTERNAL EVALUATION OF UNESCO

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

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

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

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

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



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

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

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

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

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

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

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

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

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

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

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



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

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

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

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

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

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

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

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



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

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



United Nations  
Educational, Scientific and  
Cultural Organization

# Executive Board

Hundred and eighty-seventh session

## 187 EX/17 Part II

PARIS, 2 September 2011  
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### Item 17 of the provisional agenda

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

##### **SUMMARY**

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

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

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

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

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

## I. BACKGROUND

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

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

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

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

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

## II. RATIONALE FOR ALIGNMENT WITH THE NEW CYCLE

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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



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

### Action expected of the Executive Board

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

The Executive Board,

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

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

## ANNEX

### TIMELINES

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



United Nations  
Educational, Scientific and  
Cultural Organization

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

**187 EX/17**  
**Part III**

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Item 17 of the provisional agenda

**FOLLOW-UP TO THE INDEPENDENT EXTERNAL EVALUATION OF UNESCO**

**PART III**

**REVIEW OF THE CONSULTATION PROCESS  
CONCERNING THE C/4 AND C/5 DOCUMENTS**

**SUMMARY**

This document puts forward the Director-General's proposal on a new consultation process on the C/4 and C/5 documents which includes a quantitative as well as a qualitative approach.

It responds to 186 EX/Decision 17 by which the Director-General was requested *inter alia* "to conduct a comprehensive review of the consultation process on the C/4 and C/5 documents with a view to enhancing priority-setting, allowing informed decision-making, and properly reflecting the opinion of Member States". The Board further requested the Director-General "to ensure that regional consultations on the C/5 document are addressed to Member States, including their National Commissions, with no additional cost implications".

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

## I. Introduction

1. By 187 EX/Decision 17, the Executive Board adopted a series of proposals put forward by its Ad Hoc Working Group on the report of the Independent External Evaluation for implementation by the General Conference, the Executive Board and the Secretariat. In particular, the Executive Board recommended to the General Conference to make adjustments in the preparations of the main programme and budget documents of the Organization as follows:

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

2. Furthermore, by the same decision the Board requested the Director-General "to conduct a comprehensive review of the consultation process on the C/4 and C/5 documents with a view to enhancing priority-setting, allowing informed decision-making, and properly reflecting the opinion of Member States. The Director-General is therefore invited to propose a new consultation process to the Executive Board at its 187th session which includes a quantitative approach (i.e. through allocation of points) as well as a qualitative approach (i.e. based on an analysis of evaluation results)". The Board further requested the Director-General "to ensure that regional consultations on the C/5 document are addressed to Member States, including their National Commissions, with no additional cost implications".

3. The Board also decided to request the Director-General to develop, in the context of a proposed 4-year programming cycle, a programme and timetable of work for the C/4 and the C/5 preparation and monitoring to be submitted to the 37th session of the General Conference for adoption. This is the subject of document 187 EX/17 Part II ("Report by the Director-General on modalities for introducing the changes in UNESCO's programme cycle with reference to the quadrennial comprehensive policy review of operational activities for development of the United Nations system").

## II. The present situation

4. The current situation is as follows: preceded by cluster consultations organized and held in close collaboration with UNESCO field offices, regional consultations with National Commissions are being held every two years on the preparation of the C/5 document and every six years on the preparation of the C/4 document, which are combined with the C/5 consultations. The purpose of the consultations is to contribute to priority-setting and the articulation of programmatic orientations – but not financial issues – for the global priorities and the five Major Programmes, the coherence between global, regional and country-level activities as well as activities related to engagement with United Nations country teams and issues of visibility and partnerships. The results and recommendations of the various regional consultations are captured in a report which is submitted in a document to the Executive Board for consideration in the context of the preliminary proposals by the Director-General for C/4 and C/5 documents. The cost of the regional consultations with National Commissions, provided for in the budget of the Sector for External

Relations and Public Information, is estimated at some US \$850,000 per biennium, which also includes expenses for the regional conferences of National Commissions organized once every four years parallel to the regional consultations on the C/4 and C/5 documents.

5. Member States and their National Commissions as well as NGOs and intergovernmental organizations (including entities of the United Nations system) have in the past been consulted through a written questionnaire, the gist of which is summarized by the Secretariat in documents for consideration by the Executive Board in the context of the discussion of the preliminary proposals by the Director-General.

6. For the past C/5 documents, Presidents of the General Conference have also taken the initiative to organize consultations on the preparations of the C/4 and C/5 documents with Permanent Delegates of the various regional groups.

### **III. Proposed revisions to the regional consultation process**

7. The preparation of documents 37 C/4 and 37 C/5 would be a transitional period, during which the present approach would be maintained, enhanced by the quantitative and qualitative elements in the questionnaire described below. Thereafter, regional consultations of Member States, including National Commissions, on the Programme (C/5 document) will be held only every four years instead of the present practice of holding regional consultations every two years. As in the past, the regional consultations shall be preceded by cluster-level consultations (or, for Africa, at the level of the new five “regional” groupings).

8. Within the framework of a transition to a four-year programme cycle (see document 187 EX/17 Part II), it is expected that the next C/5 document will cover the period 2014-2017. It will be adopted at the 37th session of the General Conference in 2013. The subsequent mid-term General Conference in 2015 would be devoted to a review and evaluation of progress made in the implementation of the Programme, including possible adjustments in programme priorities and orientations, and to the adoption of the appropriation resolution for the second biennium, 2016-2017. It would also be the starting point for the main policy guidance given on the preparation of the ensuing C/5 document (2018-2021). This review by the General Conference could be prepared by a single consultation meeting of all stakeholders – Member States, National Commissions, NGOs and international organizations. To contain costs, such an event could be organized in connection with other meetings and events, such as those attended by representatives of National Commissions.

9. It is understood that any changes made by the General Conference would likely also have an impact on the budgetary part of the C/5 document (which under the new arrangements will continue to be adopted every two years by the General Conference. It is also expected that the change in duration of the C/5 programme from two to four years may have an impact on the agenda and eventually also on the duration of the session of the General Conference at which the C/5 document is adopted (the lengthy debates being held at the session two years earlier).

10. To realize further cost savings, to bring about a more efficient approach and to optimize the consultation process, the Director-General is considering complementary measures:

- (a) Enhance consultations with national partners, including National Commissions, about UNESCO's programme priorities through the development of UNESCO Country Programming Documents, as needed.
- (b) Re-design the ERI-organized quadrennial conferences of National Commissions and Capacity-Building Workshops for National Commissions, spreading it in each region over one or two biennia. If acceptable, these conferences might follow the regional consultation meetings on C/4 and C/5 documents, contributing to considerable economies with regard to travel costs. Overall, efforts would be made to ensure that

the length of the combined consultation including capacity-building workshops not exceed three days.

11. The consultation process would include a quantitative approach (through allocation of points) as well as a qualitative approach (based on an analysis of monitoring, evaluation and audit results). The Director-General proposes the following:

- (a) The tradition of preparing a consultation questionnaire will be maintained. Its orientation and questions will be informed by the initial debate which the General Conference will have held on the preparations for the subsequent C/4 and C/5 documents.
- (b) This consultation questionnaire (which was previously mailed separately to Member States, National Commissions and other stakeholders) will be filled by the Member States, including their National Commissions, and by other stakeholders (NGOs and United Nations organizations) prior to the regional consultation meeting, and online. This will allow a more informed and focused discussion of substantive issues at the consultation itself, possibly also limiting the overall length of the consultations.
- (c) The questionnaire will be recast to include quantitative aspects, allowing Member States, including National Commissions, and other stakeholders to indicate their preferences concerning existing and future programmatic areas listed in the questionnaire, also allowing respondents to suggest new programme areas. There could be two possibilities of proceeding:
  - through the allocation of points: each Member State, including National Commissions, would be allocated an equal number of points (e.g. 100 points) to be distributed among the various priorities of the major programmes;
  - through ranking: each Member State, including National Commissions, would rate or score the programme areas according to their relative priority, on a scale from 1 to 5, from lowest to highest priority.

Whatever the method, the total number of points obtained by each programme area would help to determine its relative overall priority and the resulting level of (human and financial) resources to be allocated to the various programmes. This approach would facilitate the identification of high-priority programmes for continuation and/or reinforcement, and low-priority programmes to be phased out over time or redirected. Programme areas below a certain point threshold would be considered for possible termination.

- (d) The questionnaire shall also allow Member States, including National Commissions, to make qualitative comments. It will include qualitative information and questions on existing programmes such as recommendations of recent relevant evaluations and audits to further facilitate decision-making and priority setting.

12. It is expected that the consultation process will benefit from the development of systematic and periodic programme reviews by the Secretariat in the different major programmes, which will assist in the identification of programme priorities and consider the identification of areas to be continued, redirected or terminated. As a general rule, sunset clauses will be introduced, according to which programmes would be terminated after a period of four years unless the General Conference would explicitly decide to continue them – or terminate them earlier.

### Action expected of the Executive Board

13. Accordingly, the Executive Board may wish to consider adopting the following draft decision:

The Executive Board,

1. Having considered document 187 EX/17 Part III by the Director-General on a new consultation process for the C/4 and C/5 documents,
2. Takes note with interest of the Director-General's proposals;
3. Recommends to the General Conference that:
  - it maintain the current practice of holding regional consultations on programme matters, as proposed by the Director-General, for the transitional period 2012-2013 and that thereafter there be regional consultations every four years starting in 2016 for the preparation of the four-year Programme and Budget (C/5 document); and that the consultations for the preparation of the eight-year Medium-Term Strategy (C/4 document) be held in 2020;
  - the questionnaire on the Programme and Budget be circulated to Member States, National Commissions, NGOs and United Nations organizations, and that the results of this questionnaire be made available before the regional consultation meetings, allowing for a more informed and focused discussion;
  - a quantitative and qualitative approach to the questionnaire be introduced to facilitate decision-making by Member States and to provide for more informed priority-setting;
4. Emphasizes the importance of the Quadrennial Conferences of National Commissions and Capacity-Building Workshops of National Commissions, and takes note of the proposal to shorten them and to hold them in conjunction with the regional consultation meetings on the C/5 document.



PARIS, 16 September 2011  
Original: English

Item 17 of the provisional agenda

**FOLLOW-UP TO THE INDEPENDENT EXTERNAL EVALUATION OF UNESCO**

**PART III**

**CONSIDERATION BY THE GENERAL CONFERENCE OF FUTURE PROCEDURES  
FOR ELABORATING DRAFT MEDIUM-TERM STRATEGIES (C/4)**

**SUMMARY**

At its 35th session, the General Conference (35 C/Resolution 1) recommended that for its consideration of future C/4 strategies, a transparent process, allowing for proposals by all Member States and a debate by the General Conference, be elaborated by the Executive Board and submitted to the General Conference for approval at its 36th session.

The following document outlines the possible procedure to be followed in this respect.

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

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

1. At its 35th session, the General Conference recommended that for its consideration of future C/4 strategies, a transparent process, allowing for proposals by all Member States and a debate by the General Conference, be elaborated by the Executive Board and submitted to the General Conference for approval at its 36th session.
2. In the follow-up to the Independent External Evaluation of UNESCO, the Executive Board (186 EX/Decision 17) acknowledged the need to strengthen the role of the General Conference in strategy policy formulation, priority setting and decision-making. It also decided to formalize within the Rules of Procedure of the General Conference the current practice whereby Programme Commissions present to the Plenary draft resolutions to amend the C/4 and C/5 documents.

3. For the preparation of previous Draft Medium-Term Strategies (31 C/4 and 34 C/4), the Director-General had prepared a draft Strategy and had submitted it to the Member States for their consideration. The Executive Board had then deliberated on this draft and had recommended a number of amendments to the General Conference. The General Conference, at its 31st session, following the general debate, set up a drafting group of its own to examine the draft resolutions on this item and to propose a final text to the General Conference. At its 34th session, however, the General Conference considered it not necessary to establish a drafting group and it adopted a draft resolution presented by the President of the General Conference. This resolution approved the Recommendations made by the Executive Board on the Draft Medium-Term Strategy for 2008-2013 (34 C/11) as a whole and further incorporated amendments put forward as a result of consultations among various regional groups on a number of limited suggestions made by Member States.
4. This procedure gave rise to dissatisfaction among some Member States, especially those not represented on the Executive Board. It subsequently led to the adoption of the relevant part of 35 C/Resolution 1.
5. In the light of this request, the General Conference may be invited to consider the following procedure for future discussions of draft C/4 documents:
  - (a) the General Conference will have before it the draft C/4 document prepared by the Director-General, the recommendations by the Executive Board thereon (C/11), as well as any draft resolutions submitted by Member States on this item;
  - (b) the General Conference may then decide to set up a Working Group for the sole purpose of considering the item and to make recommendations to the General Conference thereon;
  - (c) the Plenary of the General Conference will then take a decision on the C/4 document in the light of the recommendations by the Working Group.

#### **Action expected of the Executive Board**

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

The Executive Board,

1. Recalling 35 C/Resolution 1 and 186 EX/Decision 17 Part III,
2. Having examined document 187 EX/17 Part III Addendum and the proposed procedure for future discussions of draft C/4 documents,
3. Recommends that the General Conference, at its 36th session, adopt the proposed procedure.



United Nations  
Educational, Scientific and  
Cultural Organization

# Executive Board

Hundred and eighty-seventh session

# 187 EX/17 Part IV

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## **FOLLOW-UP TO THE INDEPENDENT EXTERNAL EVALUATION OF UNESCO**

### **DRAFT POLICY FRAMEWORK FOR STRATEGIC PARTNERSHIPS: TOWARDS A UNESCO PARTNERSHIP STRATEGY**

#### **SUMMARY**

This document contains the elements of a future comprehensive partnership strategy for UNESCO. It responds to the invitation made by the Executive Board at its last session to the Director-General “to develop, in close cooperation with Member States, a draft comprehensive and outward-looking UNESCO policy framework for strategic partnerships, to be submitted to it at its 187th session for transmission to the General Conference at its 36th session”, consistent also with the Executive Board’s Ad Hoc Working Group on the Independent External Evaluation of UNESCO, in particular the “need for UNESCO to develop a comprehensive policy and accountability framework for strategic partnerships that looks outwards to civil society, expert communities and the private sector” (186 EX/Decision 17 (I)). It is expected that this draft strategy will be further developed on the basis of the discussions at the 187th session of the Executive Board.

This document has no financial or administrative implications

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

## I. Background

1. UNESCO relies on a broad and diverse set of collaborative relationships and partnerships to implement its mission – the building of peace, the eradication of poverty, sustainable development and intercultural dialogue through education, the sciences, culture, communication and information. These relationships involve different kinds of partner organizations, ranging from what may be called the “UNESCO family”: National Commissions, UNESCO Chairs, celebrity advocates, category 2 institutes and centres, clubs and associations, national communities of intergovernmental programmes and specialized networks such as the Associated Schools Network; to the 348 international non-governmental organizations (NGOs) that maintain official relations with UNESCO; foundations; private companies; multinational corporations and other international organizations. Partnerships contribute to UNESCO’s work through a wide range of activities, including the implementation of programmes, the mobilization of resources, the provision of specialized advice as well as the development of policies and advocacy campaigns.

2. How can UNESCO best utilize its own, as well as its partners’ capacities to fulfil its mission and achieve the best results for its Member States? This is the question at the core of building a comprehensive and outward looking UNESCO policy framework for strategic partnerships, as per the recommendation of the Ad Hoc Working Group on the Independent External Evaluation Report. The present document sets out a three-pronged approach to be pursued with a view to arriving at a comprehensive UNESCO partnership strategy for the Organization. The three elements are:

- (a) the formulation of an overarching umbrella statement on the rationale for partnerships by UNESCO;
- (b) complemented by the development of a set of specific, dedicated strategies for the various categories of partners, such as with the private sector (for which a strategy for engagement is submitted at the 187th session of the Executive Board in document 187 EX/6 Part XII, Annex), media partners, non-governmental and civil society organisations, parliamentarians, and the diverse UNESCO networks to be developed by the relevant sectors of the Secretariat;
- (c) The engagement of a consultant for the development of a forward-looking, organization-wide approach.

3. UNESCO has begun to analyse and evaluate its partnership activities in different areas. A preliminary mapping has been conducted on some types of partnerships and certain strengths and weaknesses were identified. This exercise has informed the formulation of specific strategies for engagement with the private sector and civil society organizations.

## II. Draft umbrella statement on partnerships

4. The objective of an umbrella statement is to identify the criteria for the selection, approval and renewal of partnerships, taking into account the diversity of the different partnership schemes set up by UNESCO over its history. It identifies the key elements to be included in all partnership agreements, including specific objectives, cooperation modalities, funding arrangements, duration and criteria for periodic evaluation of the cooperation and its impact.

5. The umbrella statement shall:

- facilitate the formulation and application of terms of cooperation between UNESCO and its wide range of partners in a manner that ensures the integrity and independence of the Organization, fosters transparency and enhances the effectiveness of its activities at local, regional and global levels;

- provide UNESCO staff with clear and concise guidance in pursuing partnerships with various constituencies;
- set out a consistent and strategic approach by UNESCO to cooperation with its different types of partners, based on the Organization's Medium-term Strategy (34 C/4), the Approved Programme and Budget (35 C/5), the 35 C/5 Complementary Additional Programme 2012-2011 (CAP), the Resource Mobilization Strategy – 185 EX/6 Part VI Item 6, as well as UNESCO's wider partnerships experience and the Organization's ongoing responses to the changing external environment.

### **III. General cooperation principles and criteria for the selection, approval and renewal of partnerships**

6. The following principles and criteria shall guide the activities of the Secretariat in selecting, approving and renewing partnerships in general:

- UNESCO will cooperate with partners that are committed to core United Nations values and its causes as reflected in the United Nations Charter and other relevant United Nations conventions, norms and standards;
- Each and every partner must contribute to the achievement of UNESCO's strategic programme objectives and sectoral or intersectoral programme priorities and themes;
- All partners must embrace, support and enact, within their sphere of influence, a set of core values in the areas of human rights, gender equality, labour standards, the environment, and anti-corruption, in line with the ten principles outlined in the United Nations Global Compact (see Annex);
- UNESCO will not cooperate with entities that
  - systematically fail to demonstrate commitment to meeting the above-mentioned principles of the United Nations Global Compact;
  - are complicit in human rights abuses, tolerate forced or compulsory labour or the use of child labour, are directly involved in the sale or manufacture of anti-personnel landmines or cluster bombs, or otherwise do not meet relevant obligations or responsibilities required by the United Nations;
  - are violating sanctions established by the United Nations Security Council;
  - involve any product, services or activities that conflict with UNESCO's mandate or undermine UNESCO's work.

7. Moreover, the Medium-Term Strategy for 2003-2007 (31 C/4, para. 28) stipulated that UNESCO in its activities will be guided by three fundamental principles that are inseparable: universality, diversity and dignity. These are closely related to the values of justice, solidarity, tolerance, sharing and equity, respect for human rights and democratic principles.

### **IV. Specific principles for engagement with UNESCO partners**

8. UNESCO's cooperation with partners must respect the following six specific principles:

- **Mutuality:** Define a common purpose with mutual benefit that is consistent with UNESCO's mandate and its strategic programme objectives;
- **Clarity:** Clearly define each party's responsibilities, roles and contributions;

- **Transparency:** Encourage both parties to raise issues concerning the quality of the working relationship and the ongoing roles and contributions of each party;
- **Fairness:** Provide no unfair advantage to any individual partner;
- **Accountability:** Ensure that all forms of cooperation are appropriately evaluated to ensure that they are reality-based, action-oriented and produce concrete results;
- **Sustainability:** Ensure that the results of the cooperation are sustained beyond its duration without ongoing dependence on the partner's further contribution. This will help to ensure that ownership ultimately lies with concerned communities or "end-beneficiaries".

9. Furthermore, UNESCO and its partners should undertake appropriate checks and assessments based on the following checklist:

- **Risk:** Identify areas of greatest risk at the outset, both in relation to the potential partners and the proposed nature of the partnership;
- **Commitment:** Consider the time and human resource commitments required to complete implementation of joint activities;
- **Governance:** Consider an appropriate governance/decision-making model and mechanism appropriate to the nature of cooperation (i.e. number of partners, scale of activities, timelines, geographic scope);
- **Outcomes:** Focus on objectives/goals, outcomes and expected results;
- **Benefits:** Ensure that the cooperation delivers visible benefits to the beneficiaries as well as to both partners

## V. Choosing the right form of cooperation

10. UNESCO's Medium-Term Strategy for 2008-2013 (34 C/4) states in paragraph 141: "UNESCO cannot achieve its ambitious objectives alone. It is fortunate to have a vast and unparalleled range of constituencies, partners and networks that are eager to be involved in its work: governmental and non-governmental, public and private partners, which combine their competences and resources around a single goal owing to the presence and approval of UNESCO. This is a considerable asset which has ensured the success of world summits convened by UNESCO at which governments and civil society have found the conditions for constructive dialogue ..." (paras. 142-145 continue with an elaboration of the role of different partners).

11. There are a variety of forms of cooperation with UNESCO partners. The chosen form of cooperation should be defined from the outset of a partnership. The forms of cooperation may include:

- providing direct contributions to UNESCO in the form of cash contributions, in-kind contributions, seconded personnel, or individual volunteers;
- providing technical assistance, including the provision of advisory functions to UNESCO. Under this form of cooperation, UNESCO jointly develops with a partner a "product" or "service" consistent with its strategic programme objectives;
- developing policies, standards and norms that are linked to UNESCO's mandate;
- supporting UNESCO's advocacy and policy dialogue efforts.

12. The contractual modalities for cooperation could take the form of:

- a partnership agreement between UNESCO and the relevant partner;
- framework for funding of one or several of UNESCO's programmes or projects;
- Project agreements

13. When preparing an agreement with a private sector partner, recourse should be had to a specific set of provisions that has been elaborated with the involvement of the Office of International Standards and Legal Affairs (LA).

## **VI. Visibility**

14. The enhancement of UNESCO's visibility and its outreach depend on the effective association of UNESCO's name and logo with the activities it carries out, its networks and its partners. At the same time, as a central component of the Organization's ownership and intellectual property, UNESCO's name, acronym and logo require robust protection from inappropriate and unauthorized use. Therefore, UNESCO co-branding in cooperation with its partners is generally encouraged, but is subject to a formal and explicit authorization from UNESCO. Such an authorization shall specify the graphic modalities (type, size and position of logo and associated text), scope (materials on which the logo features), and duration (no open-ended authorization) of name and logo use.

15. The name, acronym or log of UNESCO cannot be used to suggest an endorsement by UNESCO of a specific commercial produce or entity. Any commercial use of the name, acronym, logo or Internet domain names of UNESCO, in whatever form or combination, must be expressly authorized by the Director-General of UNESCO under a specific contractual agreement. This applies to the sale of any goods or services bearing the name, acronym, logo and/or Internet domain name of UNESCO chiefly for profit.

## **VII. Building a comprehensive partnership strategy**

16. The general umbrella statement about partnership principles and approaches in the present document will be expanded and complemented by separate strategies for engagement with the private sector (see document 187 EX/6 Part XII, Annex), media companies, civil society/NGOs, parliamentarians, associated schools, UNESCO Chairs and other partners.

17. As a next step, the Secretariat will submit to the Executive Board at its next session further dedicated strategies for specific partners. Furthermore, the Secretariat – following a competitive bidding process – is about to engage a consultant for the third leg of the Secretariat's approach, namely the development of a forward-looking, organization-wide approach whose task should be completed before the end of the year.

## **Action expected of the Executive Board**

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

The Executive Board,

1. Having examined document 187 EX/17 Part IV, entitled "Draft Policy Framework for Strategic Partnerships: towards a UNESCO Partnership Strategy",
2. Underlining the importance of developing partnerships in order to reinforce the relevance, impact, credibility, efficiency and effectiveness of UNESCO's work,

3. Recalling in this regard the relevant recommendations made by the Independent External Evaluation of UNESCO, which stressed in particular that “UNESCO needs to develop a comprehensive strategy for partnership that looks outwards to civil society, expert communities and the private sector to ensure its relevance, advance its values and implement its programmes” (185 EX/18, para. 56),
4. Further recalling the relevant recommendations of the Executive Board’s Ad Hoc Working Group on the Independent External Evaluation of UNESCO, in particular the “need for UNESCO to develop a comprehensive policy and accountability framework for strategic partnerships that looks outwards to civil society, expert communities and the private sector” (186 EX/17 Part I (V)),
5. Also recalling the Executive Board’s invitation to the Director-General “to develop, in close cooperation with Member States, a draft comprehensive and outward-looking UNESCO policy framework for strategic partnerships, to be submitted to it at its 187th session for transmission to the General Conference at its 36th session” (186 EX/Decision 17, para. 56),
6. Welcomes document 187 EX/17 Part IV which sets out in draft form an umbrella statement for partnerships by UNESCO and a listing of the various components of a future comprehensive partnership strategy;
7. Requests the Director-General to refine further the umbrella statement on partnerships, in light of the discussions at its 187th session, and to further expand and complement it through separate strategies for engagement with the private sector (Annex of document 187 EX/17 Part IV), media companies, civil society/NGOs, parliamentarians, associated schools, UNESCO Chairs and other partners;
8. Invites the Director-General to submit a report containing the comprehensive strategy and accountability framework to the 189th session of the Executive Board.



## ANNEX

### THE 10 PRINCIPLES OF THE UNITED NATIONS COMPACT

#### Human Rights

- Principle 1: Partners should support and respect the protection of internationally proclaimed human rights; and
- Principle 2: make sure that they are not complicit in human rights abuses.

#### Labour

- Principle 3: Partners should uphold the freedom of association and the effective recognition of the right to collective bargaining.
- Principle 4: the elimination of all forms of forced and compulsory labour.
- Principle 5: the effective abolition of child labour; and
- Principle 6: the elimination of racial and gender discrimination in respect of employment and occupation.

#### Environment

- Principle 7: All UNESCO partners should support a precautionary approach to environmental challenges.
- Principle 8: Undertake initiatives to promote greater environmental responsibility.
- Principle 9: encourage the development and diffusion of environmentally friendly technologies.

#### Anti-Corruption

- Principle 10: Partners should work against corruption in all its forms, including extortion and bribery.